Oracle Financial Services
Currency Transaction Reporting
User Guide

Release 8.0.1
June 2015

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Revision History

Table 1 describes the revision history of *Oracle Financial Services Currency Transaction Reporting User Guide, Release 8.0.1.*

Table 1. Revision History

Date	Edition	Description
June 2015	Third Edition	Third release of Oracle Financial Services Currency Transaction Reporting User Guide, Release 8.0.1
December 2014	Second edition	Second release of Oracle Financial Services Currency Transaction Reporting User Guide, Release 1.2
August 2012	First edition	First release of O*racle Financial Services Currency Transaction Reporting User Guide, Release 1.1*

Revision History

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About this Guide

This guide explains the concepts of the Oracle Financial Services Currency Transaction Reporting, Release 8.0.1 and provides step-by-step instructions for navigating the Currency Transaction Reporting (Currency Transaction Report) user interface such as viewing, verifying, reviewing, approving, e-filing of the Currency Transaction Reports with FinCEN, creating Exemptions, and managing the Currency Transaction Report 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, include the following:

- **Analyst**: This user is typically responsible for updating the status of listed Currency Transaction Reports through UI screens.

- **QA Analyst**: This user is responsible for verifying the details in the Currency Transaction Reports when the status of Currency Transaction Report is changed to Pending QA review. This user role will have access to Batch Approval action of Currency Transaction Reports.

- **Supervisor**: This user is typically responsible for verifying, reviewing and approving the Currency Transaction Reports 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 Currency Transaction Reports with the regulatory authorities once verified by the QA Analyst. This user is responsible for changing the status of Currency Transaction Reports 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.

How this Guide is Organized

The *Oracle Financial Services Currency Transaction Reporting User Guide,* Release 8.0.1, includes the following sections:

- Chapter 1, *About Currency Transaction Report*, 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.

- 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 Transaction Reports*, describes how to manage the CTR List and how to create a Currency Transaction Report.

- Chapter 4, *Managing E-File,* describes how to manage the Search and List and how to create an E-File.

- Chapter 5, *Managing DOEP E-File*, describes how to manage the Declaration of Exempt Persons (DOEP) E-File List and how to create a DOEP E-File

- Chapter 6, *Managing Exemptions*, describes how to manage Search and List and how to create an Exemption.

- Chapter 7, *Generating Reports*, describes how to generate various reports from Currency Transaction Report, 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*

- *Oracle Financial Services Currency Transaction Reporting Administration Guide*

- *Oracle Financial Services Currency Transaction Reporting Configuration Guide*

- *Oracle Financial Services Currency Transaction Reporting Installation Guide - Stage 3*

- *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
Italics	● Names of books, chapters, and sections as references ● Emphasis
Bold	● Object of an action (menu names, field names, options, names) in a step-by-step procedure ● Commands typed at a prompt ● User input
`Monospace`	● 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>`	● Substitute input value

About Currency Transaction Report

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

This chapter covers the following topics:

- Introduction to Currency Transaction Report
- Logging into Currency Transaction Report
- CTR Menu

Introduction to Currency Transaction Report

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

A Currency Transaction Report can be created in following three ways:

- System Generated Currency Transaction Reports
- Manual Creation of Currency Transaction Reports
- Branch Generated Currency Transaction Report

System Generated Currency Transaction Reports

The CTR creates Currency Transaction Reports through batch processing of transaction data.

The following variations are possible for system generated Currency Transaction Reports:

- Currency Transaction Reports created on an exempted entity (Audit Currency Transaction Reports).

- Superseded Currency Transaction Reports in which the activity is the same or subset and the aggregation focus is less preferred to another Currency Transaction Report.

- Currency Transaction Reports that pass the initial validation are created with 'Pending QA Review' status (STP) and Currency Transaction Reports that do not pass initial validation are created with 'New' status.

Manual Creation of Currency Transaction Reports

You can manually create a Currency Transaction Report using the **Create New Report** submenu option from the Currency Transaction Report menu in the CTR. For detailed information about creating a Currency Transaction Report, refer to "Creating a Currency Transaction Report ," on page 44.

Branch Generated Currency Transaction Report

When a CTR is integrated with the Retail Branches, a Currency Transaction Report is generated in the following manner:

1. The branch system identifies an eligible transaction during the teller session and communicates it to the CTR to determine its Exemption status. The CTR returns an appropriate notification to the Teller stating whether a transaction is an exempt transaction or a Currency Transaction Report needs to be created.

2. Subsequently if a Currency Transaction Report is required, the teller enters the Currency Transaction Report data.

3. The CTR will then validate the required fields, and pre-populate the customer/beneficiary information from Currency Transaction Report history files or from Customer Information Systems.

   Thus, a branch Currency Transaction Report is generated.

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

Logging into Currency Transaction Report

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

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

Figure 1. CTR Login

To log into the CTR, 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 displays.
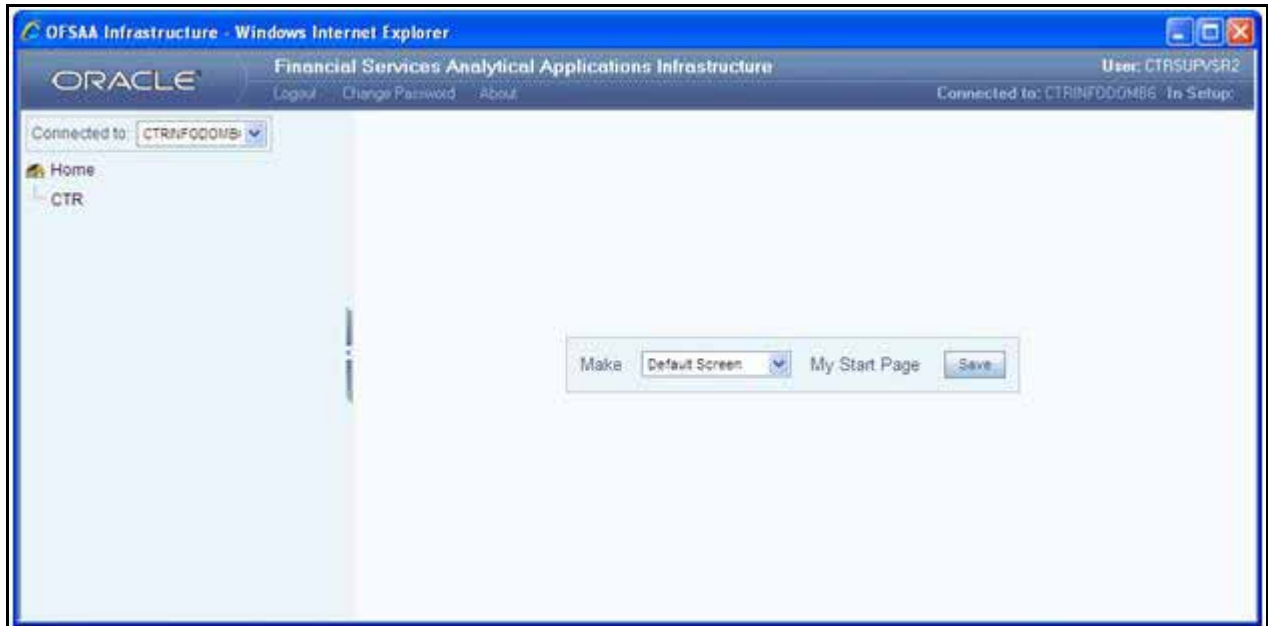
Figure 2. Landing Page for all the Roles (except the Currency Transaction Report System Administrator)

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

Figure 2 and Figure 3 shows the default screen for various users.
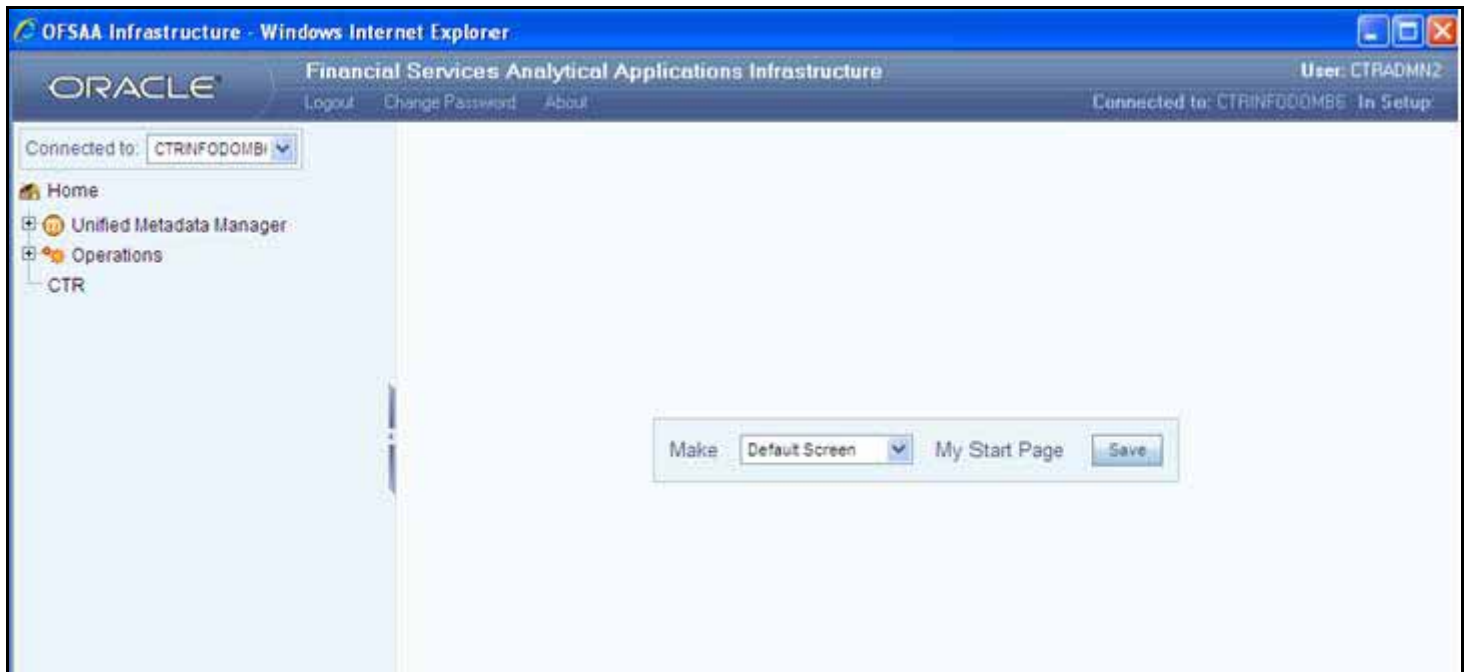
Figure 3. Landing Page for Currency Transaction Report System Administrator Role

Currency Transaction Report Home Page

After logging into the application the Currency Transaction Report Home Page displays.

The CTR page has the Home, Currency Transaction Reports, E-File, Exemptions, and Reports menus.
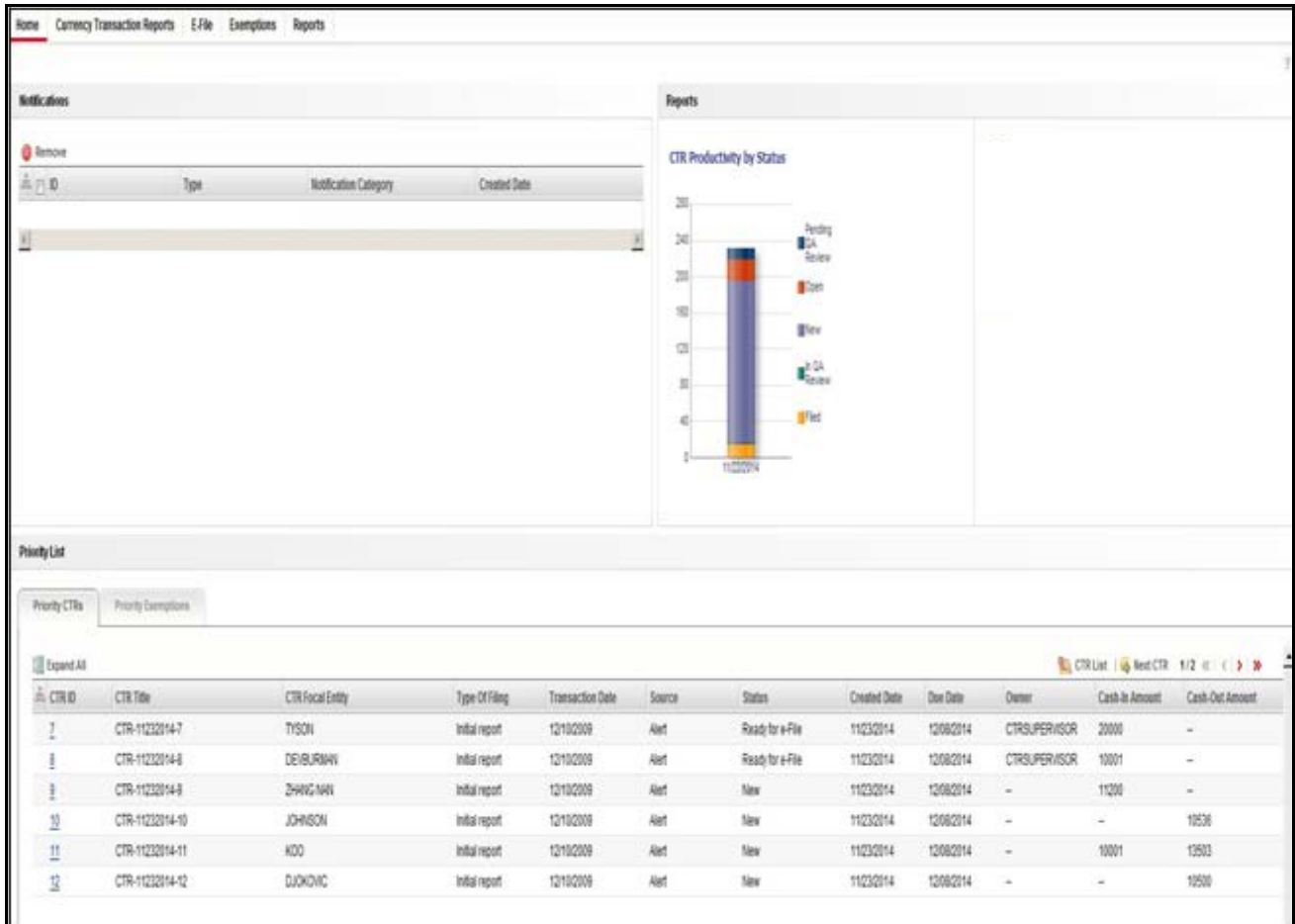
Figure 4. CTR Home Page

CTR Menu

This section explains various menus that can be accessed through the CTR User Interface. Each menu in the CTR Home page facilitates a set of possible actions, which are visible based on privileges assigned to user role and the status of a particular Currency Transaction Report. The CTR menu includes links for Home, Currency Transaction Reports, E-File, Exemptions, and Reports.
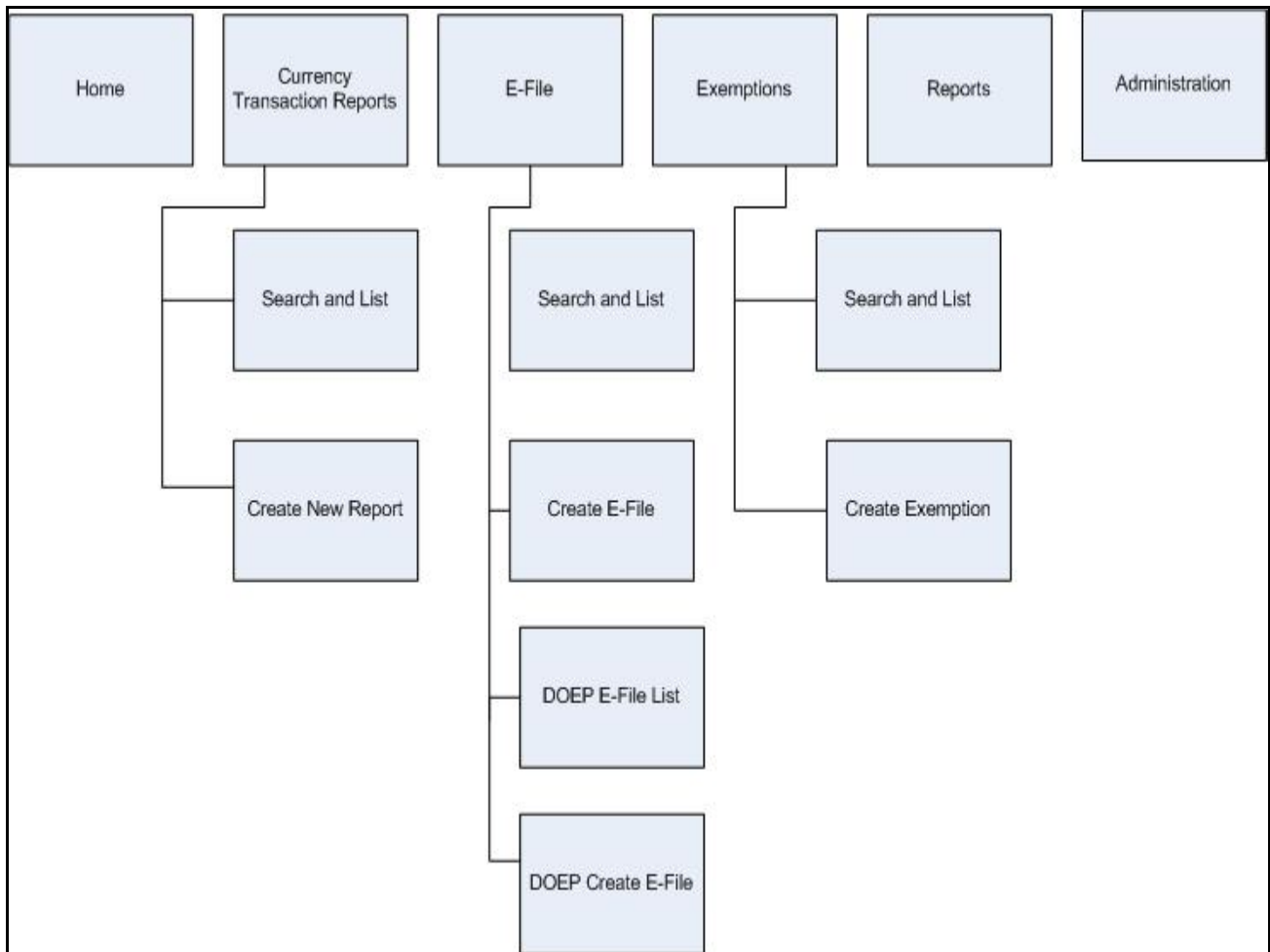
Figure 5. CTRs Menus

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

Table 3. CTR Menu-User Role Mapping Table

Menu	Roles						
	CTR Viewer	**Analyst**	**Supervisor**	**QA Analyst**	**DOEP E-File Analyst**	**E-File Analyst**	**Exemption Analyst**
Home		✔	✔	✔			
Currency Transaction Reports	✔	✔	✔	✔			

Table 3. CTR Menu-User Role Mapping Table

CTR E-File			✔			✔	
DOEP 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," on page 9* 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 Transaction Reports," on page 13*, 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," on page 47,* for more information.

DOEP E-File Menu

The DOEP E-File menu is accessible to users with roles of DOEP E-File Analyst and Supervisor. The DOEP E-File menu has two sub-menu options namely, DOEP E-File List, and DOEP Create E-File. Refer to *Chapter 5, "Managing DOEP E-File," on page 67,* 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 Currency Transaction Report menu will have similar Supervisory role in the Exemptions menu as well. The Exemptions menu has two sub-menu options namely, Search and List, and Create Exemption. Refer to *Chapter 6, "Managing Exemptions," on page 87,* 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 7, "Generating Reports," on page 123*

CHAPTER 2

Managing Home Page

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

Accessing Home Page

On successful login into the CTR, a default Home page displays. 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.
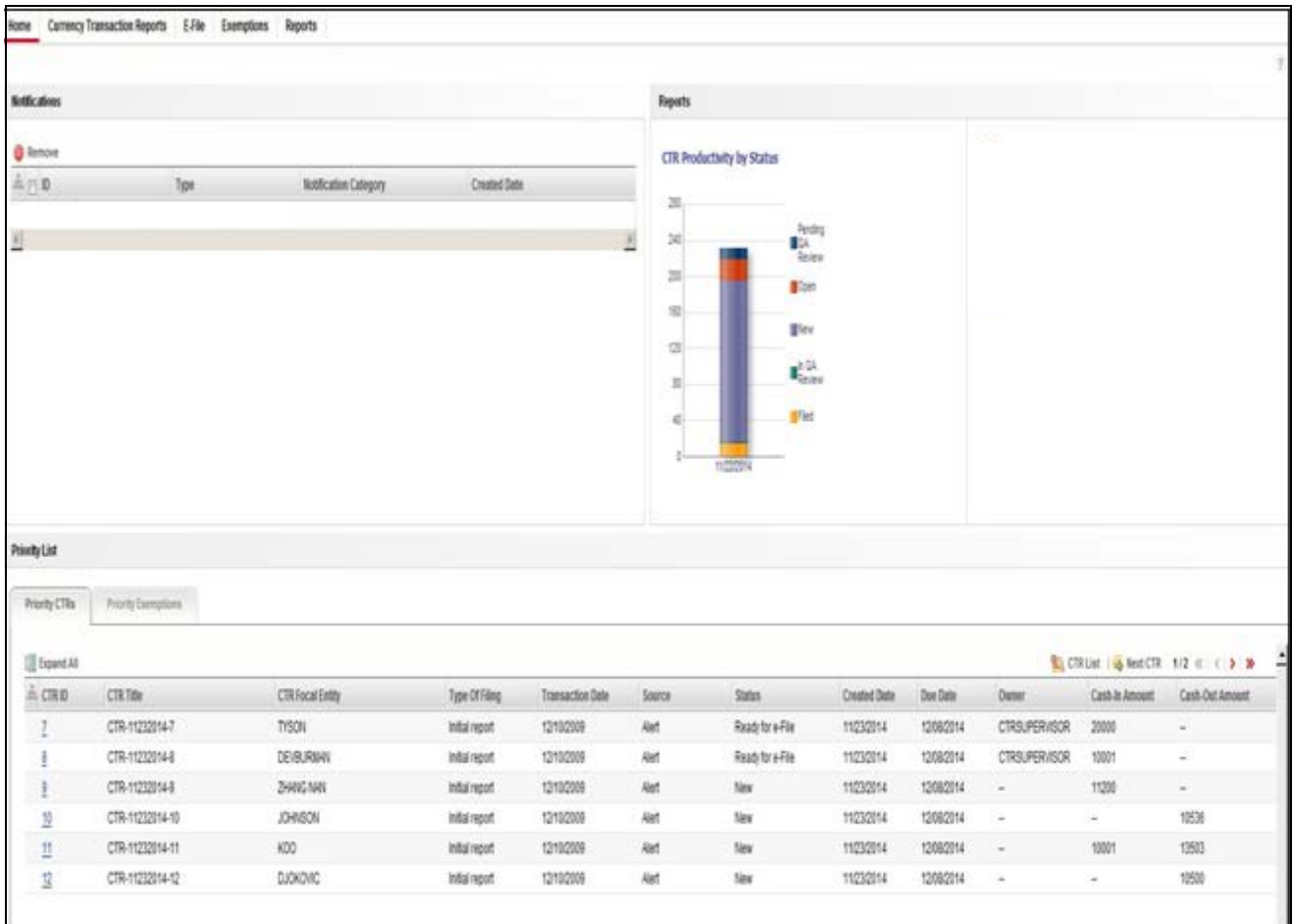
Figure 6. Currency Transaction Report Home Page

Viewing Notification

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

The Currency Transaction Report notifications will be displayed for a user only if the user has access to the underlying Currency Transaction Report 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

The Reports section in the Home page displays graphs based on the user role and access. A user with a CTR role can view the **CTR Trends** graph and a user with an Exemption role can view the **Revoked Exemptions Ct**. graph. Refer to *Table 24 "Currency Transaction Report Reports-User Roles Mapping Table," on page 124*, 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 Currency Transaction Reports and Exemptions will be able to view two tabs; Priority Currency Transaction Reports and Priority Exemptions.

Priority Currency Transaction Reports

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

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

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

Click **Next CTR** from the Priority CTRs tab to navigate to the CTR Context page and subsequently assigning the new Currency Transaction Reports 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 the Exemption menu and Priority Exemption in the Priority List section from the Home page.

Click **Search and List** from the Priority Exemption tab to navigate to the Search and List page. From Search and 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 displays up to 10 non-closed Exemptions based on its expiry date. The Search and 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.

CHAPTER 3

Managing Currency Transaction Reports

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

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

Currency Transaction Report Workflow

The life cycle of the currency transaction report is illustrated in the following work-flow diagram (Currency Transaction Reporting Workflow). The Currency Transaction Report can be in any of the following statuses at any point.
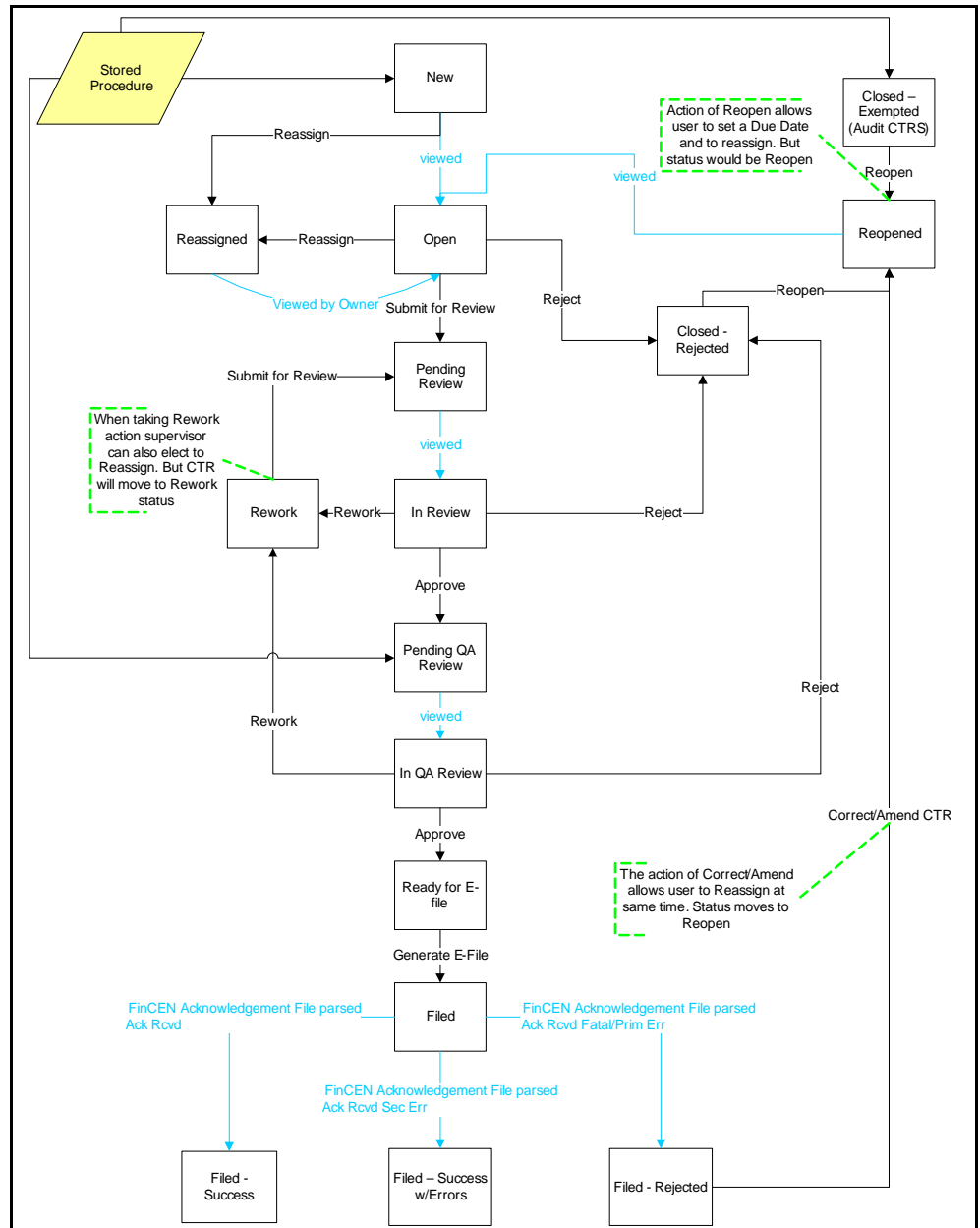
Figure 7. Currency Transaction Reporting Workflow

User Role-Status Mapping

The User Role-Status mapping available in CTR is defined in the following table. The following table determines in which statuses Currency Transaction Reports 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 Search and List Page
- Searching and Viewing CTR List

Accessing CTR List

The Search and 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 the Priority CTRs tab in the Home page.

   (Or)

   Hover over the Currency Transaction Reports tab in the application and click **Currency Transaction Reports** submenu. The Search and List page displays.
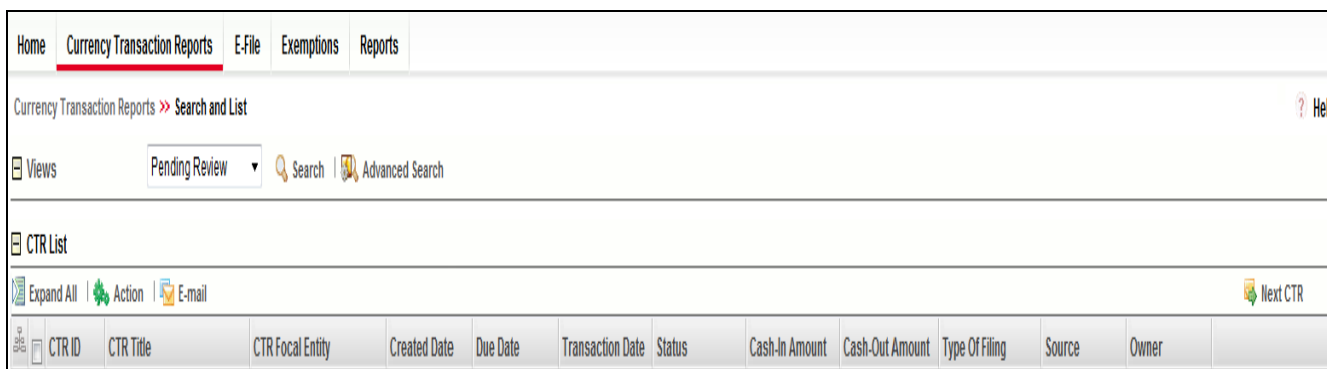
Figure 8. CTR List Page for Supervisor User
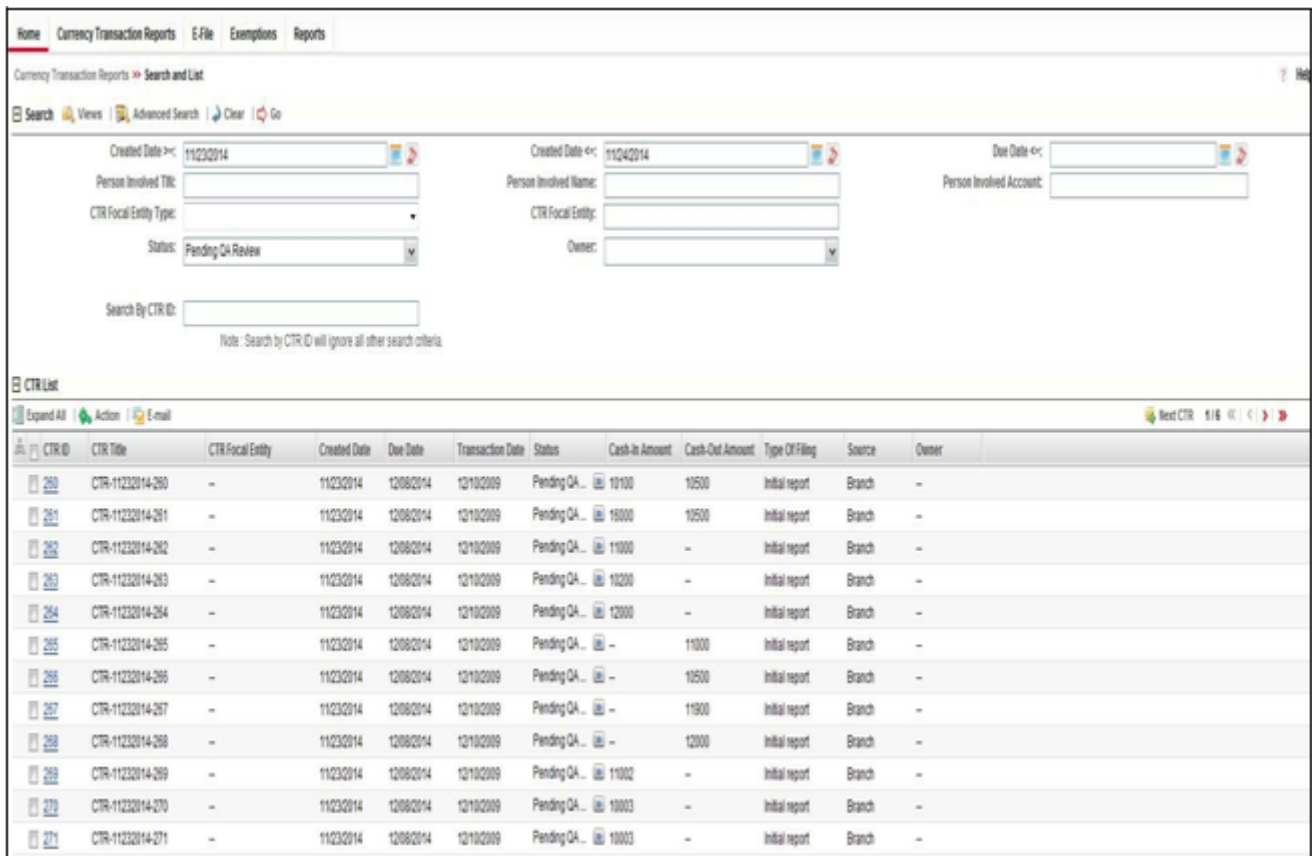
Figure 9. Search and List page for QA Analyst User

Components of Search and List Page

The Search and List page contains the following components:

- Check boxes

- Actions

- Column Headings

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.

Actions   The system provides the following action s 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. Clicking **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 Currency Transaction Reports.

- **Email**: This option allows you to send an email.

- **Batch Approval**: This option allows you batch approve Currency Transaction Reports 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 Currency Transaction Report**: This option assigns a new Currency Transaction Report to the current user.

Column Headings

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

Right-click on the column heading to sort the display. A list of sorting menus 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 Search and List page displays the summary information of the Currency Transaction Reports viewable for the current user.

To search the CTR List, hover over the Currency Transaction Reports tab in application and click **Currency Transaction Reports**. The Search and List page displays.

This section details about the following topics:

- Searching CTR List Using Search Components
- Searching CTR List Using Pre-defined Views
- Currency Transaction Report 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. Hover over the Currency Transaction Reports tab in application and click **Currency Transaction Reports**. The Search and List page displays.

2. Click **Search/Advanced Search**. The Search Components page displays.

Figure 10. Currency Transaction Report Search View

Figure 11. Currency Transaction Report Advanced Search View

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

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

2. Select any pre-defined views from Views drop-down list (for example, My Open Currency Transaction Reports record, All Open Currency Transaction Reports 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 Currency Transaction Reports** respectively. When a user accesses the Search and List page, the Currency Transaction Reports are listed based on a default search criteria. The listed Currency Transaction Reports are sorted by their Due Dates and CTR IDs. The Currency Transaction Reports 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 Currency Transaction Reports for a search criterion, the CTR automatically displays pagination option.

The Due Date values in the Search and List page displays different color for Near Due and Overdue column values.

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

Currency Transaction Report 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 Currency Transaction Reports	✔ **Note**: This view is the default view for this user.	✔	
All Open Currency Transaction Reports		✔	
My Overdue Currency Transaction Reports	✔	✔	
My Near Due Currency Transaction Reports	✔	✔	
All Overdue Currency Transaction Reports		✔	
Pending Review	✔	✔ **Note**: This view is the default view for this user.	
MY Rework Currency Transaction Reports	✔		
Pending QA Review		✔	✔ **Note**: This view is the default view for this user.

Table 5. CTR List Views User-Role Mapping

Ready for E-File		✔	
Filed – Rejected		✔	
Filed		✔	
All Audit Currency Transaction Reports		✔	

Managing Currency Transaction Report Details

This section focuses on the following topics:

- Viewing CTR Context
- Performing an Action on a Currency Transaction Report
- Sending an Email
- Approving Batch Currency Transaction Reports
- Adding a Value to User Field in Transaction Summary Tab
- Adding a Transaction
- Editing a Transaction
- Removing a Transaction
- Transaction Change History
- Adding Persons Involved Details
- Editing Persons Involved Details
- Removing Persons Involved
- Persons Involved Change History
- 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 Financial Institution
- Changing Parent Financial Institution
- Adding Comments to a Currency Transaction Report
- Adding Attachments to a Currency Transaction Report
- Removing Attachments from a Currency Transaction Report

- Viewing Attachments of a Currency Transaction Report

Viewing CTR Context

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

- In the CTR Home page under the Priority CTRs tab, click the required CTR ID to view the CTR Context.

- You can also view a CTR Context from the CTR IDs displayed in the Search and List page.

- You can also view a CTR Context by clicking **Next Currency Transaction Report** from the CTR Home page.
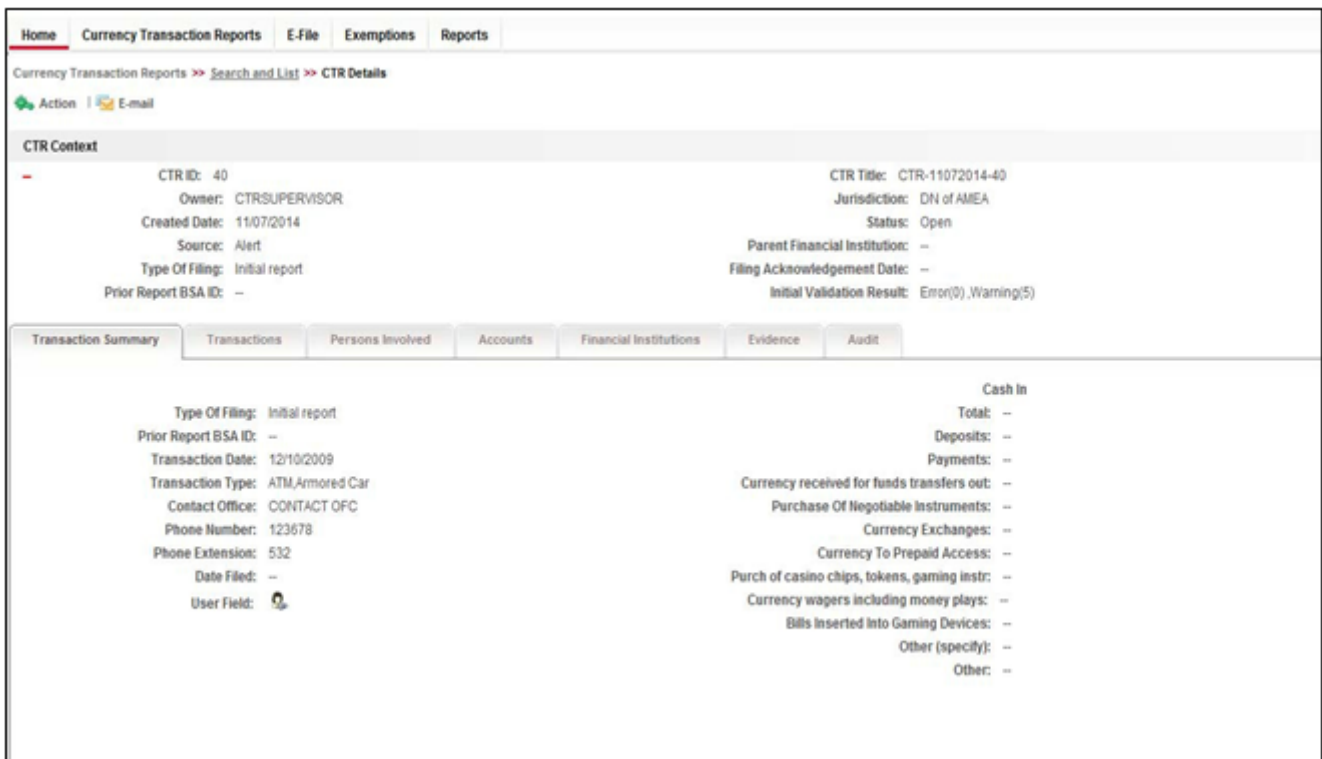
Figure 12. CTR Details Page

The following are the components of CTR Details page:

- CTR Context
- Currency Transaction Report Details Tabs

CTR Context

CTR Context displays detailed information about a Currency Transaction Report. 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

Currency Transaction Report 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 Currency Transaction Report. 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 Currency Transaction Report.

- **Transactions**: The Transactions tab provides information on the transactions associated with the Currency Transaction Report, and allows the users to take certain actions based on their user roles. Currency Transaction Report Transactions tab displays the details of all the individual transactions, and allow the user to add or remove the transactions from the Currency Transaction Report. 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 Currency Transaction Report.

- **Persons Involved**: The Persons Involved tab displays information on the individuals or entities associated with a Currency Transaction Report. You can also add or view attachments and comments for the persons involved in a Currency Transaction Report. There is only one record for a person on a Currency Transaction Report, even if the person is involved in multiple transactions on the Currency Transaction Report, with same or different involvement types. The information appearing on this tab is part of Form 4A of the E-File.

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

- **Accounts**: The Accounts tab displays the details of all the accounts associated with the transactions of the Currency Transaction Report. 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 Currency Transaction Report. 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 Currency Transaction Report. You can change the Transaction FI information and the Parent FI information present in the Currency Transaction Report 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 an add a User Field value to a Transaction FI record and Parent FI records by clicking the   .

- **Evidence**: The Evidence tab displays the comments and documents associated with the Currency Transaction Report. 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 Currency Transaction Report 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 Currency Transaction Report

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

Note: If no action is available for the selected Currency Transaction Reports then the following Information window displays.
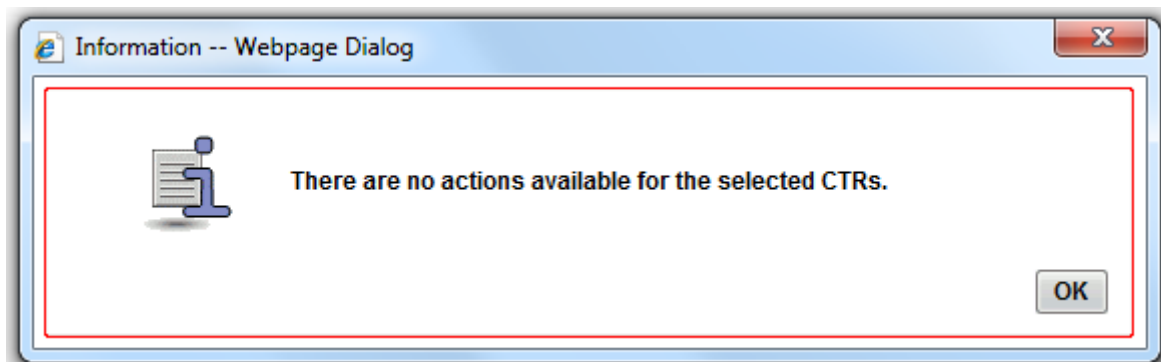
Figure 13. Information Window

To perform an action on a Currency Transaction Report, follow these steps:

1. Select one or more Currency Transaction Reports from the Search and List page and then click **Action** to take action on one or more Currency Transaction Reports.
   (Or)

   Click on the CTR ID from the Search and List page to view its details, and click **Action** from CTR Details page.
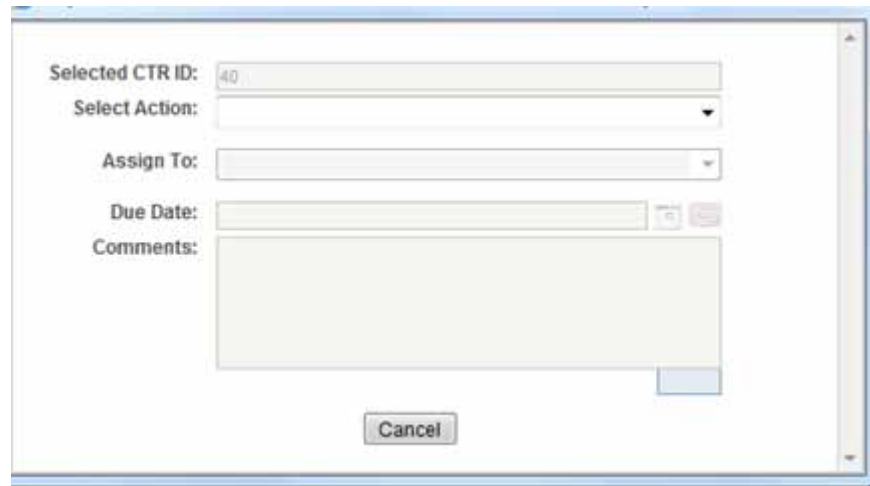
Figure 14. Actions Window

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 allows you take following actions on Currency Transaction Reports depending upon the user role and the current status: ● Reassign ● Submit for review ● Rework ● Approve[Supervisor] ● Approve[QA] ● Reject ● Reopen ● Correct/Amend Currency Transaction Report **Note**: If a user selects multiple Currency Transaction Reports from the list matrix, the available actions will be intersection of the actions allowed to individual Currency Transaction Reports based on the user role of the current user and the current statuses of the selected Currency Transaction Reports.

Table 6. Action Window Field Descriptions

Assign To	This option is a single selectable field displaying the users to whom the Currency Transaction Report can be assigned to. This field is enabled only when a user selects any of the following actions in the Select Action field: • Reassign • Submit for review • Reopen • Rework • Correct/amend Currency Transaction Report The drop-down list displays only those users who have at least one domain and at least one jurisdiction common with the Currency Transaction Report and have access to the resulting status of the Currency Transaction Report based on their user role 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.
Due Date	Enter the due date for the selected Currency Transaction Reports. This field is enabled only if a user selects Reopen option in Select Action field. On saving the action, the user selected value in this field will be updated as the due date of the Currency Transaction Report.
Comments	Enter comments in the field. This field is a mandatory if a user selects any of the following actions: • Reopen • Closed-Rejected • Closed-Exempted • Rework • Correct/Amend Currency Transaction Report

3. Click **Save**.

   The requested action is performed on the selected Currency Transaction Reports.

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

   An Actions window displays.

5. Enter a **Logical Name** and attach the required file using the **Browse** .

6. Click **Attach File**. The file is attached.
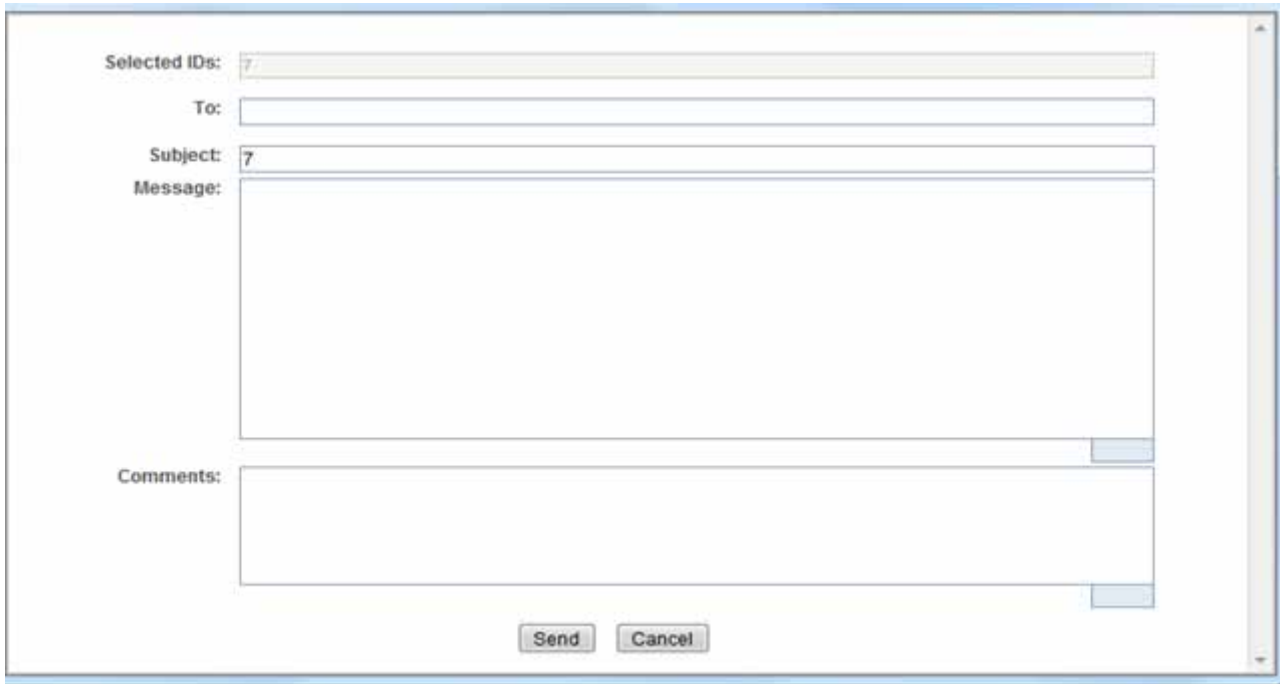
   The actions window gets refreshed and returns to default state.

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 Currency Transaction Reports from the Search and List page and click **E-mail** to send an E-mail.
   (Or)
   Click on a CTR ID from the Search and 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 Currency Transaction Reports	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 Currency Transaction Reports

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

To approve batch Currency Transaction Reports, follow these steps:

1. Login to CTR as a QA Analyst user.

2. In CTR Home page, click **CTR List** from Priority CTRs tab .

   (Or)

   In CTR, hover over the Currency Transaction Reports menu and click **Currency Transaction Reports**.

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

	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...	–	20000	Initial report	Branch	–
	390	CTR-11072014-390	–	11/07/2014	11/22/2014	12/10/2009	Pending QA...	10504	–	Initial report	Branch	–
	391	CTR-11072014-391	–	11/07/2014	11/22/2014	12/10/2009	Pending QA...	10001	10502	Initial report	Branch	–
	392	CTR-11072014-392	–	11/07/2014	11/22/2014	12/10/2009	Pending QA...	–	10601	Initial report	Branch	–
	393	CTR-11072014-393	–	11/07/2014	11/22/2014	12/10/2009	Pending QA...	10001	–	Initial report	Branch	–
	394	CTR-11072014-394	–	11/07/2014	11/22/2014	12/10/2009	Pending QA...	–	10501	Initial report	Branch	–
	395	CTR-11072014-395	–	11/07/2014	11/22/2014	12/10/2009	Pending QA...	–	13510	Initial report	Branch	–
	396	CTR-11072014-396	–	11/07/2014	11/22/2014	12/10/2009	Pending QA...	11001	–	Initial report	Branch	–
	397	CTR-11072014-397	–	11/07/2014	11/22/2014	12/10/2009	Pending QA...	–	11000	Initial report	Branch	–
	398	CTR-11072014-398	–	11/07/2014	11/22/2014	12/10/2009	Pending QA...	–	12001	Initial report	Branch	–

Figure 16. Batch Approve Currency Transaction Reports

3. Click **Batch Approval** to batch-approve all Currency Transaction Reports in Pending QA Review/In QA Review to Ready for E-File status.
A confirmation message window displays.
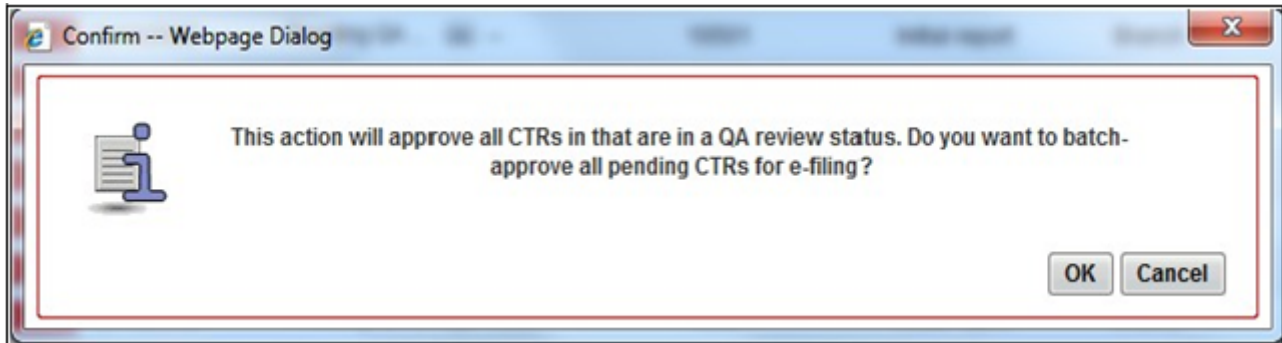
Figure 17. Batch Approval Confirm Window

4. Click **OK**.

Note: You can also select individual CTR IDs and use the Action to change 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 the Transaction Summary tab, follow these steps:

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

2. Click [icon] against the User Field in the Transaction Summary tab.

A User Field window displays.

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 Currency Transaction Report, follow these steps:

1. In the CTR Details page, click **Transaction** tab to display the transactions of a Currency Transaction Report.

2. Click **Add** to search and add a new transaction to the Currency Transaction Report.
The Add Transaction window displays.

Figure 18. 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 filed 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 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.
Transaction Date From	Enter the transaction date from using the calendar icon. The CTR 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 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**.

A confirmation window displays.

6. Click **OK** to confirm. The Transaction list is updated with the added transaction(s).

Editing a Transaction

To edit a transaction that is a part of the Currency Transaction Report, follow these steps:

1. In the CTR Details page, click **Transaction** tab to display the transactions of a Currency Transaction Report.

2. Select the required transaction that you want to edit and click **Edit**.
   The Edit Transaction window displays.

Transaction Amt-Base:	7000	Transaction Date:	12/10/2009
Entity Name:		Account ID:	BRACBSACTRCD-003
Conductor Role:	On own behalf	Conductor ID:	SEQCD-7
Debit/Credit:	Credit	Location:	BRTLCD-3
Business Reason:	Gaming Device	Description:	
Channel:	Mail Dep/Shipment	Date of Birth:	
Comments: ?			

Save   Reset   Cancel

3. Edit the required information and click **Save**. The transaction record is updated.

   Note: When the Business Reason is selected as Other, then an error message is displayed: *Please enter a value in the Transaction Business Description.*

Removing a Transaction

To remove a transaction from a Currency Transaction Report, follow these steps:

1. In the CTR Details page, click **Transaction** tab to display the transactions of the selected Currency Transaction Report.

2. Select the required transaction(s) that you want to remove from the Currency Transaction Report.

3. Click **Remove** to remove the transaction.

A confirmation window displays.
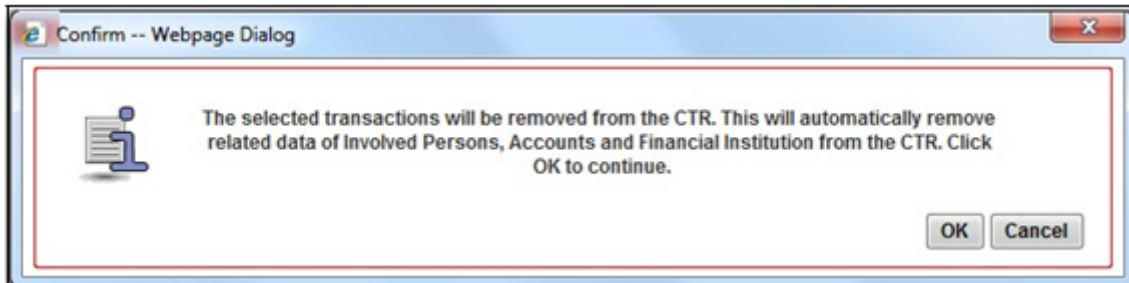
Figure 19. Remove Transaction Confirm Window

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

Transaction Change History

The Change History Left Hand Side (LHS) menu provides the transaction history information that has been carried out both in all Transactions sections. The Record Number is used to determine the difference between the two records.

To see the difference between two records, follow these steps:

1. Select two records and click **Difference**.

2. The Transaction Details window opens. Following are the fields:

- Last Modified Date

- Last Modified By

- Record Number

- Action Description

- Comments

3. The difference is seen in the record number.

Adding Persons Involved Details

To add persons involved information in a Currency Transaction Report, follow these steps:

1. In the CTR Details page, click **Persons Involved** tab.

2. Click **Add.**

The Add Person window displays.

Figure 20. Add Person Window

Add the required information in the Add Person window and click **Add to CTR.** The Person is added to the record.

Editing Persons Involved Details

To edit persons involved information in a Currency Transaction Report, 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 displays.

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.

Removing Persons Involved

To remove persons from a Currency Transaction Report, follow these steps:

1. In the CTR Details page, click **Persons Involved** tab to display the information of the selected Person.

2. Select the required person (s) that you want to remove from the Currency Transaction Report.

3. Click **Remove** to remove the Person Involved.

A confirmation window displays.
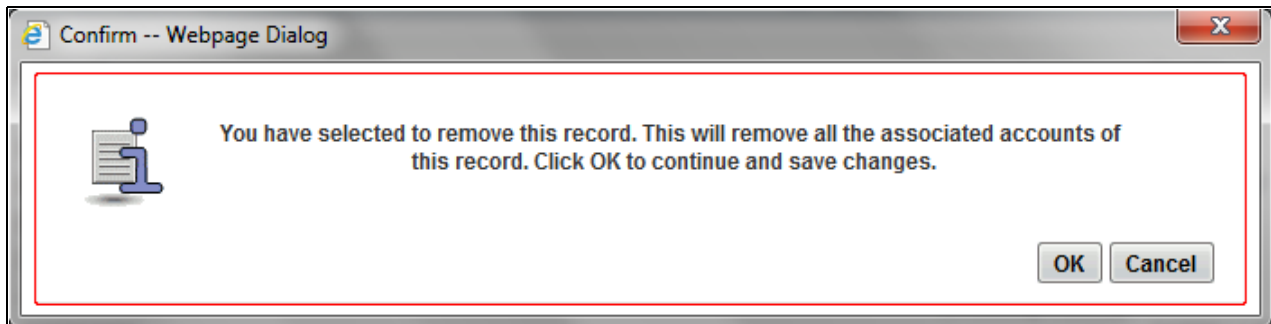
4. Click **OK** to confirm the removal of the selected person(s).

Persons Involved Change History

The Change History LHS menu provides the customer history information that has been carried out both in the Customer details section and the Supplemental Customer details sections. The Record Number is used to determine the difference between the two records.

The Change History LHS menu contains two grids:

- Person Involved Details History
- Person Involved Accounts History

To see the difference between two records, follow these steps:

1. Select two records and click **Difference**.

2. The Person Involved Details window opens. Following are the fields:

- Last Modified Date
- Last Modified By
- Record Number
- Action Description
- Comments

3. The difference is seen in the record number.

The Person Involved Accounts grid display the account details of a selected customer.

To see the difference between two records, select two records and click **Difference**.

The Person Involved Accounts window opens. The difference is seen in the record number.

Adding Comments to Persons Involved Record

To add a comment to a 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 to display all comments related to a particular person involved record.

4. Click **Add** to add a comment.
   The Add Comment window displays.

Figure 22. Add Comments Window

5. Enter comments in the comments field and click **Save**.
   A confirmation window displays.

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 a 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 displays.

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 displays.

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 displays.

5. Select the required attachments

Figure 24. Remove Attachment List Window

6. Click **Remove**.

7. Add comments in the Comments field.

8. Click **Save.** A confirmation message displays.

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 displays.

5. Select the required attachment and click **View**. A File Download window displays. \
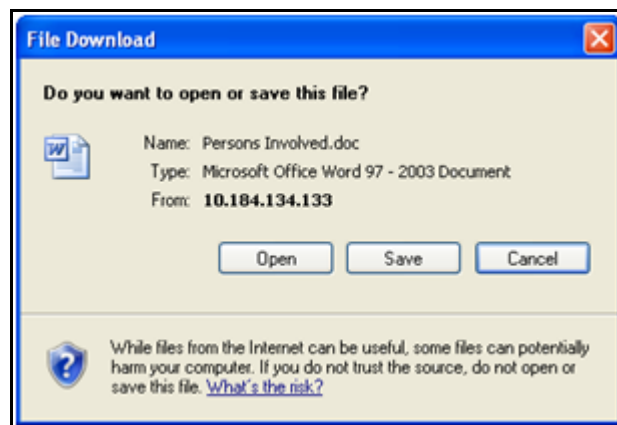
Figure 25. File Download Window

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 Financial Institution

To change the reporting financial institution (FI) of a Currency Transaction Report, 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 Currency Transaction Report.
   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 displays.

Figure 26. 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 displays.

6. Click **OK** to confirm the change of reporting financial institution information. The updated Financial Institution list page displays.

Changing Parent Financial Institution

To change the parent financial institution information of a Currency Transaction Report, 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 Currency Transaction Report.

   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 displays.

Figure 27. 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 displays.

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 Currency Transaction Report

To add comments to a Currency Transaction Report, follow these steps:

1. In the CTR Details page, click **Evidence** tab to view the list of comments and attachments associated with a Currency Transaction Report.

2. Click **Add** from Comments list to add a comment. An Add Comment window displays.

3. Enter comments in the comments field and click **Save**. A confirmation window displays.

4. Click **OK** to confirm the addition of comment.

Adding Attachments to a Currency Transaction Report

To add attachments to a Currency Transaction Report, follow these steps:

1. In the CTR Details page, click **Evidence** tab to view the list of comments and attachments associated with a Currency Transaction Report.

2. Select **Add** from Attachments list to add an attachment.

   An Add Attachment window displays.

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 displays.
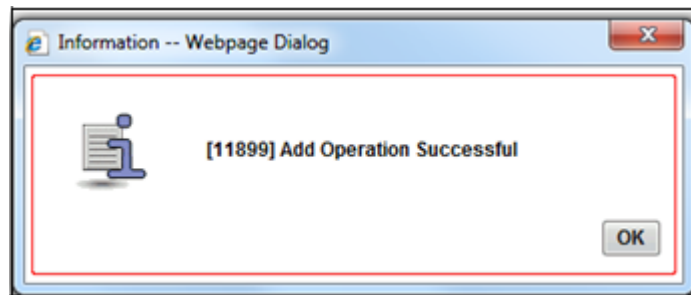
Figure 28. Add Attachments to Currency Transaction Report Information Window

5. Click **OK**. The attachment is added to the Currency Transaction Report 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 Currency Transaction Report

To remove attachments from a Currency Transaction Report, follow these steps:

1. In the CTR Details page, click **Evidence** tab to view the list of comments and attachments associated with a Currency Transaction Report.

2. Click on the attachment icon in the attachment column to view the required attachment.
   An Attachment List window displays.

3. Select the required attachment and click **Remove**.

4. Add comments in the Comments field.

5. Click **Save.** The Confirm window displays.

6. Click **OK** to confirm the removal of the attachment.

The Attachment page displays the updated list of attachments.

Viewing Attachments of a Currency Transaction Report

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 Currency Transaction Report.

2. Click on the attachment icon in the attachment column to view the required attachment.
   An Attachment List window displays.

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

   A File Download window displays.

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 Currency Transaction Report

A Currency Transaction Report can be created either manually, or through system generated alerts. Corrected report is amended with reference to the new report.

To manually create a Currency Transaction Report, follow these steps:

1. Select **Create New Report** from the Currency Transaction Reports menu.

    The Create New Report window displays.

Figure 29. Create New Report

2. Enter the Currency Transaction Report Details fields as explained in the following table:

Table 9. Currency Transaction Report 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 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 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 searches for transactions with transaction date from today's date. For example, X days to todays date, where X=1, 3 or 5.
Transaction Date From	Select a date using the calendar icon. The CTR 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 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 Currency Transaction Report is created for the selected transactions.

CHAPTER 4   *Managing E-File*

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

- E-File Workflow

- Managing Search and 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:
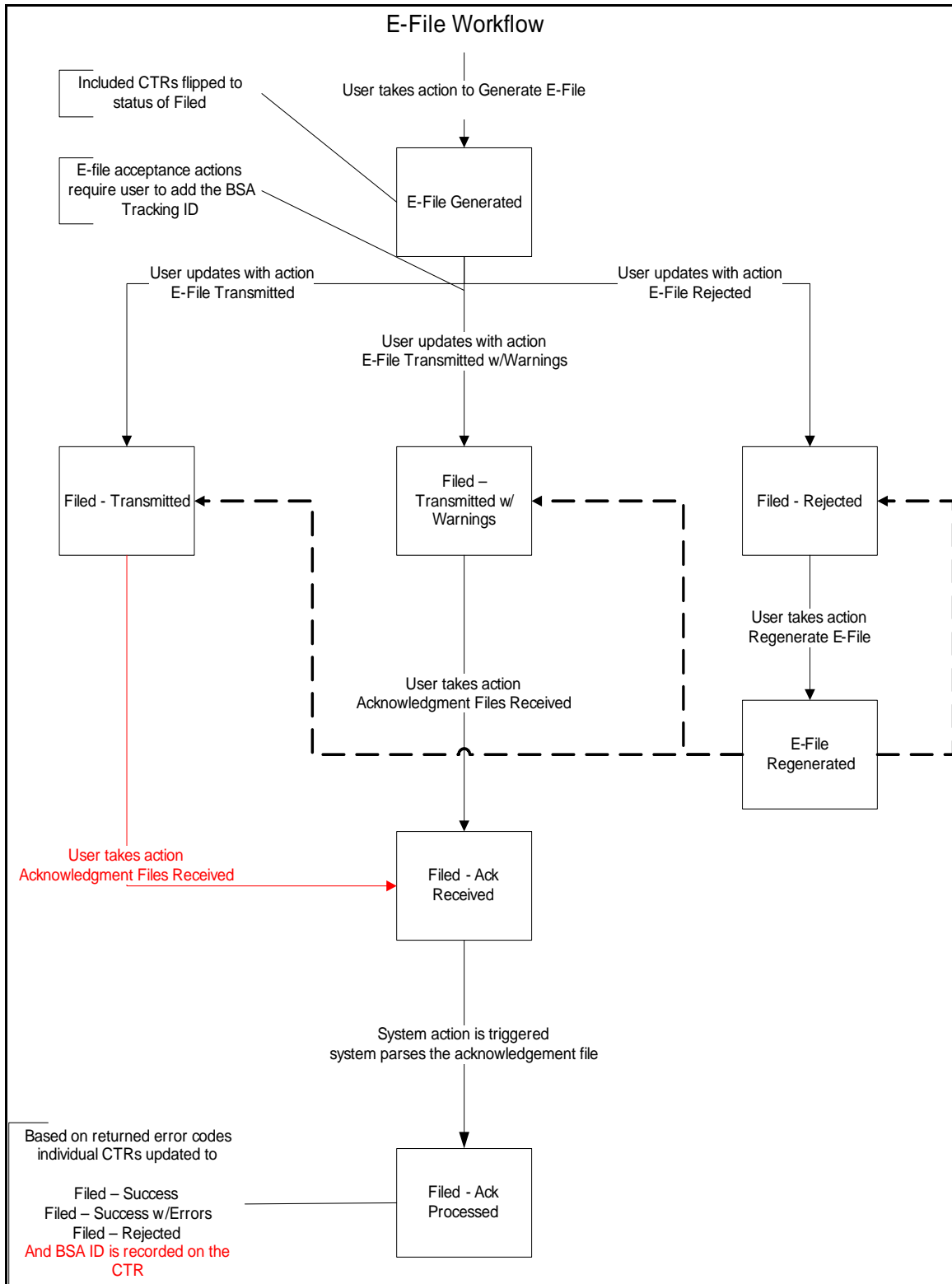
Figure 30. E-File Workflow

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 Search and List

This section discusses the following topics:

- Accessing Search and List
- Components of Search and List
- Searching and Viewing Search and List

Accessing Search and List

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

To access Search and List, hover over the E-File tab and click **E-File** submenu.

The Search and List page displays.
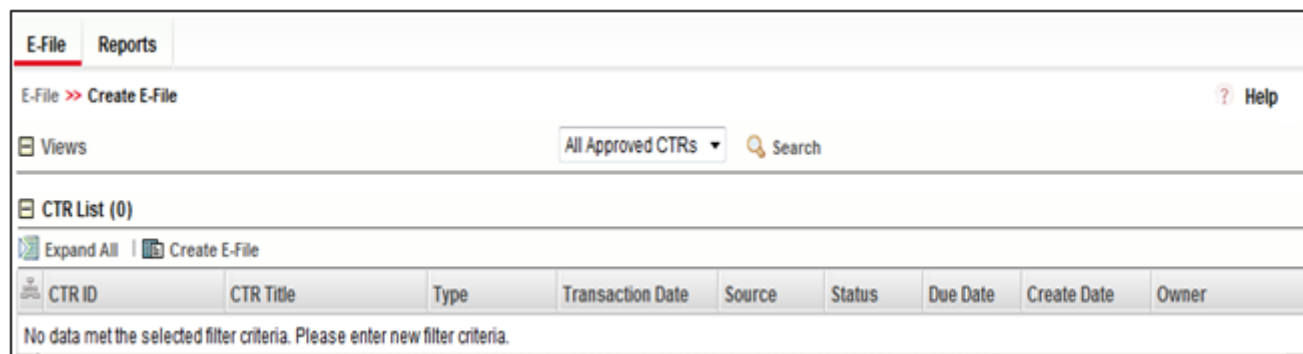
Figure 31. Search and List

Components of Search and List

The Search and List page is composed of the following components:

- Actions
- Column Headings

Actions   The system provides the following action s that appear above the list of Search and List:

- **Export to Excel**: This option allows you to export the Search and 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. Clicking **Collapse All** takes you to the original view of Search and List.

Column Headings   Column headings provide labels that tell you what kind of information displays in the columns. Most column headings in the Search and 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 refreshes the list and re-sorts the Search and List records based on the selected criteria.

The Search and 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

- Currency Transaction Report Count

- BSA E-File Track ID

- E-File

Searching and Viewing Search and List

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

To search Search and List, Hover over the E-File tab in CTR and click **Search and List**. The Search and List page displays.

This section details about following topics:

- Searching Using Search components

- Searching Search and List Using Pre-defined Views

Searching Using Search components

This page allows you to filter the Search and List using the search components.

To search Search and List using search components, follow these steps:

1. Hover over the E-File tab in CTR and click**Search and List**. The Search and List page displays.

2. Click **Search**. The Search Components page displays.

Figure 32. Search and List Search Components

3. Enter the details in the search fields as explained in the following 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: ● 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 *Ack Rcvd.*
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 *Ack Rcvd.*

Table 12. E-File Search Field Descriptions

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 Search and List Using Pre-defined Views

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

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

1. Hover over the E-File tab in CTR and click Search and List.
   The Search and List page displays.

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 Search and 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 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, you can navigate to the E-File Details page by clicking the E-File ID displayed in the Search and List page.
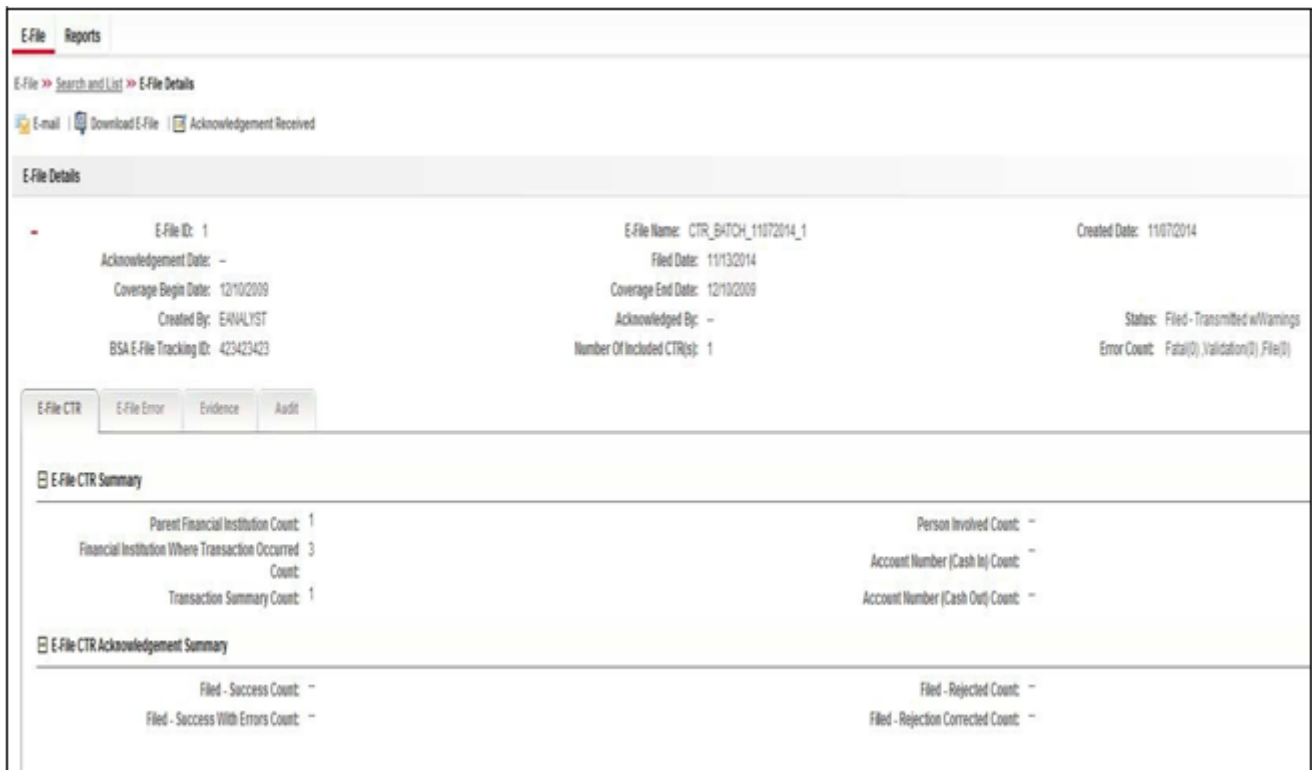
Figure 33. E-File Details Page

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 ⊕ 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 Currency Transaction Report(s)
- Error Count

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

- E-File Currency Transaction Report Tab
- E-File Error(s) Tab
- Evidence Tab
- Audit Tab

E-File Currency Transaction Report Tab	The E-File Currency Transaction Report tab displays information about Currency Transaction Reports included in the E-File. This tab contains the following information:

- E-File Currency Transaction Report Summary
- E-File Currency Transaction Report Acknowledgment Summary

E-File Currency Transaction Report Summary

The following are the record types displayed in the E-File Currency Transaction Report 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 Currency Transaction Report Acknowledgment Summary

The following are the status of the Currency Transaction Reports included in E-File Currency Transaction Report 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 Currency Transaction Report 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 Currency Transaction Reports 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 displays as empty.

E-File Currency Transaction Report File Error(s)

This section displays individual Currency Transaction Reports 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 Search and List page and displays only those Currency Transaction Reports 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** to send an e-mail.
   The E-Mail window displays.

Figure 34. E-File E-mail Window

2. Enter the required fields as explained in the following 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 these steps:

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

Figure 35. 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 if the submission was accepted on the BSA filing site without warnings or errors.

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

1. In the E-File Details page, click **E-File Transmitted** .
   The Actions window displays.
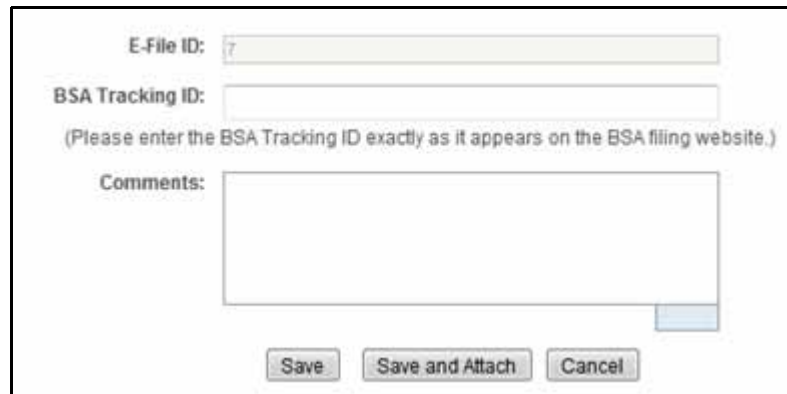
Figure 36. E-File Transmitted Actions Window

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 displays.

4. Enter a Logical Name and attach the required file using the Browse 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 if the submission was accepted on the BSA filing site with warnings.

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

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

   The Actions window displays.

Figure 37. 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 displays.

5. Enter a Logical Name and attach the required file using the Browse 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 if the submission was rejected on the BSA filing site.

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

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

   An Actions window displays.
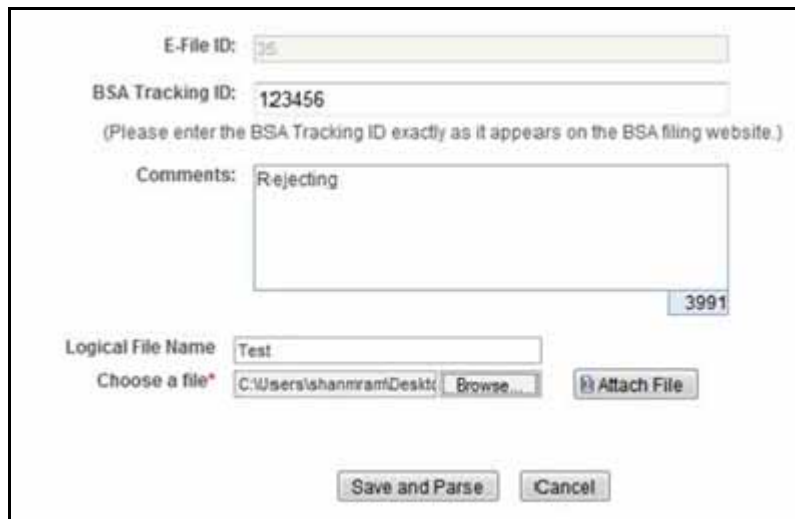
Figure 38. E-File Rejected Actions Window

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 once you receive the acknowledgment file for the submission from FinCEN. This acknowledgment file will need to be retrieved from the BSA filing site and manually uploaded for each E-File.

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 displays.

Figure 39. 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'. The included CTR reports will get a status change to relect if the parsed file returns any warnings or errors to that file.

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 once you have corrected the reason for the failed submission.

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

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

    A Generate E-File window displays.
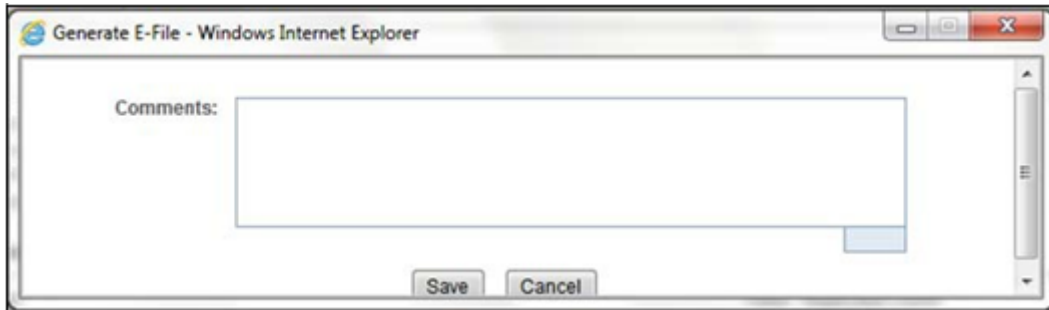
Figure 40. Regenerate E-File Actions Window

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

    A confirmation window displays.

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 these steps:

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

Figure 41. Create E-File Page

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

   (Or)

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

3. Click **Search** to filter the required Currency Transaction Reports in Ready for E-File status.

   The following window displays.
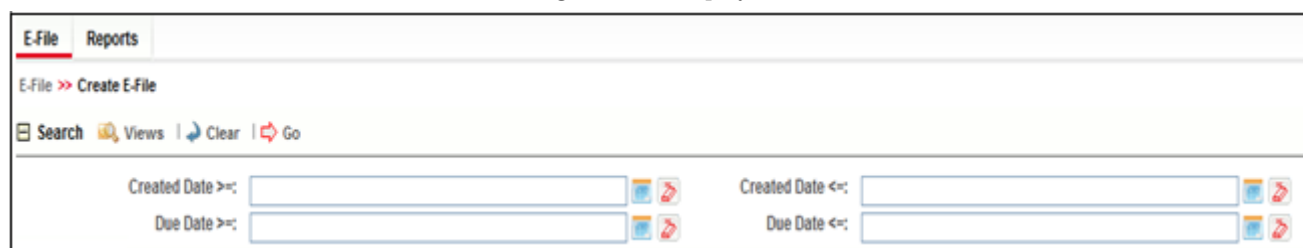
Figure 42. Create E-File Search Fields

4. In the search section, enter the Created Date From and Created Date To range to search for Currency Transaction Reports that are ready for filing.

5. Click **Go**.

   Currency Transaction Reports in 'Ready for E-File' status are filtered and displayed in the Search and List page.

6. Select **Create E-File** to display the following pop-up window:

Figure 43. Generate E-File Window

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

All the Currency Transaction Reports displayed in the Search and List results have their status changed to 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

- 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

- 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.'*

CHAPTER 5   *Managing DOEP E-File*

This chapter describes the workflow of a Declaration of Exempt Persons (DOEP) E-File, managing DOEP E-File List page, managing DOEP E-File Details page, and creating a DOEP E-File. This chapter focuses on the following topics:

- DOEP E-File Workflow
- Managing DOEP E-File List
- Managing E-File Details Page
- Creating a DOEP E-File

DOEP E-File Workflow

The below figure illustrates the workflow of DOEP E-File in the CTR:
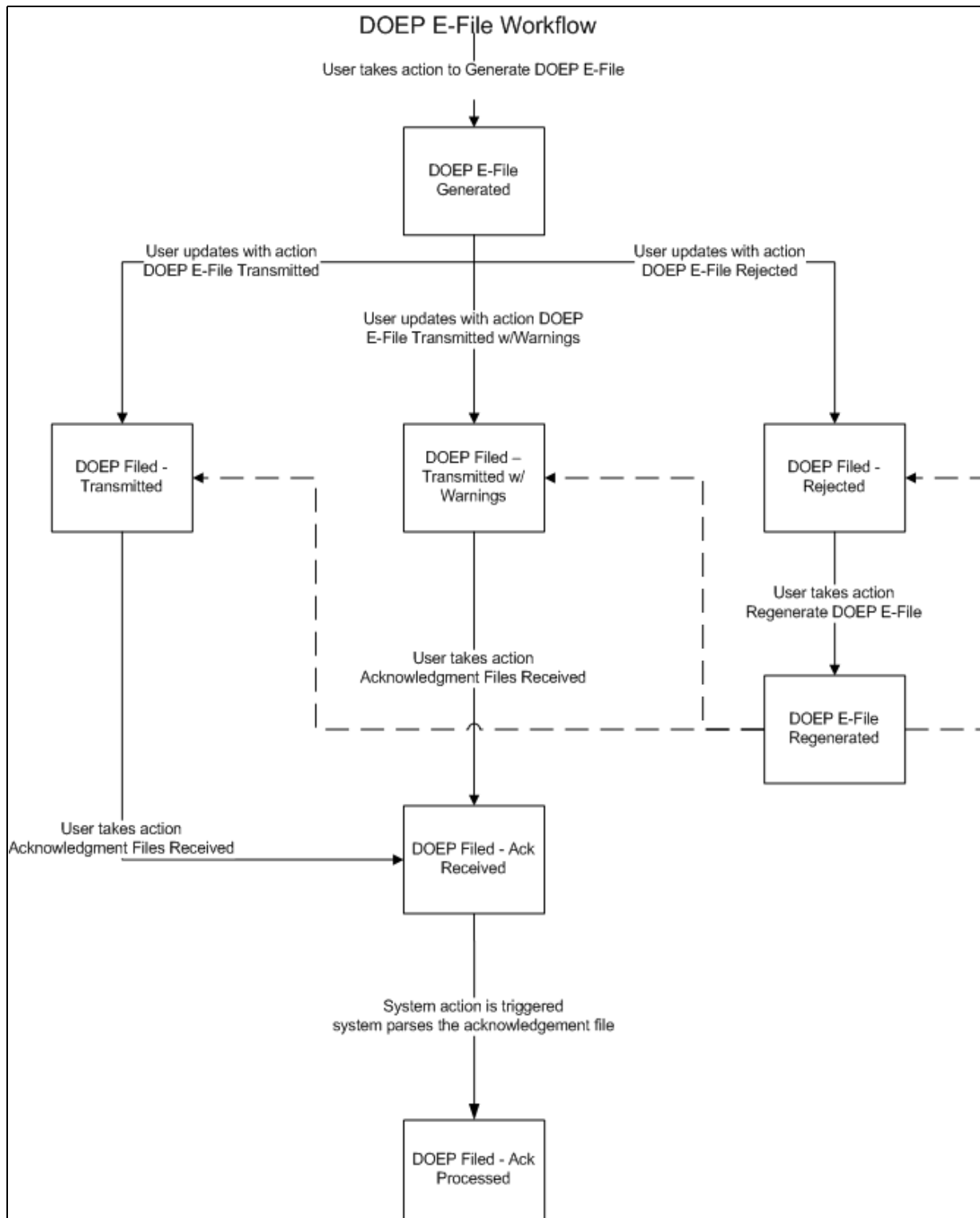
Figure 44. DOEP E-File Workflow

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

Table 15. Action-Status Mapping Table

Action Available From	Pre-action E-File status	Pre-action DOEP Status	Action	Action Taker
Create DOEP E-File page	N/A	Exempt- Ready for DOEP Filing Exempt - Amended Ready for DOEP Filing Revoked - Ready for DOEP Filing	Generate DOEP E-File	DOEP E-File Analyst, Supervisor
E-File Details	DOEP E-File Generated	DOEP E-File Generated Amended DOEP E-File Generated Revoked DOEP E-File Generated	DOEP E-File Transmitted	DOEP E-File Analyst, Supervisor
E-File Details	DOEP E-File Generated	DOEP E-File Generated Amended DOEP E-File Generated Revoked DOEP E-File Generated	DOEP E-File Transmitted w/Warnings	DOEP E-File Analyst, Supervisor
E-File Details	DOEP E-File Generated	DOEP E-File Generated Amended DOEP E-File Generated Revoked DOEP E-File Generated	DOEP E-File Rejected	DOEP E-File Analyst, Supervisor
E-File Details	DOEP Filed - Transmitted	DOEP E-File Generated Amended DOEP E-File Generated Revoked DOEP E-File Generated	DOEP Filed - Acknowledgement Received	DOEP E-File Analyst, Supervisor
E-File Details	DOEP Filed - Transmitted w/Warnings	DOEP E-File Generated Amended DOEP E-File Generated Revoked DOEP E-File Generated	Acknowledgment Files Received	DOEP E-File Analyst, Supervisor
E-File Details	DOEP Filed - Ack Received	DOEP Filed - Ack Received	Acknowledgment Files Processed	System (triggered by the Ack Received Action)

Table 15. Action-Status Mapping Table

E-File Details	DOEP Filed - E-File Rejected	DOEP Filed – E-File Rejected Amended DOEP Filed - E-File Rejected Revoked DOEP Filed - E-File Rejected	Regenerate DOEP E-File	DOEP E-File Analyst, Supervisor
E-File Details	DOEP E-File Regenerated	DOEP E-File Generated Amended DOEP E-File Generated Revoked DOEP E-File Generated	DOEP E-File Transmitted	DOEP E-File Analyst, Supervisor
E-File Details	DOEP E-File Regenerated	DOEP E-File Generated Amended DOEP E-File Generated Revoked DOEP E-File Generated	DOEP E-File Transmitted w/Warnings	DOEP E-File Analyst, Supervisor
E-File Details	DOEP E-File Regenerated	DOEP E-File Generated Amended DOEP E-File Generated Revoked DOEP E-File Generated	DOEP E-File Rejected	DOEP E-File Analyst, Supervisor
E-File Details	All Statuses	DOEP All Statuses	Download DOEP E-File	DOEP E-File Analyst, Supervisor
E-File Details	All Statuses	DOEP All Statuses	E-mail	DOEP E-File Analyst, Supervisor
E-File Details	All Statuses	DOEP All Statuses	Add Comment	DOEP E-File Analyst, Supervisor
E-File Details	All Statuses	DOEP All Statuses	Attach Document	DOEP E-File Analyst, Supervisor

Managing DOEP E-File List

This section discusses the following topics:

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

Accessing DOEP E-File List

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

To access DOEP E-File List, hover over the E-File tab and click **DOEP E-File**.

The DOEP E-File List page displays.

Figure 45. DOEP E-File List

Components of DOEP E-File List

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

- DOEP E-File List Header
- Actions
- Column Headings

DOEP E-File List Header

The header contains the title as DOEP E-File List.

Actions

 The system provides the following actions that appear above the list of Search and List:

- **Export to Excel**: This option allows you to export the Search and 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. Clicking **Collapse All** takes you to the original view of Search and List.

Column Headings
Column headings provide labels that tell you what kind of information displays in the columns. Most column headings in the Search and 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 refreshes the list and re-sorts the DOEP E-File List records based on the selected criteria.

The DOEP E-File List page has the following column headings:

- DOEP E-File ID
- DOEP E-File Name
- DOEP E-File Status
- Created Date
- Created By
- Filed Date
- Filed By
- Acknowledged Date
- Acknowledged By
- DOEP Count
- DOEP BSA ID
- E-File

Searching and Viewing DOEP E-File List

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

To search DOEP E-File List, hover over the E-File tab in CTR and click **DOEP E-File List**. The DOEP E-File List page displays.

This section details about following topics:

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

Searching DOEP E-File List Using Search components	This page allows you to filter the Search and List using the search components. To search the DOEP E-File List using search components, follow these steps:

1. Hover over the E-File tab in CTR and click **DOEP E-File List**. The collapsed Search bar with a default view selected displays.

2. Click **Search**. The Search Components page displays.

Figure 46. DOEP E-File Search Components

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

Table 16. DOEP E-File Search Field Descriptions

Column Name	Description
DOEP 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: • DOEP E-File Generated • DOEP Filed - Transmitted • DOEP Filed - Transmitted w/Warnings • DOEP Filed - Rejected • DOEP Filed - Ack Received • DOEP Filed - Ack Processed • DOEP E-File Regenerated
Created Date >=	Enter the date range for when DOEP E-File was generated. This field defaults to the current date.
Created Date <=	Enter the date range for when DOEP E-File was generated. This field defaults to the current date.
Acknowledgement Date >=	Enter the date range for acknowledgement from FinCEN was received. This field searches for DOEP E-File based on the action date of user action *Ack Rcvd*.
Acknowledgement Date <=	Enter the date range for acknowledgement from FinCEN was received. This field searches for an DOEP E-File based on action date for user action of *Ack Rcvd*.
Filed Date >=	Enter the date range for when submitted to FinCEN and submission tracked. This field searches for an DOEP E-File based on user action date that specifies the E-File site submission status namely, DOEP E-File Transmitted, DOEP E-File Transmitted w/Warnings, and DOEP E-File Rejected.

Table 16. DOEP E-File Search Field Descriptions

Filed Date <=	Enter a date range to search for DOEP E-File which were submitted to FinCEN and whose submission was tracked. This field searches for an DOEP E-File based on user action date that specifies the DOEP E-File submission status namely, DOEP E-File Transmitted, DOEP E-File Transmitted w/Warnings, and DOEP E-File Rejected.
DOEP BSA ID	Enter the DOEP BSA ID to search for Tracking IDs associated with the submitted DOEP E-File. The tracking ID is defined by the FinCEN. This search is based on Tracking ID that were added to the DOEP E-File record by the user as part of one of the post DOEP E-File submission actions namely, DOEP E-File Transmitted, DOEP E-File Transmitted w/Warnings, and DOEP E-File Rejected.
DOEP E-File ID	Search by the DOEP 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 DOEP E-File List Using Pre-defined Views

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

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

1. Hover over the E-File tab in CTR and click **DOEP E-File List**. The DOEP E-File List page displays.

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 17. E-File Pre-defined Views

Views	Description
E-Files for Submission	Returns all E-Files currently in a status of DOEP E-File Generated or DOEP Filed - Regenerated
Rejected E-Files	Returns all E-Files currently in a status of DOEP Filed - Rejected.
E-Files w/Warnings	Returns all E-Files currently in a status of DOEP Filed - Transmitted w/Warnings.

Note: When a user accesses the Search and 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 list will automatically display pagination option.

Managing E-File Details Page

This section focuses on the following topics:

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

Viewing DOEP E-File Details Page

A DOEP E-File Details page displays detailed information about the DOEP E-File. In the CTR, you can navigate to the DOEP E-File Details page by clicking the DOEP E-File ID displayed in the DOEP E-File List page.
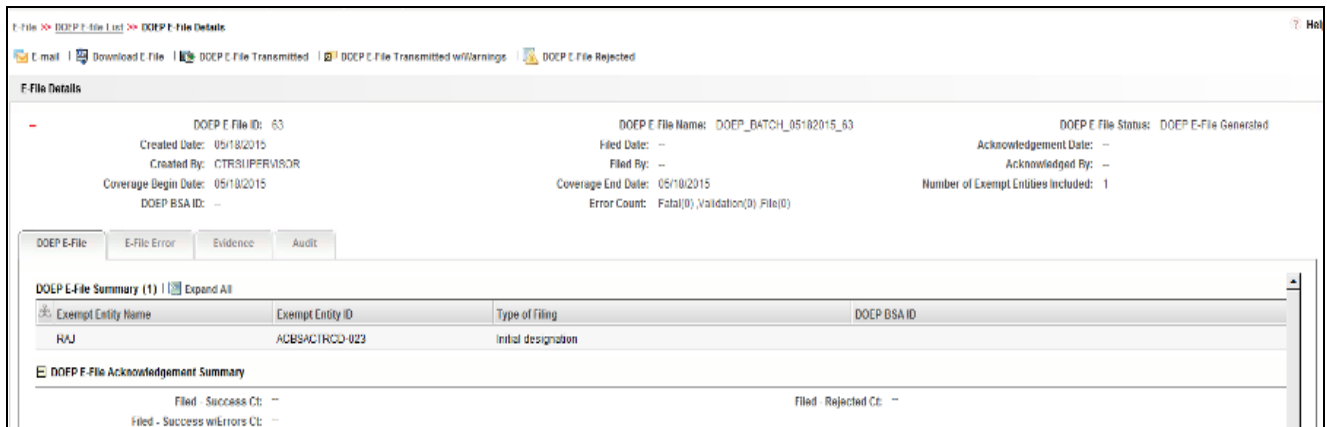
Figure 47. E-File Details Page

The following are the components of DOEP E-File Details page:

- Action Bar
- E-File Details
- DOEP E-File Details Tabs

Action Bar   Action Bar displays the different actions that can be performed based on the E-File status. Following are the actions:

- Email
- Download E-File
- DOEP E-File Transmitted

- DOEP E-File Transmitted w/Warnings
- DOEP E-File Rejected

E-File Details

E-File Details displays the detailed information about DOEP E-File. By default, DOEP E-File ID, DOEP E-File Name and DOEP E-File Status are displayed.

Click to expand the E-File Details to display the following details:

- DOEP E-File ID
- DOEP E-File Name
- DOEP E-File Status
- Created Date
- Filed Date
- Acknowledgement Date
- Created By
- Filed By
- Acknowledged By
- Coverage Begin Date
- Coverage End Date
- Number of Exempt Entities included
- DOEP BSA ID
- Error Count

DOEP E-File Details Tabs

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

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

DOEP E-File Tab

The DOEP E-File tab summarizes the details about the Exempt Entities on whom the DOEP has been filed. This tab contains the following information:

- DOEP E-File Summary
- DOEP E-File Acknowledgement Summary

DOEP E-File Summary

This tab display the entity information on whose name the Exemption has been filed. This should display the details of the Exempt Entities in the E-File. Following are the fields available:

- Exempt Entity Name
- Exempt Entity ID

- Type of Filing
- DOEP BSA ID

DOEP E-File Acknowledgement Summary

This tab displays the summary of status of Exemptions that are included in the E-File.

This section displays as empty until E-File enters the Acknowledgement Processed status.

 The following are the status of the Exemptions included in the E-File:

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

E-File Error(s) Tab

The E-File Error(s) tab which displays the error on the E-File that has been submitted and the Validation errors on the Exemptions. The E-File Error Tab displays the following information:

- E-File Fatal and Validation Error(s)
- DOEP E-File File Error(s)

E-File Fatal and 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 DOEPs 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 displays as empty.

DOEP E-File File Error(s)

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

Displays subset of fields from DOEP List page and displays only those DOEPs 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 Evidence tab has two sections namely, Comments and Attachments.

Audit Tab   The Audit tab displays the history of actions taken on a DOEP 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 DOEP E-File Details page, click **Email** to send an e-mail. The E-Mail window displays.
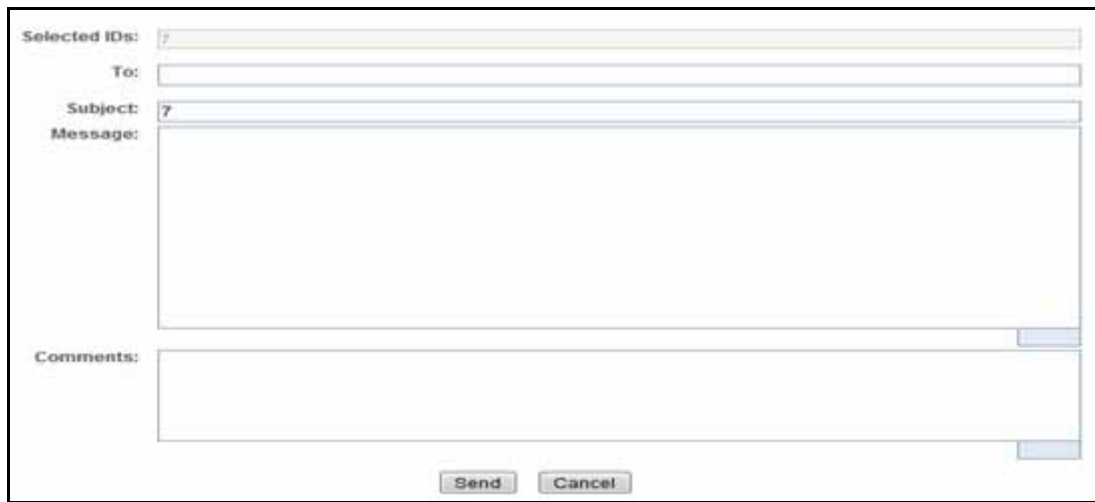
Figure 48. E-File E-mail Window

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

Table 18. 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 the comments in this field.

3. Click **Send**.
   An e-mail is sent to the specified recipients with the entered details.

Downloading an E-File

To download an E-File, follow these steps:

1. In the DOEP E-File Details page, click **Download E**-**File** to download the E-File. The File Download window displays.
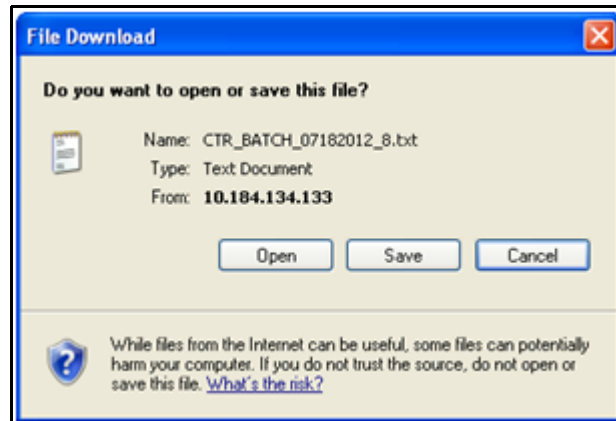
Figure 49. E-File Download Window

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 DOEP E-File Status to DOEP E-File Transmitted

When a DOEP E-File is in DOEP E-File Generated or Filed – Regenerated status, you can change the status to DOEP E-File Transmitted if the submission was accepted on the BSA filing site without warnings or errors.

To change the status of a DOEP E-File to DOEP E-File Transmitted, follow these steps:

1. In the DOEP E-File Details page, click **DOEP E-File Transmitted** . The Actions window displays.
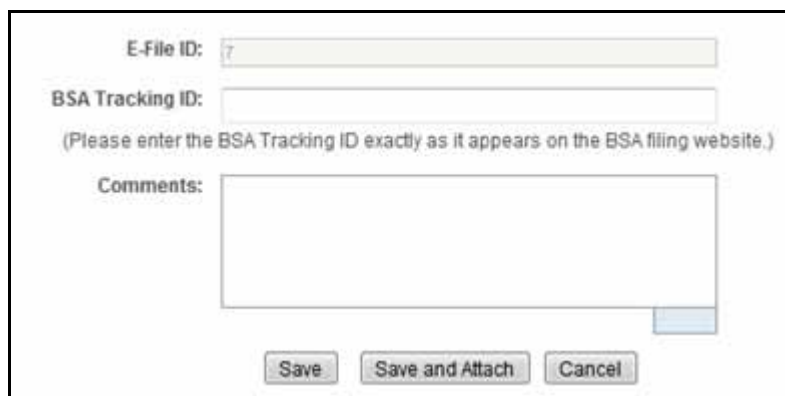
Figure 50. E-File Transmitted Actions Window

2. Click **Save**.

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

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

   An Actions window displays.

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

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

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

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

When a DOEP E-File is in E-File Generated or Filed – Regenerated status, you can change the status to E-File Transmitted w/Warnings if the submission was accepted on the BSA filing site with warnings.

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

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

   The Actions window displays.

Figure 51. 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 DOEP E-File is changed to DOEP E-File Transmitted w/Warnings.

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

   An Actions window displays.

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

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

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

Changing the DOEP E-File Status to DOEP E-File Rejected

When a DOEP E-File is in DOEP E-File Generated or Filed – Regenerated status, you can change the status to E-File Rejected if the submission was rejected on the BSA filing site.

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

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

   An Actions window displays.
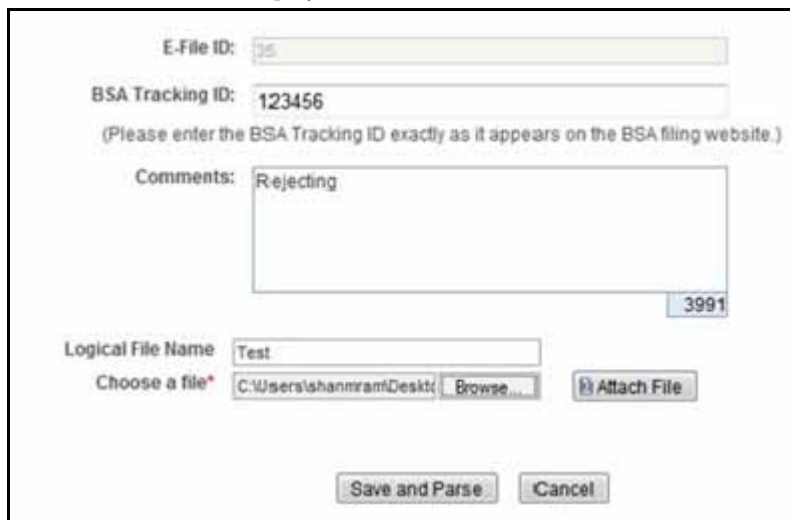
Figure 52. E-File Rejected Actions Window

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 the DOEP E-File is changed to DOEP Filed - E-File Rejected.

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

Changing the DOEP E-File Status to Acknowledgement Received

When an DOEP E-File status is in DOEP E-File Transmitted or DOEP E-File Transmitted w/Warnings, you can change the status to Acknowledgement Received once you receive the acknowledgment file for the submission from FinCEN. This acknowledgment file will need to be retrieved from the BSA filing site and manually uploaded for each E-File.

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

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

   An Actions window displays.

Figure 53. 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 DOEP E-File is changed to 'DOEP Filed - Ack Processed'.

Changing the DOEP E-File Status to Regenerate DOEP E-File

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

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

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

   A Generate DOEP E-File window displays.
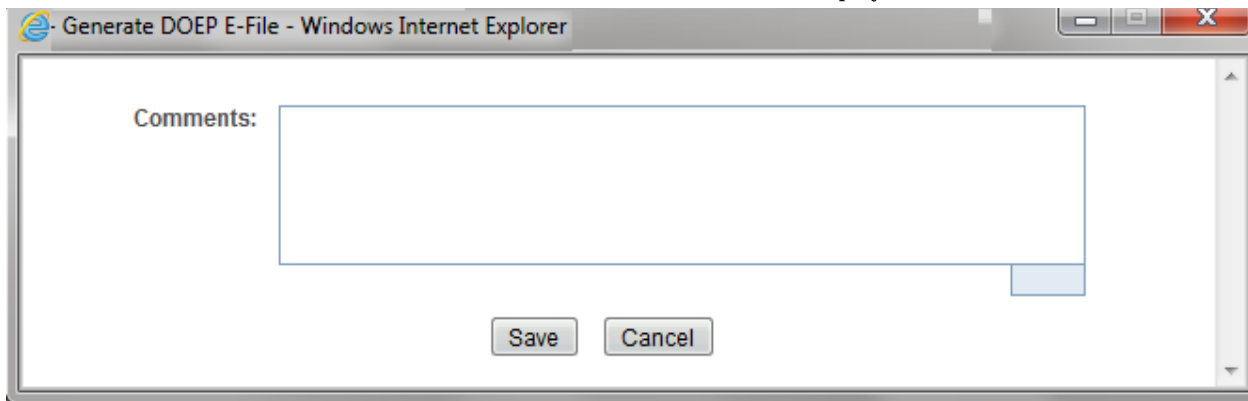
Figure 54. Regenerate E-File Actions Window

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

   A confirmation window displays.

3. Click **OK**.

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

Creating a DOEP E-File

You can create a DOEP e-file in either of the folllowing two ways:

To create a DOEP E-File, follow these steps:

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

Figure 55. Create DOEP E-File Page

2. If there are any Exemptions listed in the DOEP List for the default 'All Approved DOEPs' View option, you can click **Create DOEP E-File** to create a DOEP E-File.

(Or)

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

3. Click **Search** to filter the required Exemptions in "Ready for DOEP filing" status.

Note: When search by date filters are used, the Exemption Status should in Exempt, Revoked and the DOEP Status in Exempt - Ready for DOEP Filing, Exempt - Amended Ready for DOEP Filing, and Revoked - Ready for DOEP Filing)

The following window displays.

Figure 56. Create DOEP E-File Search Fields

4. In the search section, enter the **Created Date From** and **Created Date To** range to search for Exemptions that are ready for filing.

5. Click **Go**.

The Exemptions in "Ready for DOEP filing" status are filtered and displayed in the DOEP List page..

6. Select **Create DOEP E-File** to display the following window:
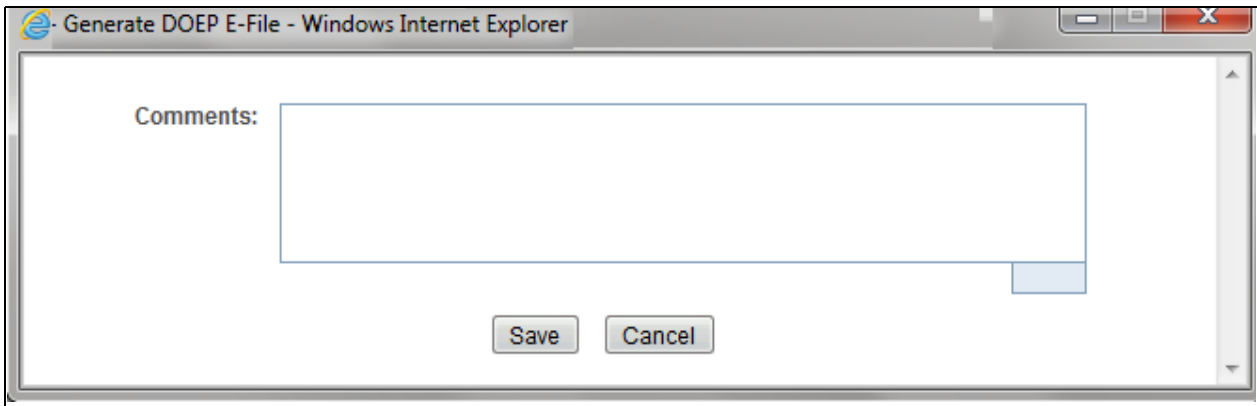
Figure 57. Generate DOEP E-File Window

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

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

Notification Email for DOEP E-File

1. If the DOEP 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 DOEP 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.'*

CHAPTER 6 — *Managing Exemptions*

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

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

Exemption WorkFlow

The following diagram illustrates the workflow of the Exemption:
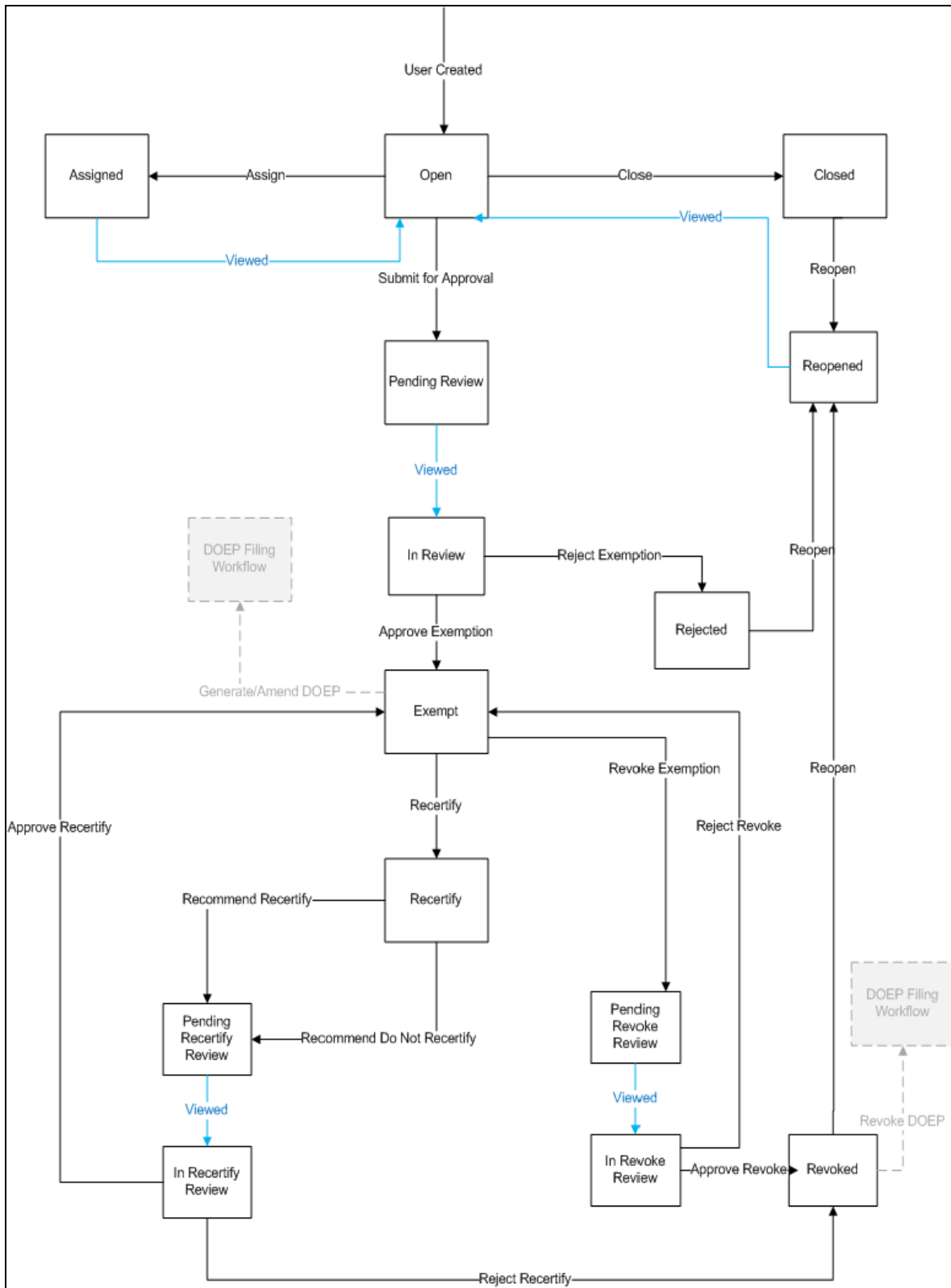
Figure 58. Exemption Workflow

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 The status of an Exemption is changed to Pending Review in the following scenarios:

- 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 An Exemption can be reassigned in the following statuses:

- Open

- Pending Review

- In- review

- Pending Recertify Review

- In Recertify Review

- Pending Revoke Review

- In Revoke Review

- Reopened

- Reassigned

- Recertify

Reassign is not possible on an Exemption when its in below status

- 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 in Pending Review status.

Exempt The status of an Exemption can be changed to Exempt when a Supervisor approves an Exemption.

An Exemption can move to Exempt status in the following cases:

- 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

An Exempt Date is the date on which the entity exempted for filing Currency Transaction Report for the first time.

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

- When an Exemption is Recertified (Approve - Recertify) as a result of a system-triggered or user- submitted Recertify action. The exempt date is not changed but the status is changed to Exempt.

- When an Exemption is Reopened from the Rejected or Closed status and 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 does not extend the expiration date on the Exemption if the Exempt status has resulted from the Reject Revoke action.

Filing the Exemptions

This section details about the various DOEP and Exemptions statuses, when the Exemptions are approved/Revoked to support DOEP Filing:

- DOEP Not Required - This action button is activated once the Exemption is approved and the DOEP status is NULL and the Exemption class is any of the following:

    - Phase I - Bank

    - Phase I - Federal, State or Local Gov Agency/Dept

    - Phase I - Entity Exercising Govt'l Authority w/in US

- Generate DOEP - This action button is activated once the Exemption is approved and the DOEP is NULL and the Exemption class is any of the following:

    - 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

On successful action, the DOEP status is changed to Exempt – Ready for DOEP Filing.

- Amend DOEP - This action button is activated once the Exemption is Exempt and the DOEP status is any of the following:

  - DOEP Filed - Success

  - Amended DOEP Filed - Success

  - DOEP Filed - Success w/Errors

  - Amended DOEP Filed - Success w/Errors

  - Revoked DOEP Filed - Success w/Errors

  - DOEP Filed - Rejected

  - Amended DOEP Filed - Rejected

  - Revoked DOEP Filed - Rejected

On successful action, the DOEP status is changed to Exempt – Amended Ready for DOEP Filing.

- Revoke DOEP - This action button is activated once the Exemption is Revoked and the DOEP status is any of the following:

  - DOEP Filed - Success

  - Amended DOEP Filed - Success

  - DOEP Filed - Success w/Errors

  - Amended DOEP Filed - Success w/Errors

  - DOEP Filed – Rejected

  - Amended DOEP Filed – Rejected

On successful action, the DOEP status is changed to Exempt – Revoked Ready for DOEP Filing.

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 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 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 applies an Initiate Recertification Date that is current day + 320 calendar days (45 days prior to yearly review date).

Note: The Initiate Recertification Date range is configurable by clients and can be set for something other than 45 days.

● 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:

● 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 Search and List

This chapter discusses the following topics:

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

Accessing Search and List

The Search and List page is available for users with appropriate roles.

To access Search and List, follow these steps:

1. Click **Exemption List** from the Priority Exemptions tab in Home page. (Or)

2. Hover over the Exemptions tab in the application and click **Exemption List**.

   The Search and List page is displayed.

Figure 59. Search and List

Components of Search and List Page

The Search and List page is composed of the following components:

- Check boxes
- Actions
- Column Headings

Check boxes	Check boxes are provided at the beginning of each row in the Search and List matrix. Select these boxes to take action on Search and List records and deselect the check box to clear it. A user can select a record from Search and List page and take actions.
Actions	The system provides the following action s that appear above the list of Exemptions:

- **Action:** This option allows you to set an action for the selected Exemptions.

- **Email**: This option allows you to email Search and 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 Search and List.

Column Headings	Column headings provide labels that tell you what kind of information displays in the columns. Most column headings in the Search and 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 Search and List records based on the selected criteria.

The Exemptions List will have the following column headings:

- Exemption ID
- Entity Name
- Entity ID
- TIN
- Exemption Date
- Recertification Start Date
- Last Certified Date
- Expire Date
- Exemption Status
- Owner

Searching and Viewing Search and List

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

To search Exemptions, hover over the Exemptions tab and click **Exemption List**. The Search and List page displays.
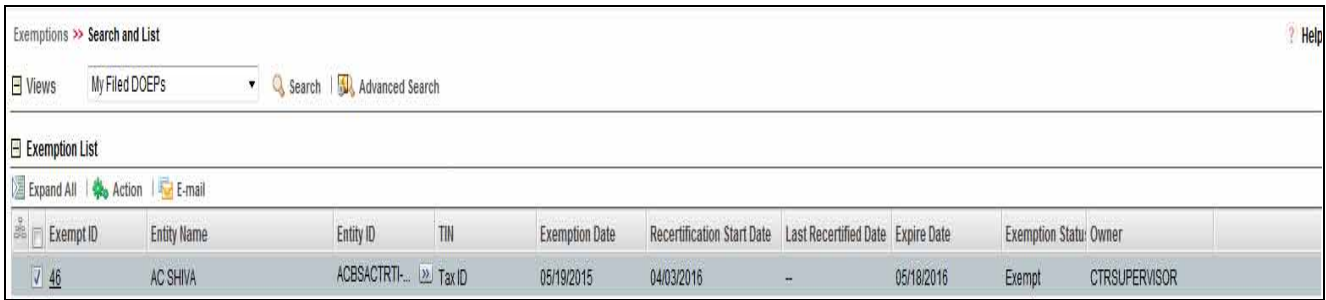
Figure 60. Search and List

This section details about following topics:

- Searching Exemptions Using Search/Advanced Components
- Searching Exemptions Using Pre-defined Views

Searching Exemptions Using Search/Advanced Components

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

1. Hover over the Exemptions tab and click **Exemptions**. The Search and List page displays.

2. Click **Search/Advanced Search**. The search components page displays.

Figure 61. Search and List Search Components

Figure 62. Search and List Advanced Search Components

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

Searching Exemptions Using Pre-defined Views

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

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

1. Hover over the Exemptions tab and click **Exemption List**. The Search and List page displays.

2. Select any pre-defined views from the 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 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 following table shows the various views that are accessible to users with different roles:

Table 19. 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.
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
DOEP Not Filed Exemptions	All Exemptions which are owned by current user and where the DOEP Status is 'DOEP Not Required'	All Exemptions which are owned by current user and where the DOEP Status is 'DOEP Not Required'

Table 19. Pre-Defined Exemption Views Table

My Filed DOEPs	All Exemptions which are owned by the current user and where the DOEP Status in ('DOEP Filed - Success', 'Amended DOEP Filed - Success ', 'Revoked DOEP Filed - Success', 'DOEP Filed - Success w/Errors', 'Amended DOEP Filed - Success w/Errors', 'Revoked DOEP Filed - Success w/Errors')	All Exemptions which are owned by the current user and where the DOEP Status in ('DOEP Filed - Success', 'Amended DOEP Filed - Success ', 'Revoked DOEP Filed - Success', 'DOEP Filed - Success w/Errors', 'Amended DOEP Filed - Success w/Errors', 'Revoked DOEP Filed - Success w/Errors')
My Rejected DOEPs	All Exemptions which are owned by the current user and where the DOEP Status in ('DOEP Filed - Rejected', 'Amended DOEP Filed – Rejected', 'Revoked DOEP Filed – Rejected')	All Exemptions which are owned by the current user and where the DOEP Status in ('DOEP Filed - Rejected', 'Amended DOEP Filed – Rejected', 'Revoked DOEP Filed – Rejected')

Managing Exemption Details Page

This chapter focuses on the following topics:

- Viewing Exemption Details Pagee
- Exemption Context
- Exemption Details Tabs
- Performing Actions on Exemptions
- 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 CTR, a user can view an Exemption Details page in the following ways:

- In the CTR 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 Search and List page.

Figure 63. Exemption Details Page

The following are the components of Exemption Details page:

- Exemption Context
- Exemption Details Tabs

Exemption Context   Exemption Details displays detailed information about an Exemption. By default, Exemption ID, Expire Date, and Entity Name details are displayed. Click 🟦 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 20. Exemption Details

Field	Description
Exemption ID	The ID generated for the Exemption.

Table 20. Exemption Details

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 form 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 Currency Transaction Reports 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 Currency Transaction Report.
  When an Exemption is on a Customer ID, the transaction tab displays all transactions that have been matched to a Currency Transaction Report 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 displays 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 tab displays all Currency Transaction Reports and Audit Currency Transaction Reports where the exempt entity appears as Involved Party. If the Exemption is on Account, all the Currency Transaction Reports are displayed on which the exempt account exists in any of the transaction. If the Exemption is on Customer, all the Currency Transaction Reports 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 displays the pagination options.
  Related CTRs tab 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 the 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 Currency Transaction Report 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 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:

  - Person Involved Details

  - Contact Info

  - Person Involved Accounts

  - Attachment

  - Comments

  - Change History

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

  - Customer ID

  - Customer Type

  - Is Entity a DOEP Subject

  - Customer Name

  - Legal Structure

  - Exemption Class

  - Organization Name

  - Bus Domain

  - Filing Institution

  - Date of Incorporation

  - Account Count

  - Industry

  - NAICS Code

  - Occupation

  - Registration Type

  - ID Issuing Country

  - TIN Format

- ■ Status

- ■ Open Date

- ■ Credit Rating

- ■ Country of Taxation

For Is Entity a DOEP Subject field:

- ■ If there are no DOEP subject selected for any of the customer available in the customer list, then system should show that the mandatory details are not available.

- ■ If there are more customer involved in the Exemptions, then this field is kept as blank and customer need to update this field by editing then only he can move on approving the Exemptions.

In the Filing Institution drop-down list, if there are more than one filing institution selected, then the user has to update this field so that he can approve the Exemptions.

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

The Customer tab provides you the ability to edit the Customer Details.

To edit the customer details, follow these steps:

1. Under the customer tab, select the customer id and click **Edit**.

2. The Edit Customer Details window opens.

Figure 64. Edit Customer Details Window

3. Edit the required information and click **Save**. The customer record is updated.

The Change History LHS menu provides the customer history information that has been carried out both in the Customer details section and the Supplemental Customer details sections.

The Change History LHS menu contains two grids:

- ● Customer Detail History

- ● Customer Address History

The Customer Detail History grid displays the detailed information of a selected customer with the following fields:

- Customer ID
- Customer Type
- Is Entity a DOEP Subject
- Customer Name
- Legal Structure
- Exemption Class
- Organization Name
- Bus Domain
- Filing Institution
- Date of Incorporation
- Accont Count
- Industry
- NAICS Code
- Occupation
- Registration Type
- ID Issuing Country
- TIN Format
- Status
- Open Date
- Credit Rating
- Country of Taxation

To see the difference between two records, follow these steps:

1. Select two records and click **Difference**.

2. The Customer Details window opens. The difference in the two records is seeen in Red color font.

The Customer Address grid displays the detailed address of a selected customer.

To see the difference between two records, follow these steps:

1. Select two records and click **Difference**.

2. The Customer Address history window opens. The difference in the two records is seeen in Red color font.

- **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 Actions on Exemptions

You 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.

Figure 65. Actions Window

To perform an action on an Exemption, follow these steps:

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

Figure 66. Actions Window

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

Table 21. Exemptions Action Window Field Description

Field	Description
Selected Exemption ID	This field displays the IDs that were selected from Search and List results. This field is not editable.
Select Action	The action allows you take following actions on Exemptions depending upon the user role and the current status. Actions available for Exemption Supervisor Role ● 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 Actions available for Exemption Analyst Role ● Reassign ● Submit for Approval ● Close ● Recommend Recertify ● Recommend Do Not Recertify ● Recertify ● Reopen ● Revoke Exemption

Table 21. Exemptions Action Window Field Description

Assign To	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: ● 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.

3. 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 these steps:

1. Select one or more Exemptions from the Search and List page and click **E-mail** to E-mail multiple Exemptions.
   (Or)

2. Click on a Exemption ID from the Search and List page to view its details, and click **E-mail** from the Exemption Details page.
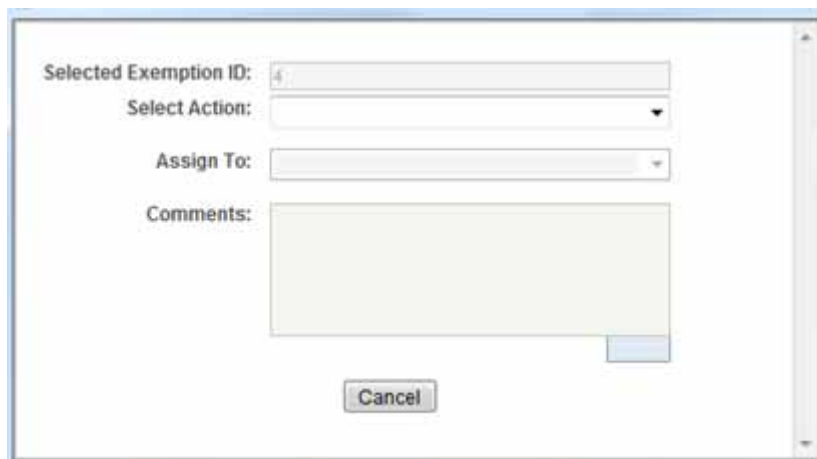

Figure 67. E-mail Window

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

Table 22. 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.
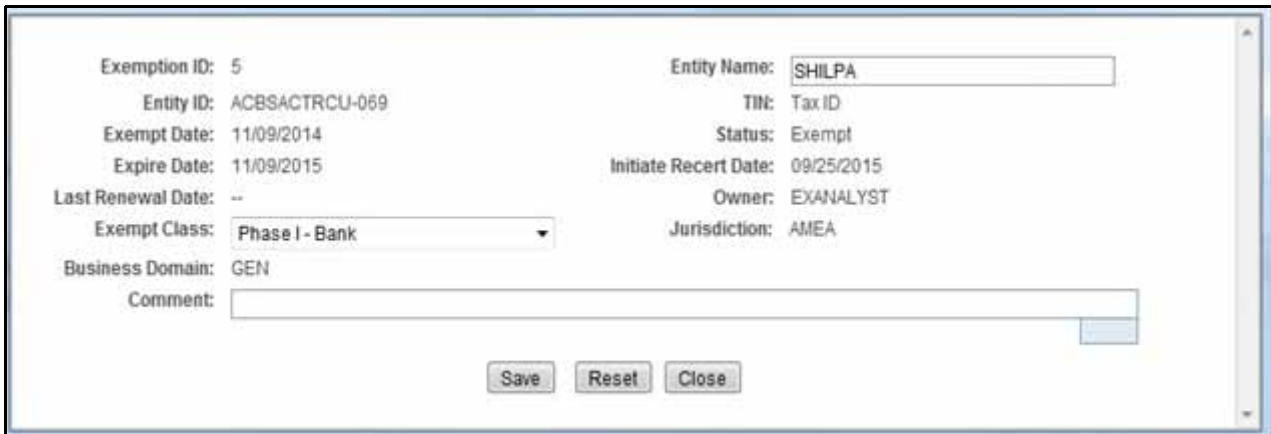
4. Click **Save**.

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

Editing Exemption Details

To edit Exemption details information in a Currency Transaction Report, following the below steps:

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

Figure 68. Edit Context window

2. You can only edit Exempt Class, Entity Name and add Comments in the Edit Context widow.

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 these 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** to add a comment.

The Add Comment window is displayed.

Figure 69. Exemption Add Comments Window

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

A confirmation window is displayed.
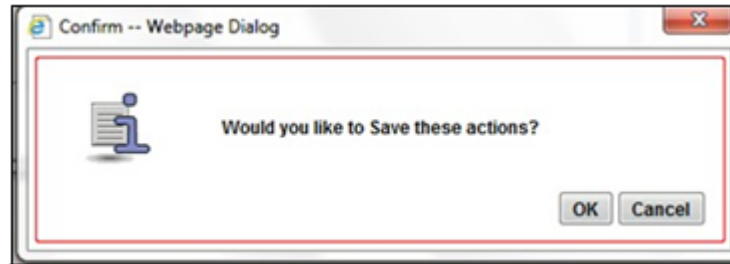
Figure 70. Exemption Add Comments Confirmation Window

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 these 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** to add a comment.

   The Add Attachments window is displayed.

Figure 71. 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** 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.
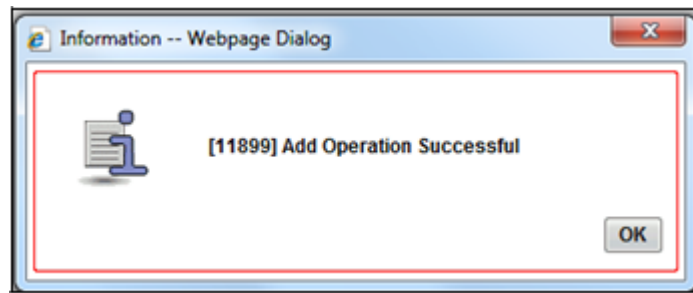
Figure 72. Exemption Information Window

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 these 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 73. 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 these 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.
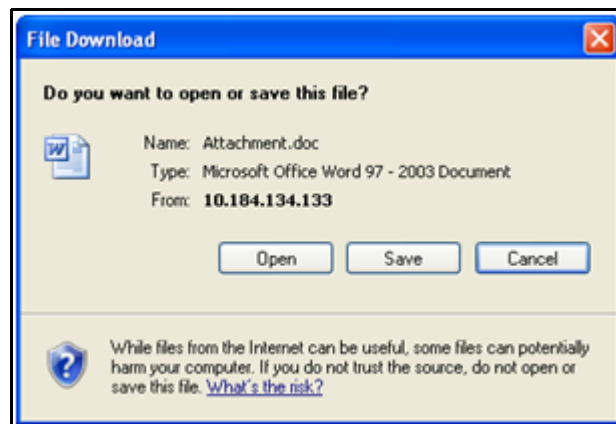
Figure 74. Exemption Attachment File Download Window

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 these 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** 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 these 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** 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** 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 these 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.
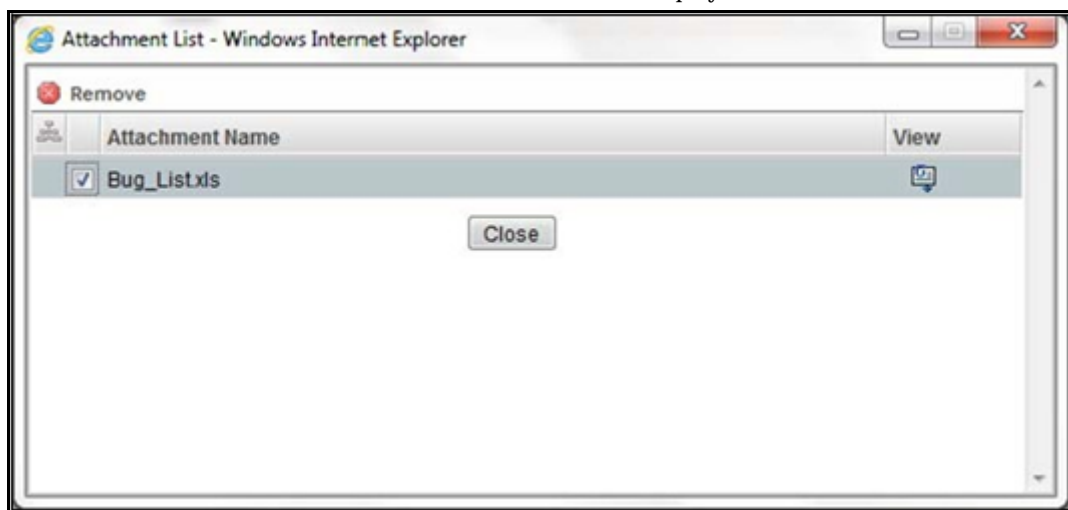   An Attachment List window is displayed.

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 these 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 these 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 these 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** 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 these 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

To view the attachments of an Exemption, follow these 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 **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.

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

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

Figure 75. Create Exemption Search Page

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

Table 23. 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.
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.

Table 23. Create Exemption Field Description

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 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 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 76. Create Exemption Dialog 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.

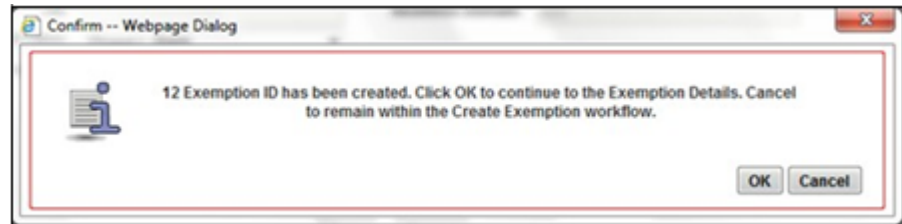9. Click **Save**.

   A confirm window is displayed.

Figure 77. 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 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 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 Currency Transaction Report, 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, hover over the Reports menu in CTR and click **Reports**.
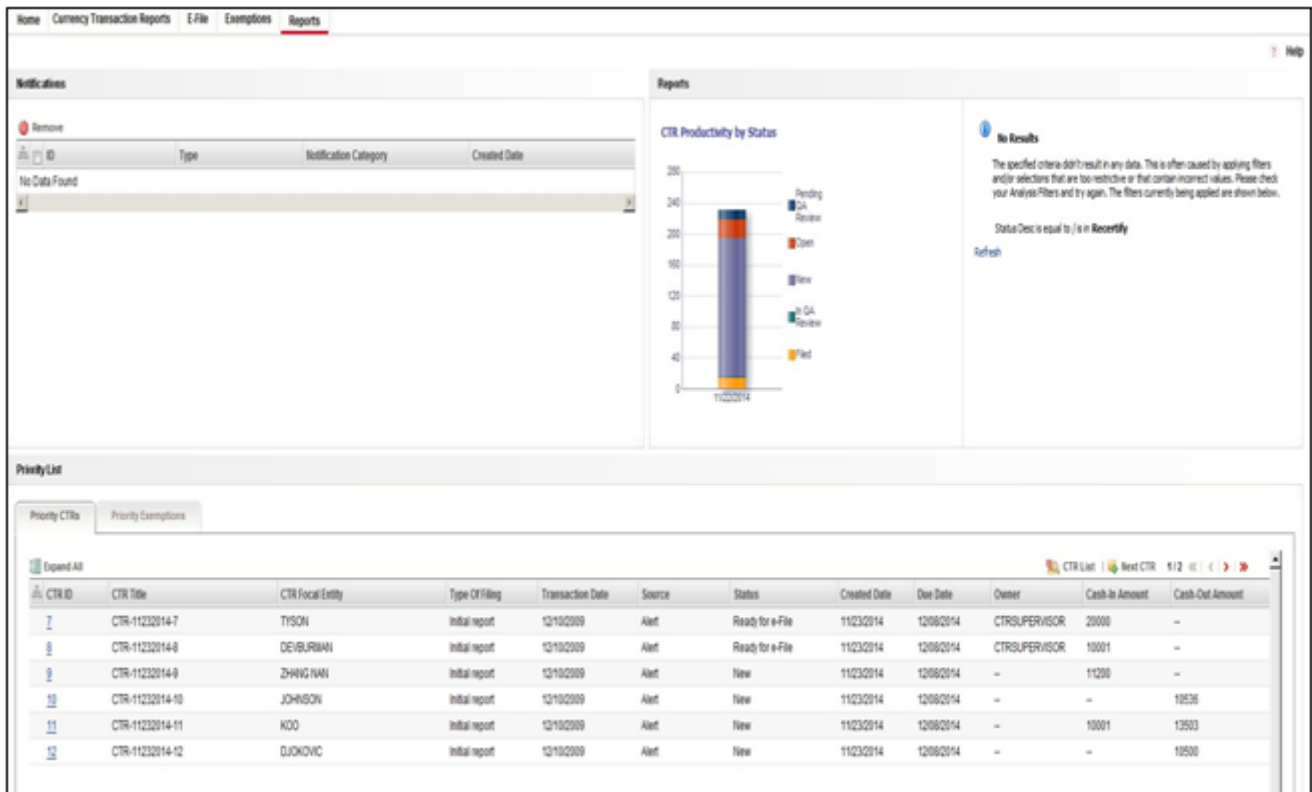

Figure 78. Accessing Reports

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

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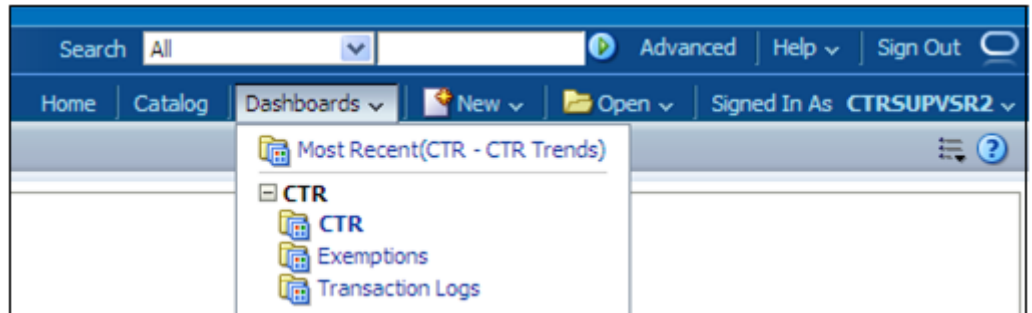

Figure 79. Reports Dashboard List

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

Currency Transaction Report Reports-User Role Mapping

The following table illustrates the various Currency Transaction Report Reports that are accessible for each user role.

Table 24. Currency Transaction Report Reports-User Roles Mapping Table

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

Table 24. Currency Transaction Report Reports-User Roles Mapping Table

MI Transaction Log	✔	✔		✔
Currency Transaction Journal	✔	✔		✔

Dashboard Types

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

- Currency Transaction Report Dashboard
- Exemption Dashboard
- Transaction Logs Dashboard

Currency Transaction Report Dashboard

The following are the reports generated for theCTR Dashboard:

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

CTR Productivity by Status

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

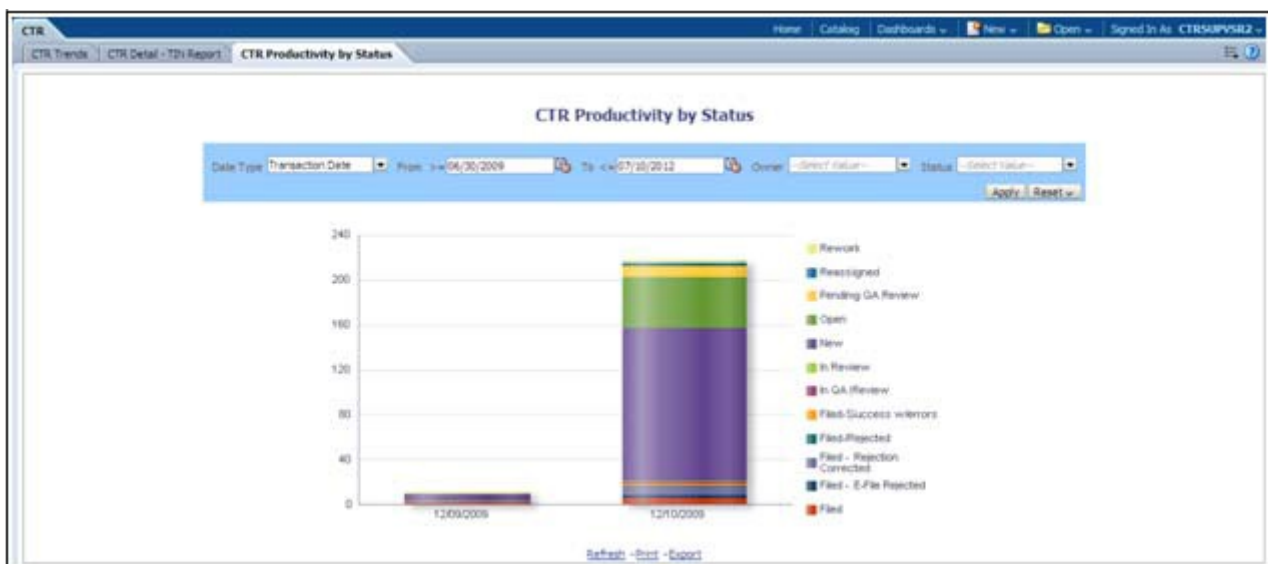Only a user with a Supervisor role can view and generate this report.

Figure 80. 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 25. 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.

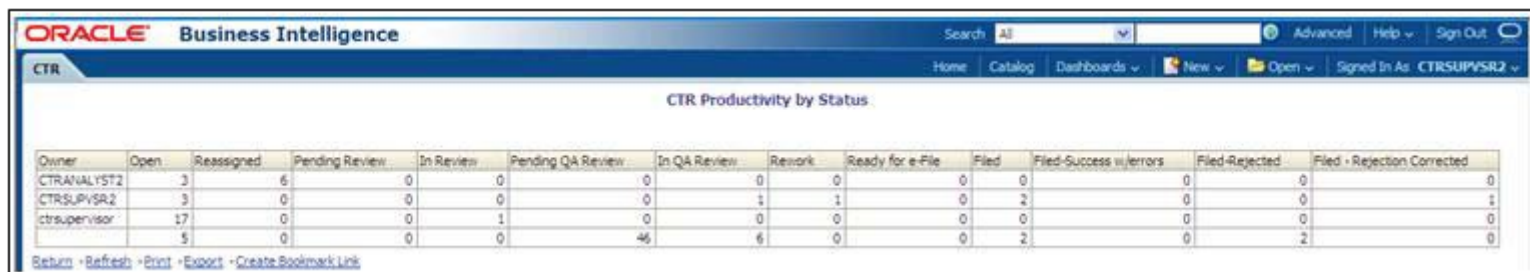6. Click on the column bar to view the detailed count of each statuses in a tabular format.

Figure 81. 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

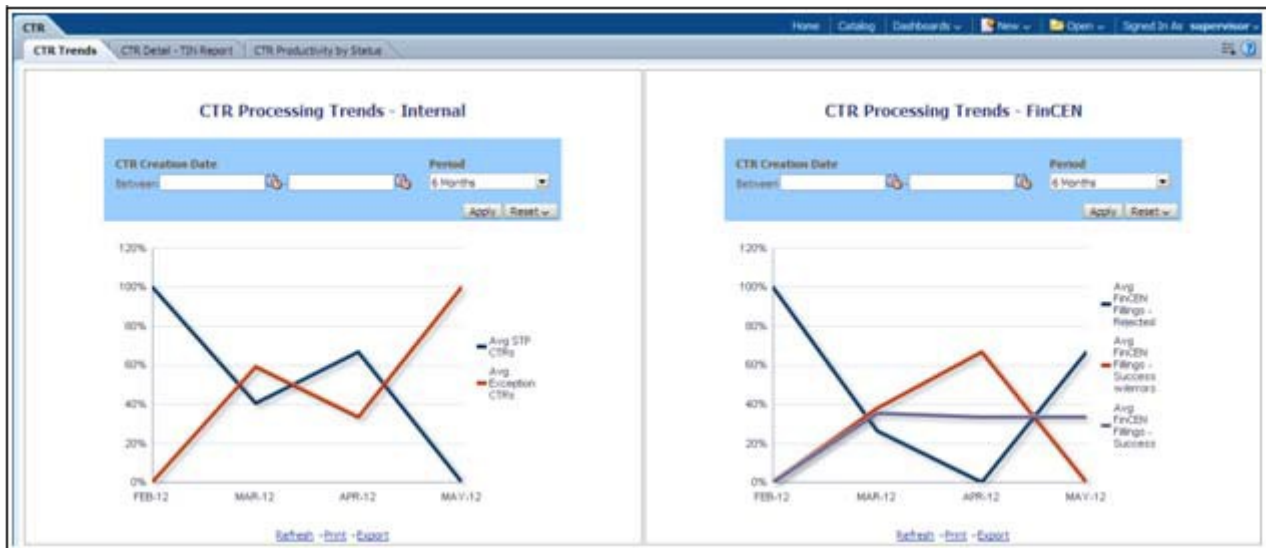● Generating CTR Processing Trends - FinCEN Acknowledgements

Figure 82. CTR Trends

Generating CTR Processing Trends- Internal

The Generating CTR Processing Trends- Internal report shows the trends of Currency Transaction Reports based on those that require exception processing those that are handled in straight through processing (STP). This report measures the Avg STP Currency Transaction Reports and Avg Exception Currency Transaction Reports. This line graph report includes Currency Transaction Reports 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** to display the list of dashboards.

2. Select a 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.

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

Table 26. Generating CTR Processing Trends - Internal Filter Descriptions

Filter Name	Description
Currency Transaction Report Creation Date Between	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Currency Transaction Report 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.

5. 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.

6. 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 Currency Transaction Reports 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 Currency Transaction Reports 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:

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

2. SelectCTR Dashboard.

   Different report types related toCTR 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.

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

Table 27. Generating CTR Processing Trends - FinCEN Acknowledgements Filter Descriptions

Filter Name	Description
Currency Transaction Report Creation Date Between	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Currency Transaction Report 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.

5. Click **Apply**.
A line graph report showing Currency Transaction Report CTR Processing Trends - FinCEN Acknowledgements 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 Report Detail – TIN Report

The Currency Transaction Report Detail – TIN Report shows the Currency Transaction Report 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 Currency Transaction Report Count, TIN #, Total Cash In Amount, and Total Cash Out Amount. This report includes the Currency Transaction Reports in the following statuses:

- Filed – Success

- Filed - Success w/errors

- Closed - Exempted status (If Include Exempted Currency Transaction Reports option is set to Y)
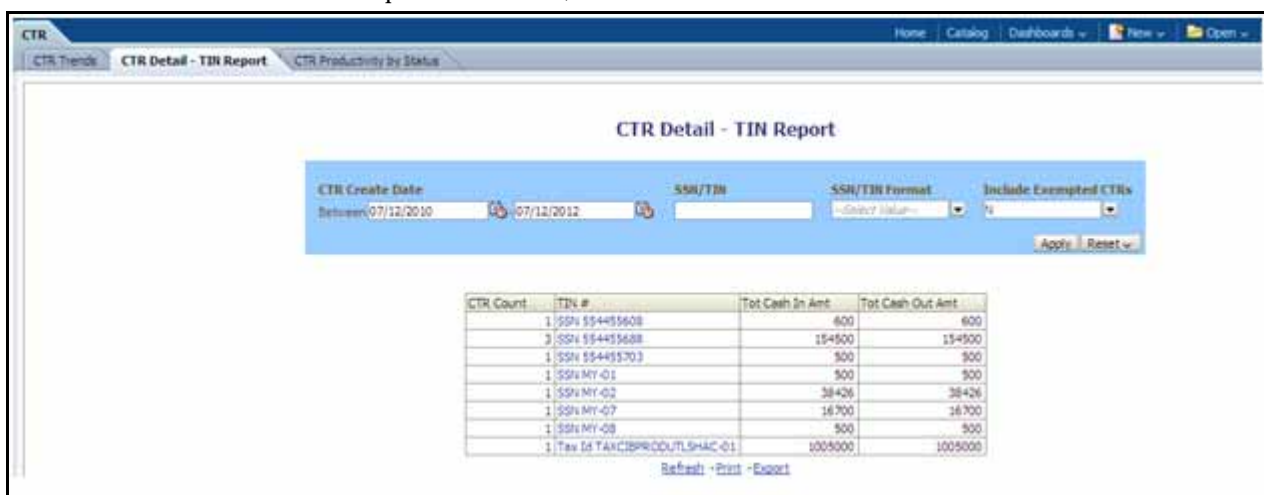

Figure 83. Currency Transaction Report Detail – TIN Report

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

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

2. SelectCTR Dashboard.

   Different report types related toCTR Dashboards are displayed in tabs depending upon the user role.

3. Select Currency Transaction Report Detail – TIN Report tab.
   The Currency Transaction Report Detail – TIN Report page is displayed with default values entered in the filters.

4. To view the Currency Transaction Report Detail – TIN Report, enter the details as described in the following table:

Table 28. Currency Transaction Report Detail – TIN Report Filter Descriptions

Filter Name	Description
Currency Transaction Report 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.
Currency Transaction Report 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 Currency Transaction Reports	Select Y or N if you want to include exempted Currency Transaction Reports in your report. This field defaults to N. Note: If you select 'Include Exempted Currency Transaction Reports' option as N, Audit Currency Transaction Reports from the search results is excluded.

5. Click **Apply**.
   A tabular report showing Currency Transaction Report 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.

Figure 84. 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 Currency Transaction Report Detail - TIN Report.

Exemption Dashboard

The following are the reports generated for Exemption dashboard:

- Recertify Productivity Report
- Revoked Exemptions
- New Exemption Reports
- High Volume Currency Transaction Report Entities
- Audit Currency Transaction Report 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 85. 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.

Figure 86. 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 87. Revoked Exemptions

To generate Revoked Exemptions report, follow these steps:

1. Hover over the Reports menu in the CTR 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 Currency Transaction Report 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 29. 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.
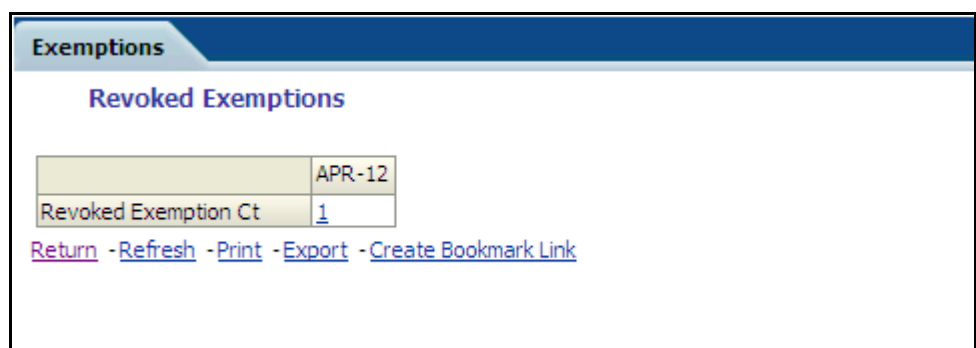
7. From detailed report, you can choose to **Refresh**, **Print**, **Export**, and **Create Bookmark Link**. Click **Return** on the detailed report to navigate back to

(Or)

You can click on the count of Revoked Exemptions in the details table to navigate to the 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 Currency Transaction Report Exemptions added during a specified date range.

Figure 88. New Exemption Reports

To generate New Exemption Reports, follow these steps:

1. Hover over the Reports menu in the CTR 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 Currency Transaction Report 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 30. 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 Currency Transaction Report Entities

The High Volume Currency Transaction Report Entity report displays a tabular report of customers who had high number of Currency Transaction Reports filed on them in a specified range namely, monthly, quarterly, yearly, etc. This report includes Currency Transaction Reports in all statuses except Currency Transaction Reports in Closed – Rejected, Closed – Exempted, Filed - Rejection Corrected and Audit Currency Transaction Reports.
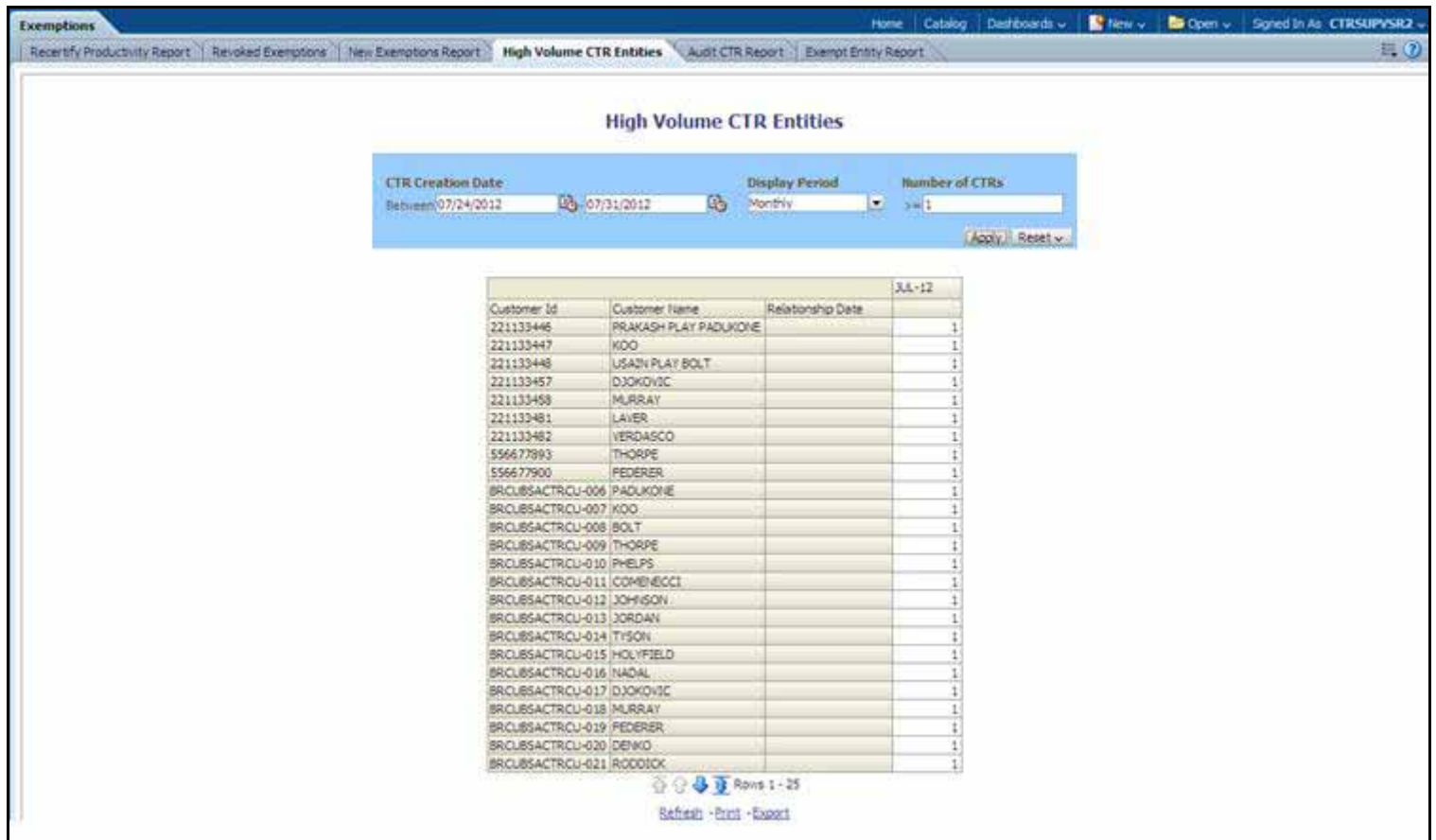

Figure 89. High Volume Currency Transaction Report Entities

To generate High Volume Currency Transaction Report Entity report, follow these steps:

1. Hover over the Reports menu in the CTR 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 Currency Transaction Report submenu option.
   Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.

3. Select High Volume Currency Transaction Report Entity report tab.
   The High Volume Currency Transaction Report Entity report page is displayed with default values entered in the filters.

4. To view the High Volume Currency Transaction Report Entity report, enter the details as described in the following table:

Table 31. High Volume Currency Transaction Report Entities Filter Descriptions

Filter	Description
Currency Transaction Report Creation Date Between	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Currency Transaction Report 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 Currency Transaction Reports >=	Enter the number of high volume Currency Transaction Reports filed on a customer that you want to search for. This field defaults to 25.

5. Click **Apply**.
   A tabular report showing High Volume Currency Transaction Report 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 Currency Transaction Report Report

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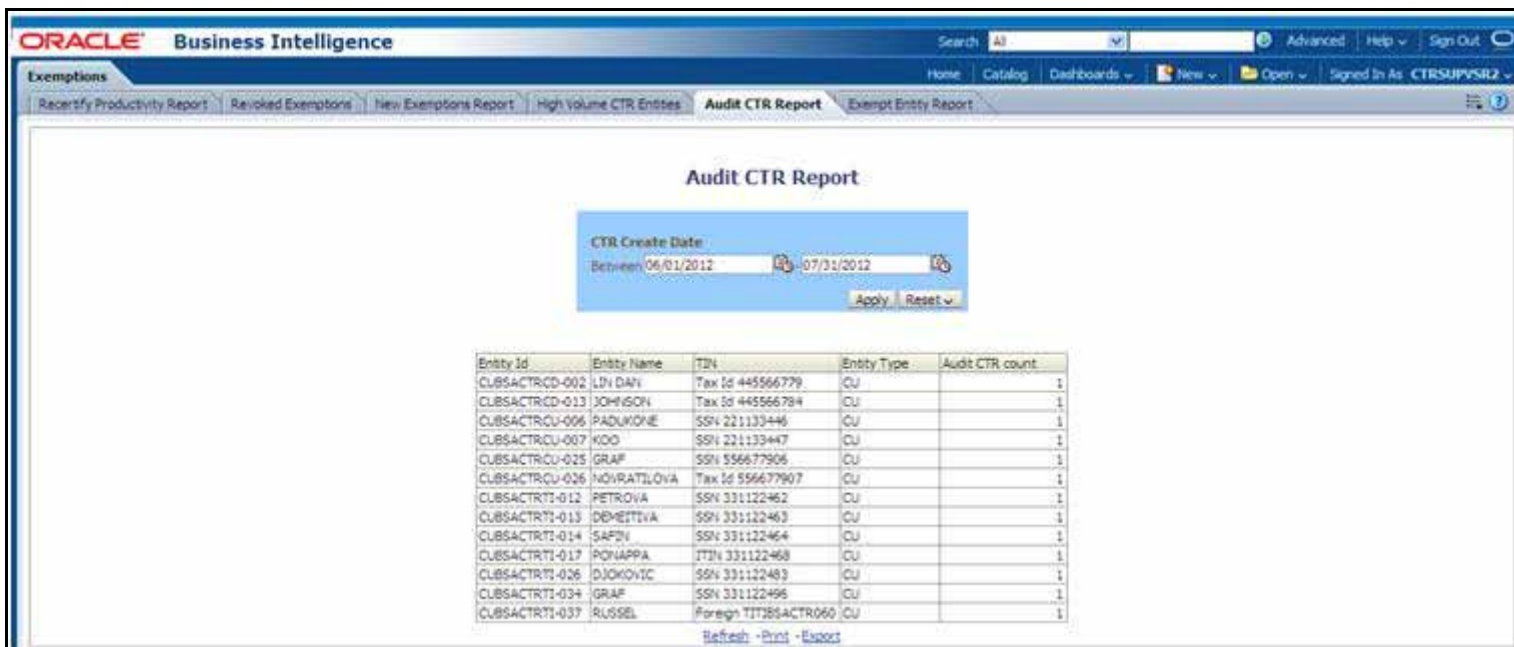

Figure 90. Audit Currency Transaction Report Report

To generate Audit Currency Transaction Report Report, follow these steps:

1. Hover over the Reports menu in the CTR 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 Currency Transaction Report submenu option.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.

3. Select Audit Currency Transaction Report Report tab.
The Audit Currency Transaction Report Report page is displayed with default values entered in the filters.

4. To view the Audit Currency Transaction Report Report, enter the details as described in the following table:

Table 32. Audit Currency Transaction Report Report Filter Descriptions

Filter	Description
Currency Transaction Report 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.
Currency Transaction Report Created 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 Audit Currency Transaction Report 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.

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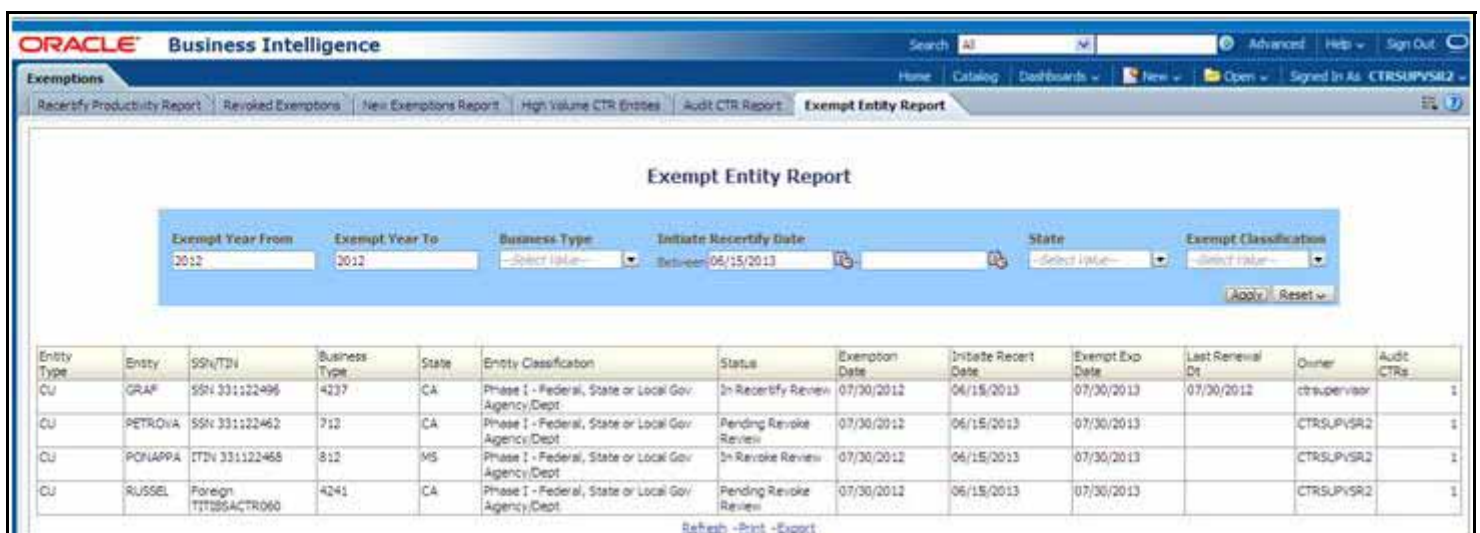

Figure 91. Exempt Entity Report

To generate Exempt Entity Report, follow these steps:

1. Hover over the Reports menu in the CTR 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 Currency Transaction Report 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 33. 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 Govt'l Authority w/in US Phase I - Listed Enity 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.

Figure 92. MI Transaction Log

To generate MI Transaction Log report, follow these steps:

1. Hover over the Reports menu in the CTR 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 Currency Transaction Report 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 34. 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

Figure 93. Currency Transaction Journal

To generate Currency Transaction Journal report, follow these steps:

1. Hover over the Reports menu in the CTR 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 Currency Transaction Report 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 35. 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.