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About this Guide

This guide explains the concepts of the Oracle Financial Services Currency Transaction Reporting 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, 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 Exemptions, describes how to manage Search and List and how to create an Exemption.
- Chapter 6, Managing DOEPE-File, describes how to manage the Declaration of Exempt Persons (DOEP) E-File List and how to create a DOEP E-File
- 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 Behavior Detection Data Interface Specification
- Oracle Financial Services Currency Transaction Reporting Administration and Configuration Guide
- Oracle Financial Services Currency Transaction Reporting Technical Scenario Description
- Oracle Financial Services Behavior Detection Installation Guide
- Oracle Financial Services Analytical Applications Infrastructure User Manual
- Oracle Financial Services Analytical Applications Infrastructure Installation and Configuration

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 1 lists the conventions used in this guide.

### Table 1. Conventions Used in this Guide

<table>
<thead>
<tr>
<th>Convention</th>
<th>Meaning</th>
</tr>
</thead>
</table>
| **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 |
CHAPTER 1

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 which 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 (CTR), which currently applies only for Currency Transaction Reports in the United States, is a robust solution developed to meet operational and regulatory requirements of the Financial Crimes Enforcement Network (FinCEN). This product helps minimize repetitive data entry and supports parallel processing of Currency Transaction Reports. 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.

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 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 the following ways:

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

System Generated Currency Transaction Reports

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 CTR. For detailed information about creating a Currency Transaction Report, refer to *Creating a Currency Transaction Report*.

**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 the teller queries the CTR application to determine its Exemption status. The CTR application returns an appropriate notification to the Teller stating whether a transaction is an exempt transaction or a Currency Transaction Report must be created.

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

3. This Branch CTR data is then provided to the CTR application as part of a batch load of Branch CTR data (see the *Data Interface Specification* for details about data captured and passed to the CTR application).

4. Upon entry into the CTR application, required fields will be validated and customer/beneficiary information will be pre-populated from available customer business data.

   Thus, a branch Currency Transaction Report is generated.

**Note:** 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 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 CTR (Figure 1).

![CTR Login](image)

**Figure 1. CTR Login**

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

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.
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.

![CTR Menu Diagram]

**Figure 5. CTRs Menus**

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

<table>
<thead>
<tr>
<th>Menu</th>
<th>Roles</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>CTR Viewer</td>
</tr>
<tr>
<td>Home</td>
<td>✓</td>
</tr>
<tr>
<td>Currency Transaction Reports</td>
<td>✓</td>
</tr>
</tbody>
</table>
Table 2. CTR Menu-User Role Mapping Table

<table>
<thead>
<tr>
<th></th>
<th>CTR E-File</th>
<th>DOEP E-File</th>
<th>Exemptions</th>
<th>Reports</th>
</tr>
</thead>
<tbody>
<tr>
<td>CTR E-File</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DOEP E-File</td>
<td></td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Exemptions</td>
<td></td>
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<tr>
<td>Reports</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
</tbody>
</table>

**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 45, 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 6, “Managing DOEP E-File,” on page 99, 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 5, “Managing Exemptions,” on page 63, 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 119.
### CHAPTER 2

**Managing Home Page**

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

**Accessing Home Page**

On successful login, 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.

![Currency Transaction Report Home Page](image)

**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 23 "Currency Transaction Report Reports-User Roles Mapping Table," on page 120, 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
- Creating a Currency Transaction Report
- Managing Currency Transaction Report Details

Currency Transaction Report Workflow

The life cycle of the currency transaction report is illustrated in the following workflow 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 3. User Role-Status Mapping

<table>
<thead>
<tr>
<th>Status</th>
<th>CTR Viewer</th>
<th>Analyst</th>
<th>Supervisor</th>
<th>QA Analyst</th>
</tr>
</thead>
<tbody>
<tr>
<td>New</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Open</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Reassigned</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pending Review</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>In Review</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Pending QA Review</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>In QA Review</td>
<td>✓</td>
<td></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Rework</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Reopened</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Closed-Rejected</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Closed-Exempted</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ready for E-File</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Filed</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Filed-Success</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Filed-Success w/errors</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Filed-Rejected</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Filed-Rejection Corrected</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Filed-E-File Rejected</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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 only for users who have the appropriate roles.

To access the CTR List, follow these steps:

1. Click **CTR List** from the Priority CTRs tab in the Home page.
2. (Or) Hover over the Currency Transaction Reports tab in the application and click **Currency Transaction Reports**. The Search and List page displays.

![Figure 8. Search and List page for QA Analyst User](image)

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 actions that appear above the list of CTR List:
Managing CTR List
Chapter 3—Managing CTRs

- **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 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
- Transaction 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 Using Pre-defined Views
Managing CTR List
Chapter 3—Managing CTRs

- Currency Transaction Report Search and Views User Roles

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.

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

Searching Using Pre-defined Views

You can filter the CTR List using 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, CTR automatically displays pagination options.

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 the CTR Details page.

**Currency Transaction Report Search and Views User Roles**

The following table shows the various views accessible to users with different roles:

<table>
<thead>
<tr>
<th>Views</th>
<th>Analyst</th>
<th>Supervisor</th>
<th>QA Analyst</th>
</tr>
</thead>
<tbody>
<tr>
<td>My Open Currency Transaction Reports</td>
<td>✔️</td>
<td>❍</td>
<td>❍</td>
</tr>
<tr>
<td><strong>Note:</strong> This view is the default view for this user.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>All Open Currency Transaction Reports</td>
<td>❍</td>
<td>❍</td>
<td>❍</td>
</tr>
<tr>
<td>My Overdue Currency Transaction Reports</td>
<td>❍</td>
<td>❍</td>
<td>❍</td>
</tr>
<tr>
<td>My Near Due Currency Transaction Reports</td>
<td>❍</td>
<td>❍</td>
<td>❍</td>
</tr>
<tr>
<td>All Overdue Currency Transaction Reports</td>
<td>❍</td>
<td>❍</td>
<td>❍</td>
</tr>
<tr>
<td>Pending Review</td>
<td>❍</td>
<td>❍</td>
<td>❍</td>
</tr>
<tr>
<td><strong>Note:</strong> This view is the default view for this user.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MY Rework Currency Transaction Reports</td>
<td>❍</td>
<td>❍</td>
<td>❍</td>
</tr>
<tr>
<td>Pending QA Review</td>
<td>❍</td>
<td>❍</td>
<td>❍</td>
</tr>
<tr>
<td><strong>Note:</strong> This view is the default view for this user.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ready for E-File</td>
<td>❍</td>
<td>❍</td>
<td>❍</td>
</tr>
</tbody>
</table>
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:


   The Create New Report window displays.

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

   Table 5. Currency Transaction Report Details

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CTR Title</td>
<td>Enter the CTR Title in this field.</td>
</tr>
<tr>
<td>CTR Focal Entity</td>
<td>Enter the CTR Focal Entity in this field.</td>
</tr>
<tr>
<td>CTR Focal Entity Type</td>
<td>Select a CTR Focal Entity Type as Conductor, Customer, or TIN.</td>
</tr>
<tr>
<td>Parent Fin Inst</td>
<td>Select a parent financial institution from the listed drop-down list.</td>
</tr>
<tr>
<td>Type of Filing</td>
<td>Select a type of filing as Initial report, Correct/amend prior report, or FinCEN directed Backfiling.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Select a jurisdiction from the listed drop-down options.</td>
</tr>
<tr>
<td>Domain</td>
<td>Select the required domain from the listed drop-down options.</td>
</tr>
<tr>
<td>Prior Report BSA ID</td>
<td>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.</td>
</tr>
</tbody>
</table>
3. Enter the Search Transactions details as explained in the following table:

Table 6. Search Transactions

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

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:

- Transaction Date
- Transaction ID
- Account ID
- Conductor Name
- Conductor ID
- Conductor ID Type
- Conductor Issuing Authority
- Debit/Credit
- Transaction Amount – Base
- Transaction Channel Type
- Transaction Business Reason
- Business Reason Description
- Transaction Amount – Incoming
- Transaction Amount – Incoming Country
- Transaction Amount – Outgoing
Managing Currency Transaction Report Details

This section focuses on the following topics:

- Viewing CTR Context
- Performing an Action on a Currency Transaction Report
- Refiling or Backfiling 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
- Creating a Currency Transaction Report 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

5. Select the required transactions and click **Create**. A new Currency Transaction Report is created for the selected transactions.
Viewing CTR Context

The CTR Context displays detailed information about a Currency Transaction Report. In CTR, you can view 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.

![CTR Details Page](image)

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
Managing Currency Transaction Report Details
Chapter 3—Managing CTRs

- Business Domain
- Created date
- Transaction Date
- Source
- Parent Financial Institution
- Type of Filing
- Filing Acknowledgement Date
- 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.

- **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.
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.

Note: You can add a User Name to a record by clicking the .

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 message displays.

![Information Window](image)

**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 the CTR ID from the Search and List page to view its details, and click **Action** from CTR Details page.
2. Enter the required fields as explained in the following table:

### Table 7. Action Window Field Descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected CTR ID</td>
<td>This field displays the IDs that were selected from CTR List results. note: this field is not editable.</td>
</tr>
<tr>
<td>Select Action</td>
<td>The action allows you take following actions on Currency Transaction Reports depending upon the user role and the current status:</td>
</tr>
<tr>
<td></td>
<td>● Reassign</td>
</tr>
<tr>
<td></td>
<td>● Submit for review</td>
</tr>
<tr>
<td></td>
<td>● Rework</td>
</tr>
<tr>
<td></td>
<td>● Approve[Supervisor]</td>
</tr>
<tr>
<td></td>
<td>● Approve[QA]</td>
</tr>
<tr>
<td></td>
<td>● Reject</td>
</tr>
<tr>
<td></td>
<td>● Reopen</td>
</tr>
<tr>
<td></td>
<td>● Correct/Amend Currency Transaction Report</td>
</tr>
</tbody>
</table>

**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.
Managing Currency Transaction Report Details
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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 **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.

---

**Table 7. Action Window Field Descriptions**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
</table>
| **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 |

---
Refiling or Backfiling a Currency Transaction Report

A Currency Transaction Report in Closed - Exempted, Closed - Rejected or Closed - Superseded status can be reopened and amended to reflect new or updated information and then filed as "FinCEN directed Backfiling" type of filing to comply with regulations. As these reports will not have previously been filed, they are reopened for editing and amending rather than creating a new version of the report.

To backfile a single Currency Transaction Report, follow these steps:

1. Select a Currency Transaction Report in Closed - Exempted, Closed - Rejected or Closed - Superseded status from the Search and List page to navigate to the CTR Details. The CTR Details page displays.
2. Click Action. The Actions pop-up window displays.
3. Select Reopen - FinCEN Directed Backfiling from the Select Action drop-down list.
4. Select the user to whom you are assigning the Reopened CTR from the Assign To drop-down list.
5. Enter the due date for the selected Currency Transaction Reports. After saving, the value in this field will be updated as the due date of the Currency Transaction Report.
6. Enter any comments. This field is required.
7. Click Save. The selected CTR is set to Reopen status with the Filing Type as 'C' for FinCEN Directed Backfiling.
8. If you click Save and Attach, a confirmation window appears.
   - Click OK. An Actions window displays.
   - Enter a Logical Name and attach the required file using Browse.
   - Click Attach File. The file is attached.
   - The Actions window refreshes and returns to default state.
   - Click Cancel to return to the CTR Details page.
The Currency Transaction Report is reopened for amendment. After amendment, you must either refile or backfile the CTR as required.

### Batch Backfiling of Multiple Currency Transaction Reports

You can select multiple Currency Transaction Reports in Closed - Exempted, Closed - Rejected or Closed - Superseded statuses to be backfiled to comply with regulations.

To backfile multiple Currency Transaction Reports, follow these steps:

1. Use the checkbox to select multiple Currency Transaction Reports in Closed - Exempted, Closed - Rejected or Closed - Superseded status from the Search and List page.
2. Click **Action**. The Actions pop-up window displays.

![Actions pop-up](image)

**Figure 16. Actions pop-up.**

3. Select **Reopen - FinCEN Directed Backfiling** from the Select Action drop-down list.
4. Select the user to whom you are assigning the Reopened CTR from the Assign To drop-down list.
5. Enter the due date for the selected Currency Transaction Reports. After saving, the value in this field will be updated as the due date of the Currency Transaction Report.
6. Enter any comments. This field is required.
7. Click **Save**. The selected CTRs are set to Reopen status, with the Filing Type as 'C' for FinCEN Directed Backfiling.
8. If you click **Save and Attach**, a confirmation window appears.
   - Click OK. An Actions window displays.
   - Enter a **Logical Name** and attach the required file using **Browse**.
   - Click **Attach File**. The file is attached.
   - The Actions window refreshes and returns to default state.
   - 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 a CTR ID from the Search and List page to view its details, and click **E-mail** from CTR Details page.

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

   **Table 8. E-Mail Window Field Descriptions**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Currency Transaction Reports</td>
<td>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.</td>
</tr>
<tr>
<td>To</td>
<td>Enter semi-colon separated E-mail IDs of multiple recipients.</td>
</tr>
<tr>
<td>Subject</td>
<td>Editable list of comma-separated CTR IDs. The maximum length 150 characters.</td>
</tr>
<tr>
<td>Message</td>
<td>Enter the message for the email recipients</td>
</tr>
<tr>
<td>Comments</td>
<td>Enter comments in this field.</td>
</tr>
</tbody>
</table>

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.

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 18. Batch Approve Currency Transaction Reports](image)

**Figure 18. 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 19. Batch Approval Confirm Window](image)

**Figure 19. 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 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 20. Add Transaction Window**
3. Enter the required fields as explained in the following table:

**Table 9. Add Transaction Field Description**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customer ID</td>
<td>Enter the Customer ID to search for accounts associated with the entered customer (in owning role) and its related transactions.</td>
</tr>
<tr>
<td>Transaction ID</td>
<td>Enter the Transaction ID in this field to search for associated accounts and related customer identifier.</td>
</tr>
<tr>
<td></td>
<td>You can enter multiple Transaction IDs separated by a comma.</td>
</tr>
<tr>
<td>Account ID</td>
<td>Enter the Account ID in this filed to search for transactions associated with the entered account identifier.</td>
</tr>
<tr>
<td>TIN</td>
<td>Enter TIN to search for transactions where the conductor TIN matches the entered value along with the format.</td>
</tr>
<tr>
<td></td>
<td>CTR also searches for transactions with non-null account where TIN of customer with owning role matches the entered value along with the format.</td>
</tr>
<tr>
<td>TIN Format</td>
<td>Select the required TIN format type from the drop-down list.</td>
</tr>
<tr>
<td>Transaction Date From</td>
<td>Enter the transaction date from using the calendar icon. CTR searches for transactions with transaction date greater than or equal to the entered date.</td>
</tr>
<tr>
<td>Transaction Date To</td>
<td>Enter the transaction date to field using the calendar icon. CTR searches for transactions with transaction date less than or equal to the entered date.</td>
</tr>
<tr>
<td>Exclude Exempt Transaction</td>
<td>This field is selected by default. Select this option to exclude the exempt transactions in the search results.</td>
</tr>
</tbody>
</table>

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.
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 21. Edit Transaction Window**

4. Click **OK** to confirm the removal of the selected transaction(s).
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**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 23. Add Person Window](image)

Add the required information in the Add Person window and click **Add to CTR**. The Person is added to the record.
Managing Currency Transaction Report Details
Chapter 3—Managing CTRs

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.

   ![Edit Person Window](image)

   **Figure 24. 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:
   - Person Involved Type
     - A - Person conducting transaction on own behalf
     - B - Person conducting transaction for another
     - C - Person on whose behalf transaction is conducted
     - D - Courier service (private)
   - 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.

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.
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Chapter 3—Managing CTRs

Figure 26. 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 the attachment icon in the attachment column to view the required attachment.

   An Attachment List window displays.

5. Select the required attachments
Managing Currency Transaction Report Details
Chapter 3—Managing CTRs

Figure 27. 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 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 28. 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.

   ![Change Transaction FI Window](image)

   **Figure 29. 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.
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Figure 30. 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.
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Figure 31. 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 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 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.
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 following figure illustrates the workflow of E-File in the CTR:
Figure 32. E-File Workflow
The following table shows the various actions a user can take from E-File Details page.

**Table 10. Action-Status Mapping Table**

<table>
<thead>
<tr>
<th>Action Available From</th>
<th>Pre-action E-File Status</th>
<th>Action</th>
<th>Action Taker</th>
</tr>
</thead>
<tbody>
<tr>
<td>Create E-File page</td>
<td>N/A</td>
<td>Generate E-File</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>E-File Generated</td>
<td>E-File Transmitted</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>E-File Generated</td>
<td>E-File Transmitted w/Warnings</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>E-File Generated</td>
<td>E-File Rejected</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>Filed - Transmitted</td>
<td>Acknowledgment Files Received</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>Filed - Transmitted w/Warnings</td>
<td>Acknowledgment Files Received</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>Filed - Ack Received</td>
<td>Acknowledgment Files Processed</td>
<td>System (triggered by the Ack Received Action)</td>
</tr>
<tr>
<td>E-File Details</td>
<td>Filed - Rejected</td>
<td>Regenerate E-File</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>E-File Regenerated</td>
<td>E-File Transmitted</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>E-File Regenerated</td>
<td>E-File Transmitted w/Warnings</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>E-File Regenerated</td>
<td>E-File Rejected</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>All Statuses</td>
<td>Download E-File</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>All Statuses</td>
<td>E-mail</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>All Statuses</td>
<td>Add Comment</td>
<td>E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>All Statuses</td>
<td>Attach Document</td>
<td>E-File Analyst, Supervisor</td>
</tr>
</tbody>
</table>
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 33. Search and List](image)

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 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 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:
Managing Search and List
Chapter 4—Managing E-File

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

**Table 11. E-File Search Field Descriptions**

<table>
<thead>
<tr>
<th>Column Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>E-File Name</strong></td>
<td>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.</td>
</tr>
</tbody>
</table>
| **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*. |
| **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. |
Managing Search and List
Chapter 4—Managing E-File

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>
<thead>
<tr>
<th>Views</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>E-Files for Submission</td>
<td>Displays all E-Files that are in status of E-File Generated or Filed – Regenerated.</td>
</tr>
<tr>
<td>Rejected E-Files</td>
<td>Displays all E-Files that are in status of Filed – Rejected.</td>
</tr>
<tr>
<td>E-Files w/Warnings</td>
<td>Displays all E-Files that are in status of Filed – Transmitted w/Warnings.</td>
</tr>
</tbody>
</table>

**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 options.
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.

![E-File Details Page](image)

Figure 35. 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)
Managing E-File Details Page
Chapter 4—Managing E-File

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

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

The following are the statuses of the Currency Transaction Reports included in the E-File Currency Transaction Report Acknowledgment Summary:

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

**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.

![E-File E-mail Window](image)

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

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

3. Click **Save**.
   
   An e-mail is sent to the specified recipients with the entered details.
Managing E-File Details Page
Chapter 4—Managing E-File

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.

   ![File Download Window](image)

   **Figure 37. 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.

   ![E-File Transmitted Actions Window](image)

   **Figure 38. 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.

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 40. E-File Rejected Actions Window](image)

   2. Enter the BSA Tracking ID and comments (if any).
   3. Enter a Logical Name and attach the .xml file downloaded from the FinCEN web site.
   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 41. E-File Acknowledgement Received Actions Window](image)

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 reflect 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.

   ![Generate E-File window](image)

   **Figure 42. 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

To create an E-File, follow these steps:

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

![Create E-File Page](image)

---

**Figure 43. 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.

![Create E-File Search Fields](image)

---

**Figure 44. 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:
Creating an E-File
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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.
This chapter describes the workflow of an Exemption, managing the Search and List page, and managing the Exemption Details page. Exemptions can be created on Customers, Accounts and Tax Identifiers. Exempt entities are considered exempt from the filing of CTRs. When designated as exempt Oracle marks transactions associated with those entities as exempt and they generate only Audit CTRs and not CTRs meant for filing. 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:

![Exemption Workflow Diagram](image)

Figure 46. 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 must 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 in the following statuses:

- Exempt
- Revoked
- Closed
- Rejected

Reopen
The status of an Exemption can be changed to Reopen when its in Rejected, Revoked, or Closed status.
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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 goes through the yearly system-triggered or user-submitted recertification process and is Recertified
- When Revoked/Rejected Exemptions are Reopened and Exempted again.
- When Rejected/Closed Exemptions 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.

An exempt date is recorded in CTR in the following scenarios:

- 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.
- When an Exemption is reopened from the Rejected status 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: 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 the various DOEP and Exemptions statuses, when the Exemptions are Approved or 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 Gov't 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 a supervisor approves the Revoke, (Approve – Revoke), the Exemption moves to Revoked status, if the 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, the Exemption moves to Revoked status. If the supervisor approves the Approve Recertify, the Exemption is extended for the 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 which are in Pending Recertify Review, In Recertify Review, Pending Revoke Review, and In Revoke Review status pass the expiry date, CTR revokes the 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, 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 does not recertify (Rejected – Recertify) the Exemption status moves to Revoked and initiates recertification and expiration dates are cleared.

Recertify Date

A recertify date is recorded in CTR in the following situations:

- 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.

- The Expire Date is not cleared on the Exemption until an Exemption is in In Revoke Review status. Clearing of Expire Date on an Exempt Entity depends on the supervisor action. If a supervisor takes a Reject Revoke action, then the Expire Date stays on the Exempt entity as is. If a supervisor takes an Approve Revoke action, then the Expire Date is cleared from the Exemption entity immediately.

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:

- Click Exemption List from the Priority Exemptions tab in the Home page.
- Or
- Hover over the Exemptions tab in the application and click Exemption List.

The Search and List page is displayed.

Figure 47. 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 actions 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. Click **Collapse All** to return 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 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 has 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 48. Search and List](image-url)
This section details the 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 49. Search and List 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 view 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, CTR automatically displays pagination options.

Views are pre-defined searches available to a user with access to Exemption search and list page. The list of views will differ based on each user role. Results returned from views are filtered based on user jurisdiction and business domain.
The following table shows the various views that are accessible to users with different roles:

**Table 14. Pre-Defined Exemption Views Table**

<table>
<thead>
<tr>
<th>Views</th>
<th>Exemption Analyst</th>
<th>Supervisor</th>
</tr>
</thead>
<tbody>
<tr>
<td>My Open Exemptions</td>
<td>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.</td>
<td>Displays Exemptions which are in open status and where the current user is the owner.</td>
</tr>
<tr>
<td>All Open Exemptions</td>
<td>Displays all open Exemptions to which user has access to.</td>
<td>Displays all open Exemptions to which user have access to.</td>
</tr>
<tr>
<td>Recertify Exemptions</td>
<td>Displays all Exemptions which are Recertify Exemption status which are owned by current user.</td>
<td>Displays all Exemptions which are in Recertify status.</td>
</tr>
<tr>
<td>Recent Rejected Exemptions</td>
<td>All Exemptions which are Rejected in last 15 days which are owned by current user and currently in Rejected status.</td>
<td>Displays all Exemptions which are rejected in last 15 days and in Rejected status.</td>
</tr>
<tr>
<td>Recent Revoked Exemptions</td>
<td>Displays Exemptions which are Revoked in last 15 days owned by the current user which are currently in status of Revoked.</td>
<td>Displays Exemptions which are Revoked in last 15 days and in status of Revoked.</td>
</tr>
<tr>
<td>Pending Review</td>
<td>Displays all Exemptions which are owned by current user and whose status is in Pending Review</td>
<td>Displays all Exemptions which are in Pending Review status. This view is selected as the default view for this user.</td>
</tr>
<tr>
<td>Pending Revoke Review</td>
<td>Displays all Exemptions which are owned by current user and whose status is in Pending Revoke Review</td>
<td>Displays all Exemptions which are in Pending Recertify Revoke Review status.</td>
</tr>
<tr>
<td>Pending Recertify Review</td>
<td>Displays all Exemptions which are owned by current user and whose status is in Pending Recertify Review</td>
<td>Displays all Exemptions which are in Pending Recertify Review status.</td>
</tr>
<tr>
<td>In review</td>
<td>Displays all Exemptions which are owned by current user and whose status is in In Recertify Review</td>
<td>Displays all Exemptions which are in In Review status.</td>
</tr>
<tr>
<td>In Revoke Review</td>
<td>Displays all Exemptions which are owned by current user and whose status is in In Revoke Review</td>
<td>All Exemptions which are in In Revoke Review status.</td>
</tr>
<tr>
<td>In Recertify Review</td>
<td>Displays all Exemptions which are owned by current user and whose status is in In Recertify Review</td>
<td>Displays all Exemptions which are in In Recertify Review status.</td>
</tr>
</tbody>
</table>
### Table 14. Pre-Defined Exemption Views Table

<table>
<thead>
<tr>
<th></th>
<th>All Exemptions which are owned by current user and where the DOEP Status is 'DOEP Not Required'</th>
<th>All Exemptions which are owned by current user and where the DOEP Status is DOEP Not Required</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>DOEP Not Filed</strong></td>
<td>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)</td>
<td>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)</td>
</tr>
<tr>
<td><strong>My Filed DOEPs</strong></td>
<td>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)</td>
<td>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)</td>
</tr>
<tr>
<td><strong>My Rejected DOEPs</strong></td>
<td>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)</td>
<td>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)</td>
</tr>
</tbody>
</table>
Managing Exemption Details Page

This section focuses on the following topics:

- Viewing Exemption Details Page
- E-mailing an Exemption
- 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
- Excluding Accounts from Exemption
- Including Accounts for Exemption
- Editing Customer Details
- Viewing Differences in Customer Details
- Viewing Differences in Customer Address Details
- 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.
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Figure 51. Exemption Details Page
The following are the components of Exemption Details page:

- Exemption Context
- Exemption Details Tabs

Exemption Context
The Exemption Details section 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
- Business Domain
The following table explains the field descriptions of the Exemption Details page:

Table 15. Exemption Details

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

**Exemption Details Tabs**

The Exemption Details page displays the following Exemption Details tabs:

- **Transactions**: The Transactions 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 an Account, the Transactions tab will show transactions 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 Transactions 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, CTR displays the pagination options.

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

The Transaction tab includes the following fields.

- Account ID
- Transaction Reference ID
- Transaction Date
- Transaction Type
- Transaction Amount - Base
- Conductor Name
- Conductor ID
- Conductor ID Type
- Location ID
- Exempt Flag
- Business 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 an Account, all the Currency Transaction Reports are displayed on which the exempt account exists in any of the transaction. If the Exemption is on a 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.

The 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 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 the business domain and jurisdiction of the selected Currency Transaction Report cannot view the hyperlink on the CTR IDs in Related CTRs list page.

- **Accounts**: The Accounts tab displays a list of all the accounts that are exempted under the Current Exemption ID. If the exemption is on an account, the Accounts tab displays only the one exempted account. If the exemption is on a customer, the Accounts tab displays all accounts where the customer has an owning role. If the Exemption is on a TIN, the Accounts tab displays all of the accounts where one or more customers have an owning role are mapped to the exempted TIN.

When new accounts are mapped to the exempted Customer ID in the business data, CTR displays the newly mapped accounts while viewing an Exemption on a Customer ID. New accounts are automatically exempted for the exempt customer if the customer has an owning role on the 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 opening 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.

When the exemption is on an account or customer, the Accounts tab has the following LHS menu options:

- Person Involved Details
- Attachment
- Comments

The Person Involved Details menu option displays the following fields:

- Account ID
- Account Name
- Reporting Currency
- Account Purpose
- Last Activity Date
- TIN concatenate format code + Account Tax Identifier
- Type
- Status
- Business Domain
- Open Date
- Primary Customer ID
- Reg Type

When the exemption is on a TIN, the Accounts tab displays the account records in two lists, Accounts Included in Exemption and Accounts Excluded from Exemption. These lists also display the fields listed above.

- **Customer**: The Customer tab displays only one customer record for the exempt customer. If the exempt entity type is Account, this list displays all customers currently having an owning role on the exempt account. The Customer tab has the following LHS menu options:
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- Person Involved Details
- Contact Info
- Person Involved Accounts
- Attachment
- Comments
- Change History

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

- Customer ID/Tax ID
- Customer Type
- Is Entity a DOEP Subject
  - If there are no DOEP subjects selected for any of the customers available in the customer list, then CTR shows that the mandatory details are not available.
  - If there are more customer involved in the Exemptions, then this field is kept blank and must be updated by editing before approving the Exemptions.
- First Name
- Last Name / Entity Name
- Exemption Class
- Business Domain
- Filing Institution
  - If there are more than one filing institution selected, you must update this field to approve the Exemptions.
- Date of Incorporation/Date of Birth
- Account Count
- NAICS Code
- Occupation/ Type of Business
- Registration Type
- ID Issuing Country
- TIN concatenate format code + Customer Tax Identifier
- Status
- Open Date

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 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:
Performing Actions on Exemptions

These grids display the historical information of a selected customer with the following fields:

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

- Evidence: The Evidence tab displays the comments and attachments 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, any Validation errors or warnings, and any errors that are generated during FinCEN acknowledgement.

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 message is displayed.

![Message: There are no actions available for the selected Exemptions.]

Figure 52. 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 the Exemption ID from the Search and List page to view its details, and click Action from the Exemption Details page.
2. Enter the required fields as explained in the following table.

### Table 16. Exemptions Action Window Field Description

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Exemption ID</td>
<td>This field displays the IDs that were selected from Search and List results.</td>
</tr>
<tr>
<td></td>
<td>This field is not editable.</td>
</tr>
</tbody>
</table>
Performing Actions on Exemptions
Chapter 5—Managing Exemptions

3. Click **Save**

Table 16. Exemptions Action Window Field Description

<table>
<thead>
<tr>
<th>Select Action</th>
<th>The action allows you take following actions on Exemptions depending upon the user role and the current status.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actions available for Exemption Supervisor Role</td>
<td></td>
</tr>
<tr>
<td>• Reassign</td>
<td></td>
</tr>
<tr>
<td>• Submit for Approval</td>
<td></td>
</tr>
<tr>
<td>• Close</td>
<td></td>
</tr>
<tr>
<td>• Recommend Recertify</td>
<td></td>
</tr>
<tr>
<td>• Recommend Do Not Recertify</td>
<td></td>
</tr>
<tr>
<td>• Approve Recertify</td>
<td></td>
</tr>
<tr>
<td>• Reject Recertify</td>
<td></td>
</tr>
<tr>
<td>• Approve Exemption</td>
<td></td>
</tr>
<tr>
<td>• Reject Exemption</td>
<td></td>
</tr>
<tr>
<td>• Revoke Exemption</td>
<td></td>
</tr>
<tr>
<td>• Approve Revoke</td>
<td></td>
</tr>
<tr>
<td>• Reject Revoke</td>
<td></td>
</tr>
<tr>
<td>• Generate DOEP</td>
<td></td>
</tr>
<tr>
<td>• Recertify</td>
<td></td>
</tr>
<tr>
<td>• Reopen</td>
<td></td>
</tr>
<tr>
<td>Actions available for Exemption Analyst Role</td>
<td></td>
</tr>
<tr>
<td>• Reassign</td>
<td></td>
</tr>
<tr>
<td>• Submit for approval</td>
<td></td>
</tr>
<tr>
<td>• Close</td>
<td></td>
</tr>
<tr>
<td>• Recommend Recertify</td>
<td></td>
</tr>
<tr>
<td>• Recommend Do Not Recertify</td>
<td></td>
</tr>
<tr>
<td>• Recertify</td>
<td></td>
</tr>
<tr>
<td>• Reopen</td>
<td></td>
</tr>
<tr>
<td>• Revoke Exemption</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Assign To</th>
<th>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:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Reassign</td>
<td></td>
</tr>
<tr>
<td>• Submit for approval</td>
<td></td>
</tr>
<tr>
<td>• Recommend Recertify</td>
<td></td>
</tr>
<tr>
<td>• Recommend Do Not Recertify</td>
<td></td>
</tr>
<tr>
<td>• Revoke Exemption</td>
<td></td>
</tr>
<tr>
<td>• Recertify</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Due Date</th>
<th>Enter the due date for the selected Exemptions.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Comments</td>
<td>Enter comments in the field.</td>
</tr>
</tbody>
</table>

3. Click **Save**
Performing Actions on Exemptions
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The requested action is performed on the selected Exemptions.

**Note:** A user can perform 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
   
   Click a Exemption ID from the Search and List page to view its details, and click **E-mail** from the Exemption Details page.

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

   **Table 17. Exemption E-mail Window Field Descriptions**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Exemptions</td>
<td>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.</td>
</tr>
<tr>
<td>To</td>
<td>Enter semi-colon separated E-mail IDs of multiple recipients.</td>
</tr>
<tr>
<td>Subject</td>
<td>Editable list of comma-separated Exemption IDs. The maximum length 150 characters.</td>
</tr>
<tr>
<td>Message</td>
<td>Enter the message for the email recipients.</td>
</tr>
<tr>
<td>Comments</td>
<td>Enter comments in this field.</td>
</tr>
</tbody>
</table>

3. 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.

   ![Edit Context window](image)

   **Figure 55. 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.

   ![Exemption Add Comments Window](image)

   **Figure 56. Exemption Add Comments Window**

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

   A confirmation window is displayed.
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Figure 57. 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 the 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 58. 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.
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Figure 59. 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 the **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 the attachment icon in the attachment column to view the required attachment. An Attachment List window is displayed.

Figure 60. 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**

To view the attachments of an account record, follow these steps:

1. In the Exemption Details page, click the **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 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.

**Excluding Accounts from Exemption**

The Accounts tab allows you to exclude accounts from exemption when they are owned by customers who share an exempted TIN. This action can only be performed for a TIN focused Exemption, and cannot be performed on an Exemption that is in Closed, Rejected or Revoked status.

To exclude an account from exemption, follow these steps:

1. Select one or more Account IDs from the Accounts Included in Exemption list of the Accounts tab in the Exemption Details page.
2. Click **Exclude Accounts**. A confirmation message displays *Are you sure you want to exclude accounts from exemption?*
3. Click **OK**. A confirmation message displays *Successfully excluded accounts.*
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4. Click OK. The account will now be excluded from exemption.

Including Accounts for Exemption
The Accounts tab allows you to include accounts for exemption when they are owned by customers who share an exempted TIN. This action cannot be performed on an Exemption that is in Closed, Rejected or Revoked status.

To include an account for exemption, follow these steps:
1. Select one or more Account IDs from the Accounts Excluded in Exemption List of the Accounts tab in the Exemption Details page.
2. Click Include Accounts. A confirmation message displays Are you sure you want to include accounts from exemption?
3. Click OK. A confirmation message displays. Successfully included accounts.
4. Click OK. The exemption exclusion for this account is removed.

Editing Customer Details
The Customer tab allows you 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.
3. Edit the required information and click Save. The customer record is updated.

Viewing Differences in Customer Details
To see the difference between two customer detail records, follow these steps:
1. Select two records and click Difference.
2. The Customer Details window opens. The difference in the two records is displayed in Red color font.

Viewing Differences in Customer Address Details
The Customer Address grid displays the detailed address of a selected customer.
To see the difference between two customer address history 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 seen in Red color font.

**Adding Comments to a Customer**

To add a comment to a customer, follow these steps:

1. In the Exemption Details page, click the **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 the **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:
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1. In the Exemption Details page, click the **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 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 the **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 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 the **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).
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**Adding Attachments to an Exemption**

To add attachments to an Exemption, follow these steps:

1. In the Exemption Details page, click the **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 the **Evidence** tab to view the list of comments and attachments associated with an Exemption.
2. Click 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 the **Evidence** tab to view the list of comments and attachments associated with an Exemption.
2. Click the attachment icon in the attachment column to view the required attachment. An Attachment List window is displayed.
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 an Account or Customer, or on a Tax Identification Number (TIN) and getting Exempt approval from the Supervisor.

Creating Exemption on Customer/Account

You 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 the Exemptions menu.

Figure 63. Create Exemption Search Page

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

Table 18. Create Exemption Field Description

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customer ID</td>
<td>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.</td>
</tr>
<tr>
<td>Customer Name</td>
<td>Enter the Customer Name to search for Customer Names and associated Customer IDs with ownership role in the Customer Table. This field supports wildcard character searching.</td>
</tr>
</tbody>
</table>
3. Click **Search**.

4. If you have selected Limited Search To as Account, CTR searches for the 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, CTR searches for the entered TIN in Customer Table and displays the results of Customers in Customer Grid.

5. From the 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 the 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 the Customers list records and Account list records respectively on which you want to create an Exemption.

---

### Table 18. Create Exemption Field Description

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account ID</td>
<td>Enter the Account ID to search for Account IDs in the Account Identifier column in the Account Table. This field allows comma separated search.</td>
</tr>
<tr>
<td>Limit Search To</td>
<td>Select either Account or Customer from Limit Search To drop-down list to limit the Tax Identifier search to Accounts or Customers.</td>
</tr>
<tr>
<td>TIN Format</td>
<td>Select any TIN format from the following options: EIN, Foreign, ITIN, SSN, Tax ID.</td>
</tr>
<tr>
<td><strong>Note:</strong> 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.</td>
<td></td>
</tr>
<tr>
<td>TIN</td>
<td>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.</td>
</tr>
</tbody>
</table>
7. Click **Create**. A Create Exemption pop-up window is displayed.

![Create Exemption Dialog window](image)

**Figure 64. 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.

![Create Exemption Confirmation Window](image)

**Figure 65. Create Exemption Confirmation 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.*
Creating Exemption on TIN

For some entities, such as non-profit organizations, financial institutions, and so on, there may be one Tax Identification Number (TIN) associated with many individual customers. Rather than having to review and approve multiple customer exemptions that result in multiple DOEP filings for one TIN, CTR allows you to identify exemptions and file one DOEP for the TIN.

To create an Exemption on a TIN, follow these steps:

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

2. Select **Customer** from the **Limited Search To** drop-down list.

3. To find all the individual customers associated with the TIN, search using the **TIN Format** and **TIN** fields.

4. Click **Go**. The Create Exemption Search page refreshes with the customers that are associated with the TIN on which the search was conducted.
5. Click **Exempt All by TIN**. A Create Exemption pop-up window is displayed.

6. Select an Exempt Type from the drop-down list and enter the details and any comments. In this pop-up window, you can enter a single entity name and contact details for all customers using this TIN.

7. Click **Save**.

   A confirmation window is displayed.

8. Click **OK**.

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

**Note:** If an Exemption on one or more Customers associated is in the status 'Rejected' or 'Revoked', CTR displays the following message: *One or more of the Customers with this Tax Identifier has previously been rejected for exemption or had their exemption Revoked. Press OK to continue.*
Chapter 6

Managing DOEP E-File

This chapter describes the workflow of a Declaration of Exempt Persons (DOEP) E-File, how to manage the DOEP E-File List page and DOEP E-File Details page, and how to create 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 following figure illustrates the workflow of a DOEP E-File in the CTR application:
Figure 69. DOEP E-File Workflow
The following table shows the various actions a user can take from DOEP E-File Details page.

**Table 19. Action-Status Mapping Table**

<table>
<thead>
<tr>
<th>Action Available From</th>
<th>Pre-action E-File status</th>
<th>Pre-action DOEP Status</th>
<th>Action</th>
<th>Action Taker</th>
</tr>
</thead>
<tbody>
<tr>
<td>Create DOEP E-File page</td>
<td>N/A</td>
<td>Exempt - Ready for DOEP Filing</td>
<td>Generate DOEP E-File</td>
<td>DOEP E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>DOEP E-File Generated</td>
<td>DOEP E-File Generated ed DOEP E-File Generated Revoked DOEP E-File Generated</td>
<td>DOEP E-File Transmitted w/Warnings</td>
<td>DOEP E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>DOEP Filed - Transmitted</td>
<td>DOEP E-File Generated ed DOEP E-File Generated Revoked DOEP E-File Generated</td>
<td>DOEP Filed - Acknowledgement Received</td>
<td>DOEP E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>DOEP Filed - Transmitted w/Warnings</td>
<td>DOEP E-File Generated ed DOEP E-File Generated Revoked DOEP E-File Generated</td>
<td>Acknowledgment Files Received</td>
<td>DOEP E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>DOEP Filed - Ack Received</td>
<td>DOEP Filed - Ack Received</td>
<td>Acknowledgment Files Processed</td>
<td>System (triggered by the Ack Received Action)</td>
</tr>
<tr>
<td>E-File Details</td>
<td>DOEP Filed - E-File Rejected</td>
<td>DOEP Filed – E-File Rejected ed DOEP Filed - E-File Rejected Revoked DOEP Filed - E-File Rejected</td>
<td>Regenerate DOEP E-File</td>
<td>DOEP E-File Analyst, Supervisor</td>
</tr>
</tbody>
</table>
### Table 19. Action-Status Mapping Table

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>E-File Details</td>
<td>DOEP E-File Regenerated</td>
<td>DOEP E-File Generated ed DOEP E-File Generated Revoked DOEP E-File Generated</td>
<td>DOEP E-File Transmitted w/Warnings</td>
<td>DOEP E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>All Statuses</td>
<td>DOEP All Statuses</td>
<td>Download DOEP E-File</td>
<td>DOEP E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>All Statuses</td>
<td>DOEP All Statuses</td>
<td>E-mail</td>
<td>DOEP E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>All Statuses</td>
<td>DOEP All Statuses</td>
<td>Add Comment</td>
<td>DOEP E-File Analyst, Supervisor</td>
</tr>
<tr>
<td>E-File Details</td>
<td>All Statuses</td>
<td>DOEP All Statuses</td>
<td>Attach Document</td>
<td>DOEP E-File Analyst, Supervisor</td>
</tr>
</tbody>
</table>
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 a DOEP E-File Analyst or a Supervisor. To access the DOEP E-File List, hover over the E-File tab and click DOEP E-File. The DOEP E-File List page displays.

![DOEP E-File List](image)

Figure 70. 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 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 filter 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.
3. Enter the details in the search fields as explained in the following table:

<table>
<thead>
<tr>
<th>Column Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>DOEP E-File Name</td>
<td>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.</td>
</tr>
</tbody>
</table>
| 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. |
| 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. |
Managing DOEP E-File List
Chapter 6—Managing DOEP E-File

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>
<thead>
<tr>
<th>Views</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>E-Files for Submission</td>
<td>Returns all E-Files currently in a status of DOEP E-File Generated or DOEP Filed - Regenerated</td>
</tr>
<tr>
<td>Rejected E-Files</td>
<td>Returns all E-Files currently in a status of DOEP Filed - Rejected.</td>
</tr>
<tr>
<td>E-Files w/Warnings</td>
<td>Returns all E-Files currently in a status of DOEP Filed - Transmitted w/Warnings.</td>
</tr>
</tbody>
</table>

**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 Received
- 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 72. 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
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 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:
Managing E-File Details Page
Chapter 6—Managing DOEP E-File

- 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.

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

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

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.

   ![File Download Window](image)

   **Figure 74. 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.

![E-File Transmitted Actions Window](image)

2. Click **Save**. Confirmation window appears. Click **OK**. The status of the DOEP E-File is changed to DOEP E-File Transmitted.

3. Click **Save and Attach**. Confirmation window appears.

4. 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.

6. 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.

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

3. Click **Save**.
   
   Confirmation window appears. Click **OK**. The status of the DOEP E-File is changed to DOEP E-File Transmitted w/Warnings.

4. Click **Save and Attach**.
   
   Confirmation window appears.

5. Click **OK**.
   
   An Actions window displays.

6. 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.

7. 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 77. E-File Rejected Actions Window](image)

2. Enter the BSA Tracking ID and comments (if any).

3. Enter a Logical Name and attach the .xml file downloaded from Fin CEN web site.

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 a 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.

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.

   ![Generate DOEP E-File Window](image)

   **Figure 79. 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 following 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:

![Create DOEP E-File Page](image)

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 filter is used, the Exemption Status should be Exempt, Revoked and the DOEP Status in Exempt - Ready for DOEP Filing, Exempt - ed Ready for DOEP Filing, and Revoked - Ready for DOEP Filing

   The following window displays.

![Create DOEP E-File Search Fields](image)

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:
Creating a DOEP E-File
Chapter 6—Managing DOEP E-File

Figure 82. Generate DOEP E-File Window

7. Enter 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 7 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 83. 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 84. Reports Dashboard List](image)

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>
<thead>
<tr>
<th>Currency Transaction Report Reports</th>
<th>Roles</th>
</tr>
</thead>
<tbody>
<tr>
<td>CTR Productivity by Status</td>
<td></td>
</tr>
<tr>
<td>CTR Trends</td>
<td>v</td>
</tr>
<tr>
<td>Currency Transaction Report Detail - TIN Report</td>
<td>v</td>
</tr>
<tr>
<td>High Volume Currency Transaction Report Entities</td>
<td></td>
</tr>
<tr>
<td>Revoked Exemptions</td>
<td>v</td>
</tr>
<tr>
<td>Recertify Productivity Report</td>
<td></td>
</tr>
<tr>
<td>Exempt Entity Report</td>
<td>v</td>
</tr>
<tr>
<td>New Exemptions Report</td>
<td>v</td>
</tr>
<tr>
<td>Audit Currency Transaction Report</td>
<td></td>
</tr>
<tr>
<td>MI Transaction Log</td>
<td>v</td>
</tr>
<tr>
<td>Currency Transaction Journal</td>
<td>v</td>
</tr>
</tbody>
</table>
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 the CTR 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.

![CTR Productivity by Status Chart](image)

Figure 85. 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>
<thead>
<tr>
<th>Filter Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date Type</td>
<td>Select a date type option either as Transaction Date, or as Due Date</td>
</tr>
<tr>
<td>From &gt;=</td>
<td>This field defaults to ten days less than the current date.</td>
</tr>
<tr>
<td>To &lt;=</td>
<td>This field defaults to current date.</td>
</tr>
<tr>
<td>Owner</td>
<td>Select the owner(s) from the multi-select drop-down options.</td>
</tr>
<tr>
<td>Status</td>
<td>Select the status from the multi-select drop-down options.</td>
</tr>
</tbody>
</table>

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

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
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 Average STP Currency Transaction Reports and Average 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.
   
   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 25. Generating CTR Processing Trends - Internal Filter Descriptions

<table>
<thead>
<tr>
<th>Filter Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Currency Transaction Report</td>
<td></td>
</tr>
<tr>
<td>Creation Date Between</td>
<td></td>
</tr>
</tbody>
</table>

Enter a date range for the search using the Select Date icon. This field defaults to blank.
Table 25. Generating CTR Processing Trends - Internal Filter Descriptions

<table>
<thead>
<tr>
<th>Filter Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Currency Transaction Report Creation Date To</td>
<td>Enter a date range for the search using the Select Date icon. This field defaults to blank.</td>
</tr>
<tr>
<td>Period</td>
<td>Select a period from the drop-down options. This field defaults to six months.</td>
</tr>
</tbody>
</table>

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 Average FinCEN Filings - Rejected, Average FinCEN Filings - Success w/errors, and Average 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. Select CTR Dashboard.  
Different report types related to CTR Dashboards are displayed in tabs depending upon the user role.
3. Select **CTR Trends** tab.  
The CTR Processing Trends- Internal and the CTR Processing Trends - FinCEN Acknowledgements page is displayed with default values entered in the filters.
4. To view the CTR Processing Trends - FinCEN Acknowledgements report, enter the details as described in the following table:

Table 26. Generating CTR Processing Trends - FinCEN Acknowledgements Filter Descriptions

<table>
<thead>
<tr>
<th>Filter Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Currency Transaction Report Creation Date Between</td>
<td>Enter a date range for the search using the Select Date icon. This field defaults to blank.</td>
</tr>
<tr>
<td>Currency Transaction Report Creation Date To</td>
<td>Enter a date range for the search using the Select Date icon. This field defaults to blank.</td>
</tr>
<tr>
<td>Period</td>
<td>Select a period from the drop-down options. This field defaults to six months.</td>
</tr>
</tbody>
</table>

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 88. Currency Transaction Report Detail – TIN Report](image)

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. Select CTR Dashboard.
   - Different report types related to CTR Dashboards are displayed in tabs depending upon the user role.
   - 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 27. Currency Transaction Report Detail – TIN Report Filter Descriptions

<table>
<thead>
<tr>
<th>Filter Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Currency Transaction Report Create Date Between</td>
<td>Enter a date range for the search using the Select Date icon. This field defaults to two years less than the current date.</td>
</tr>
<tr>
<td>Currency Transaction Report Create Date To</td>
<td>Enter a date range for the search using the Select Date icon. This field defaults to the current date.</td>
</tr>
<tr>
<td>SSN/TIN</td>
<td>Enter the SSN or TIN in this field.</td>
</tr>
<tr>
<td>SSN/TIN Format</td>
<td>Select a SSN/TIN format from the drop-down options namely, SSN, Tax ID, ITIN, EIN, and Foreign.</td>
</tr>
<tr>
<td>Include Exempted Currency Transaction Reports</td>
<td>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.</td>
</tr>
</tbody>
</table>

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 89. Detailed TIN # Report](image)

Figure 89. 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
- 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.

![Recertify Productivity Report](image)

**Figure 90. Recertify Productivity Report**

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

![Recertify Productivity Report - Details](image)

**Figure 91. 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 92. 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.

   
   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 28. Revoked Exemptions Filter Descriptions

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

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 the column bar to view the details of revoked Exemptions count for the selected period in a tabular report.
The following window is displayed.

![Revoke Exemption](image1)

**Figure 93. Revoke Exemption**

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 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.

![New Exemption Reports](image2)

**Figure 94. 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 29. New Exemption Reports Filter Descriptions

<table>
<thead>
<tr>
<th>Filter Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exemption Approved Date Between</td>
<td>Enter a date range for the search using the Select Date icon. This field defaults to one day less than the current date.</td>
</tr>
<tr>
<td>Exemption Approved Date To</td>
<td>Enter a date range for the search using the Select Date icon. This field defaults to current date.</td>
</tr>
</tbody>
</table>

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.

![High Volume Currency Transaction Report Entities](image)

Figure 95. 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.


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

<table>
<thead>
<tr>
<th>Filter</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Currency Transaction Report Creation Date Between</td>
<td>Enter a date range for the search using the Select Date icon. This field defaults to blank.</td>
</tr>
<tr>
<td>Currency Transaction Report Creation Date To</td>
<td>Enter a date range for the search using the Select Date icon. This field defaults to blank.</td>
</tr>
<tr>
<td>Display Period</td>
<td>Select a period from the Display Period drop-down options. This field defaults to Monthly.</td>
</tr>
<tr>
<td>Number of Currency Transaction Reports &gt;=</td>
<td>Enter the number of high volume Currency Transaction Reports filed on a customer that you want to search for. This field defaults to 25.</td>
</tr>
</tbody>
</table>

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**

The Audit Currency Transaction Report shows the number of Currency Transaction Reports that an exempt customer or an account is saved from creating and processing.
Figure 96. Audit Currency Transaction Report

To generate Audit Currency Transaction 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.

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

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

   Table 31. Audit Currency Transaction Report Filter Descriptions

<table>
<thead>
<tr>
<th>Filter</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Currency Transaction Report</td>
<td>Enter a date range for the search using the Select Date icon. This field</td>
</tr>
<tr>
<td>Created Between</td>
<td>defaults to 60 days less than the current date.</td>
</tr>
<tr>
<td>Currency Transaction Report</td>
<td>Enter a date range for the search using the Select Date icon. This field</td>
</tr>
<tr>
<td>Created To</td>
<td>defaults to current date.</td>
</tr>
</tbody>
</table>

5. Click Apply.
   
   A tabular report showing Audit Currency Transaction 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 97. Exempt Entity Report](image)

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.

   
   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>
<thead>
<tr>
<th>Filter Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exemption Year From</td>
<td>This field defaults to current year.</td>
</tr>
<tr>
<td>Exemption Year To</td>
<td>This field defaults to current year.</td>
</tr>
<tr>
<td>Business Type</td>
<td>Select a business type from the drop-down option. This field is a multi-select list with NAICS codes.</td>
</tr>
<tr>
<td>Initiate Recertify Date From</td>
<td>Enter a date range for the search using the Select Date icon. This field defaults to blank.</td>
</tr>
<tr>
<td>Initiate Recertify Date To</td>
<td>Enter a date range for the search using the Select Date icon. This field defaults to blank.</td>
</tr>
</tbody>
</table>
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.

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.
   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 33. MI Transaction Log Filter Descriptions**

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

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**

![Currency Transaction Journal](image)

**Figure 99. 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.
   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>
<thead>
<tr>
<th>Filter Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transaction Date Between</td>
<td>Enter the transaction date using the Select Date icon. This field defaults to one calendar day less than the current date.</td>
</tr>
<tr>
<td>Transaction Date To</td>
<td>Enter the transaction date using the Select Date icon. This field defaults to current date.</td>
</tr>
</tbody>
</table>

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.
Managing Monetary Instrument Transaction (MIT) Log

This feature allows banks to manage MI transactions that they are required to log and have available for review by examiners or audit to verify compliance. A financial institution must maintain a Monetary Instrument Log for five years. Oracle creates the MI log based off of logic that can be found in the CTR TSD, but clients have a need to review the data and possibly add or remove records as well as edit them.

They can then use the Oracle analytic report for generating the MI log if they have access to OBI or implemented the reports. Else they can report using information available when managing the records via this feature.

This chapter provides details to manage the Monetary Instrument Transaction (MIT) Log tab. Users can add, remove, and edit MIT Log data.

This chapter focuses on the following topics:
- Managing Search and List
- Managing MIT Details Page

Managing Search and List

This chapter discusses the following topics:
- Accessing Search and List
- Components of Search and List Page
- Searching MIT log data using Search Components

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 Monetary Instrument Transaction Log tab in Home page.
   The Search and List page is displayed.
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 actions that appear above the list of MIT:

- **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.

- **Export to Excel**: This option allows you export the list into an Excel template

- **Add**: This option allows you add monetary instrument log data.

- **Delete**: This option allows you delete monetary instrument log data.
Column Headings

Column headings provide labels that tell you what kind of information displays in the columns.

The MIT List will have the following column headings:

- Oracle Transaction ID
- Transaction Date
- Transaction ID
- Transaction Amount - Base
- Debit/Credit
- Instrument Description
- Instrument Number
- Account ID
- Conductor ID
- Conductor ID Type
- ID Issuing Authority
- Conductor Name
- Conductor TIN
- Conductor TIN Type
- Primary Customer ID
- Primary Customer Name
- Last Modified Date
- Last Modified By
- Transaction Record Status

Note: The following fields are shown by default:

- Transaction Date
- Oracle Transaction ID
- Conductor TIN.

Searching MIT log data using Search Components

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

1. Click Monetary Instrument Transaction Log tab. The Search and List page displays.
2. Enter the search components. The following table provides the description of the search components that display in the Search bar:

**Table 35. Search Components**

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oracle Transaction ID</td>
<td>This field displays the Oracle Transaction ID. This field will be not editable and will be pre-populated with a generated sequence ID.</td>
</tr>
<tr>
<td>Transaction Date</td>
<td>This field displays the transaction date on which the transaction was conducted.</td>
</tr>
<tr>
<td>Transaction ID</td>
<td>This field displays the transaction ID associated with the transaction.</td>
</tr>
<tr>
<td>Transaction Amount - Base</td>
<td>This field displays the monetary value of the funds transferred via this transaction denominated in the base currency in which this transaction was conducted.</td>
</tr>
<tr>
<td>Debit/Credit</td>
<td>This field indicates of whether this transaction is credit or debit or exchange transaction.</td>
</tr>
<tr>
<td>Conductor ID</td>
<td>This field displays ID of the Conductor.</td>
</tr>
</tbody>
</table>
Table 35. Search Components

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conductor ID Type</td>
<td>This field displays the type of the Conductor ID.</td>
</tr>
<tr>
<td>ID Issuing Authority</td>
<td>This field displays the authority name issuing the ID.</td>
</tr>
<tr>
<td>Conductor Name</td>
<td>This field displays the name of the conductor.</td>
</tr>
<tr>
<td>Conductor TIN</td>
<td>This field displays the Taxpayer Identification Number (TIN) of the conductor in the transaction.</td>
</tr>
<tr>
<td>Conductor TIN Type</td>
<td>This field displays the type of the Taxpayer Identification Number (TIN) of the conductor in the transaction.</td>
</tr>
<tr>
<td>Primary Customer ID</td>
<td>This field displays the id associated with the primary customer.</td>
</tr>
<tr>
<td>Primary Customer Name</td>
<td>This field displays the primary customer name.</td>
</tr>
<tr>
<td>Last Modified Date</td>
<td>This field displays the date that was last modified.</td>
</tr>
<tr>
<td>Last Modified By</td>
<td>This field displays the name of the person who last modified the record.</td>
</tr>
<tr>
<td>Transaction Record Status</td>
<td>This field displays the transaction record in any of the following statuses:</td>
</tr>
<tr>
<td></td>
<td>- Active - This status displays the transaction records which are not deleted.</td>
</tr>
<tr>
<td></td>
<td>- Added - This status displays the transaction records which are added. These records are added when you click the Add button after saving the transactions details.</td>
</tr>
<tr>
<td></td>
<td>- Deleted - This status displays the transaction records which are deleted but not removed from the database.</td>
</tr>
</tbody>
</table>
3. Click **Go**. The relevant MIT Log data list displays.
Managing MIT Details Page

This chapter focuses on the following topics:

- Adding MIT log data
- Editing MIT Log Data
- Deleting MIT log data

Adding MIT log data

To add MIT log data, follow these steps:

1. Click **Add** on the Monetary Instrument Log List grid.
   
The **Add Monetary Instrument Log** window is displayed.

   ![Add Monetary Instrument Log](image)

   **Figure 102. Add Monetary Instrument log**

   2. Enter the details in the fields as explained in the following table:
Table 36. Adding MIT Log Data Components

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oracle Transaction ID</td>
<td>This field displays the Oracle transaction ID. This field is non-editable</td>
</tr>
<tr>
<td></td>
<td>and pre-populated with generated sequence ID.</td>
</tr>
<tr>
<td>Transaction Date</td>
<td>Select the transaction date from the calendar.</td>
</tr>
<tr>
<td>Transaction ID</td>
<td>Enter the ID.</td>
</tr>
<tr>
<td>Transaction Amount - Base</td>
<td>Enter the amount of fees paid on this account expressed in base currency.</td>
</tr>
<tr>
<td>Debit/Credit</td>
<td>Select the type of transaction as either Debit or Credit.</td>
</tr>
<tr>
<td>Instrument Description</td>
<td>Enter the serial number of the monetary instrument associated with this</td>
</tr>
<tr>
<td></td>
<td>transaction.</td>
</tr>
<tr>
<td>Instrument Number</td>
<td>Enter the serial number of the monetary instrument associated with this</td>
</tr>
<tr>
<td></td>
<td>transaction.</td>
</tr>
<tr>
<td>Account ID</td>
<td>Enter the Account ID in which the transaction was conducted.</td>
</tr>
<tr>
<td>Conductor ID</td>
<td>Enter the ID of the conductor.</td>
</tr>
<tr>
<td>Conductor ID Type</td>
<td>Select the Verification ID Type of the conductor from the following options</td>
</tr>
<tr>
<td></td>
<td>available:</td>
</tr>
<tr>
<td></td>
<td>● Unknown</td>
</tr>
<tr>
<td></td>
<td>● Driver’s license/State ID</td>
</tr>
<tr>
<td></td>
<td>● Passport</td>
</tr>
<tr>
<td></td>
<td>● Alien registration</td>
</tr>
<tr>
<td></td>
<td>● Customer</td>
</tr>
<tr>
<td></td>
<td>● Other</td>
</tr>
<tr>
<td>Conductor ID Issuing Country</td>
<td>Select the conductor ID issuing country from the drop-down list.</td>
</tr>
</tbody>
</table>


### Table 36. Adding MIT Log Data Components

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conductor ID Issuing State</td>
<td>Select the ID issuing state of the conductor from the drop-down list.</td>
</tr>
<tr>
<td>Conductor First Name</td>
<td>Enter the first name of the conductor in the transaction.</td>
</tr>
<tr>
<td>Conductor Middle Name</td>
<td>Enter the middle name of the conductor in the transaction.</td>
</tr>
<tr>
<td>Conductor Last Name</td>
<td>Enter the last name of the conductor in the transaction.</td>
</tr>
<tr>
<td>Conductor Birth Date</td>
<td>Select the birth date of the conductor from the calendar.</td>
</tr>
<tr>
<td>Conductor TIN</td>
<td>Enter the Taxpayer Identification Number (TIN) of the conductor in the transaction.</td>
</tr>
<tr>
<td>Conductor TIN Type</td>
<td>Select the conductor TIN type from the list of available options:</td>
</tr>
<tr>
<td></td>
<td>• EIN</td>
</tr>
<tr>
<td></td>
<td>• Foreign</td>
</tr>
<tr>
<td></td>
<td>• GIIN</td>
</tr>
<tr>
<td></td>
<td>• ITIN</td>
</tr>
<tr>
<td></td>
<td>• SSN</td>
</tr>
<tr>
<td></td>
<td>• Tax ID</td>
</tr>
<tr>
<td>Location ID</td>
<td>Enter the location ID.</td>
</tr>
<tr>
<td>Location Name</td>
<td>Enter the name of the location where the transactions were done.</td>
</tr>
<tr>
<td>Transaction Address</td>
<td>Enter the address where the transactions were done.</td>
</tr>
</tbody>
</table>
### Table 36. Adding MIT Log Data Components

<table>
<thead>
<tr>
<th>Transaction City</th>
<th>Select the city where the transactions were done from the drop-down list.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transaction Country</td>
<td>Select the country where the transactions were done from the drop-down list.</td>
</tr>
<tr>
<td>Transaction State</td>
<td>Select the state where the transactions were done from the drop-down list.</td>
</tr>
</tbody>
</table>
| Business Reason Code | Select the business reason code from the drop-down list:  
  - Credit Advance  
  - Gaming Device  
  - Currency Exchange  
  - Deposit  
  - Funds Transfer  
  - Gaming Instrument  
  - Negotiable Instrument  
  - Other  
  - Prepaid Access  
  - Payment  
  - Travel Expenses/Gaming  
  - Tournament/Contest  
  - Withdrawal  
  - Wagers |
| Conductor Address Street | Enter the street address of the conductor involved in the transaction. |
| Conductor Address City | Enter the city of the conductor involved in the transaction. |
| Conductor Address Postal Code | Enter the postal code for the address provided. |
3. Click **Save**. The MIT log data details are added.

**Action Buttons**

Following are the action buttons available in the *Add Monetary Instrument Log* window:

- **Cancel**: This button closes the overlay and user is returned to Search and List with prior search and results retained.
- **Close**: This button closes the overlay and user is returned to Search and List with prior query and results retained.

**Editing MIT Log Data**

To edit MIT Log data, follow these steps:

1. Select the required transaction record hyper link listed under the *Monetary Instrument Transaction Log List* grid.

   The *Edit Monetary Instrument Log* window is displayed. This window consists of the following areas:

   - **Edit MIT Log Details**
   - **Actions Taken**
   - **History**

---

**Table 36. Adding MIT Log Data Components**

<table>
<thead>
<tr>
<th>Component</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conductor Address Country</td>
<td>Select the country of the conductor from the drop-down list.</td>
</tr>
<tr>
<td>Conductor Address State</td>
<td>Select the state of the conductor from the drop-down list.</td>
</tr>
<tr>
<td>Adjusted Transaction</td>
<td>Select the adjusted transaction as <strong>Yes</strong> or <strong>No</strong>.</td>
</tr>
<tr>
<td>Comments</td>
<td>Enter the comments in the text box.</td>
</tr>
</tbody>
</table>
2. Edit the required information and click **Save**.

3. The transaction record is updated.

*Note:* A record can be viewed by a single user at a time. The record gets locked when a user accesses it for viewing or editing.

*Edit Monetary Instrument Transaction Details*

Edit the required information in this section.
**Actions Taken**

You can see the columns in this grid. This grid displays a history of all actions taken on the MIT entry along with who took and when. This allows for full traceability and accountability for records being reported on the MI Log.

This grid displays the following columns:

- Date and Time
- Action
- By
- Comments

**History**

This grid shows what has been changed on the record over time. Click the Difference button to see the differences between two records.

Following is an example showing the difference in two records:
## Transaction Change History

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oracle Transaction ID</td>
<td>1574</td>
</tr>
<tr>
<td>Transaction Date</td>
<td>02/15/2016</td>
</tr>
<tr>
<td>Transaction ID</td>
<td>hyjghj</td>
</tr>
<tr>
<td>Transaction Amount - Base</td>
<td>8678979</td>
</tr>
<tr>
<td>Debit/Credit</td>
<td>Debit</td>
</tr>
<tr>
<td>Instrument Description</td>
<td>yiuyj</td>
</tr>
<tr>
<td>Instrument Number</td>
<td>hjkg</td>
</tr>
<tr>
<td>Account ID</td>
<td>high</td>
</tr>
<tr>
<td>Conductor ID</td>
<td>bjnmNhj</td>
</tr>
<tr>
<td>Conductor ID Type</td>
<td>Driver's license/State ID</td>
</tr>
<tr>
<td>Conductor ID Issuing State</td>
<td>FEDERATED STATES OF MICRONESIA</td>
</tr>
<tr>
<td>Conductor ID Issuing Country</td>
<td>UNITED STATES</td>
</tr>
<tr>
<td>Conductor First Name</td>
<td></td>
</tr>
<tr>
<td>Conductor Middle Name</td>
<td></td>
</tr>
<tr>
<td>Conductor Last Name</td>
<td>jgh</td>
</tr>
<tr>
<td>Conductor Birth Date</td>
<td>02/07/1986</td>
</tr>
<tr>
<td>Conductor TIN</td>
<td>ghjghj</td>
</tr>
<tr>
<td>Conductor TIN Type</td>
<td>GIIN</td>
</tr>
<tr>
<td>Location ID</td>
<td>jjgh</td>
</tr>
<tr>
<td>Location Name</td>
<td></td>
</tr>
<tr>
<td>Adjusted Transaction</td>
<td>N</td>
</tr>
<tr>
<td>Transaction Address</td>
<td></td>
</tr>
<tr>
<td>Transaction City</td>
<td></td>
</tr>
<tr>
<td>Transaction State</td>
<td></td>
</tr>
<tr>
<td>Transaction Country</td>
<td>UNITED STATES</td>
</tr>
<tr>
<td>Business Reason Code</td>
<td>Negotiable Instr</td>
</tr>
<tr>
<td>Conductor Address Street</td>
<td>k</td>
</tr>
<tr>
<td>Conductor Address City</td>
<td>bjhlj</td>
</tr>
<tr>
<td>Conductor Address Postal Code</td>
<td>jjk.jjk</td>
</tr>
<tr>
<td>Conductor Address State</td>
<td>DISTRICT OF COLUMBIA</td>
</tr>
<tr>
<td>Conductor Address Country</td>
<td>UNITED STATES</td>
</tr>
<tr>
<td>Comments</td>
<td>jn.jkjkj.kk.kmk.k1</td>
</tr>
</tbody>
</table>

[Close]
Deleting MIT log data

With this action, the record is not actually deleted from the database. But only marked with status of deleted so that the bank can keep the history and audit trail. But that records with a Deleted status will not be part of any MI Log report created for reporting to the regulator.

To delete MIT log data, follow these steps:

1. Select the transaction record that you want to delete.
2. Enter the comments in the Comments pop-up window.
3. Click Save. The transaction record is deleted.