

Oracle Financial Services Currency Transaction Reporting

User Guide

Release 8.1.2.3.0

December 2022

E85853-01



OFS Currency Transaction Reporting

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Table 1: Revision History

Date	Edition	Description
August 2023	Second edition of 8.1.2.3.0.	CTR Analyst User can not view the CTR reports in Pending Review status. Updated Table 1 .
December 2022	First edition of 8.1.2.3.0.	There are no content changes to this guide in this release.
September 2022	First edition of 8.1.2.2.0.	There are no content changes to this guide in this release.
June 2022	First edition of 8.1.2.1.0.	There are no content changes to this guide in this release.
March 2022	First edition of 8.1.2.0.0.	This guide has been updated to reflect changes made to the User Interface.
October 2021	First edition of 8.1.1.0.0	In Chapter 3, <i>Managing Currency Transaction Reports</i> , added the following sections: <ul style="list-style-type: none">• Purged CTRs• XSD Validation In Chapter 5, <i>Managing Exemptions</i> , added the following sections: <ul style="list-style-type: none">• Purged Exemptions• XSD Validation
July 2021	First edition of 8.1.1.0.0	In Chapter 4, <i>Managing E-file</i> , added the <i>Sending Batch E-files Using SDTM</i> section. In Chapter 6, <i>Managing DOEP E-file</i> , added the <i>Sending Batch DOEP E-files Using SDTM</i> section.
April 2020	First edition of 8.0.8.0.1	There are no content changes to this guide in this release.

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1 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](#)

1.1 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.

1.2 How this Guide is Organized

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

- [Chapter 2, 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 3, Managing Home Page](#), describes the users who can access the Home page and various options available for each user roles.
- [Chapter 4, Managing Currency Transaction Reports](#), describes how to manage the CTR List and how to create a Currency Transaction Report.

- [Chapter 5, Managing E-File](#), describes how to manage the Search and List and how to create an E-File.
- [Chapter 6, Managing Exemptions](#), describes how to manage Search and List and how to create an Exemption.
- [Chapter 7, Managing DOEP E-File](#), describes how to manage the Declaration of Exempt Persons (DOEP) E-File List and how to create a DOEP E-File
- [Chapter 8, Generating Reports](#), describes how to generate various reports from Currency Transaction Report, Exemption and Transaction Log dashboards respectively.

1.3 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.

1.4 Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1: Conventions Used in this Guide

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

2 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](#)

2.1 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](#)

2.1.1 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.

2.1.2 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](#).

2.1.3 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. 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.

2.2 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 OFSAA Login page will open in a pop-up window. This allows you to log into CTR (Figure 1).

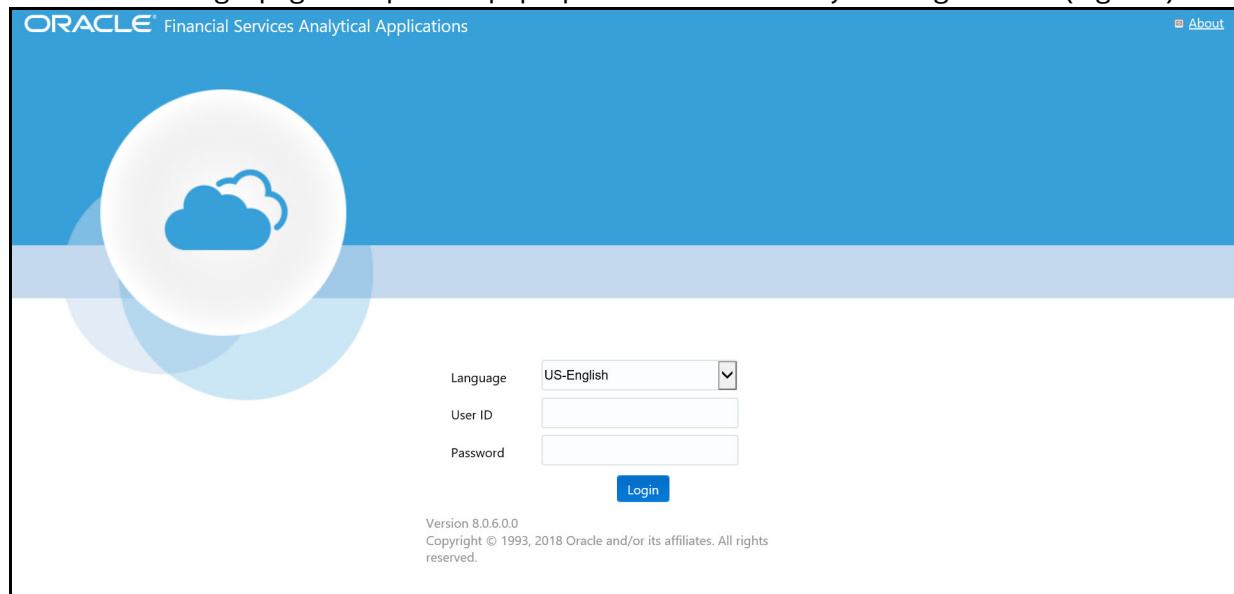


Figure 1: OFSAA Login

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 OFSAA Landing page displays. The applications which display on this page will vary depending on your implementation.

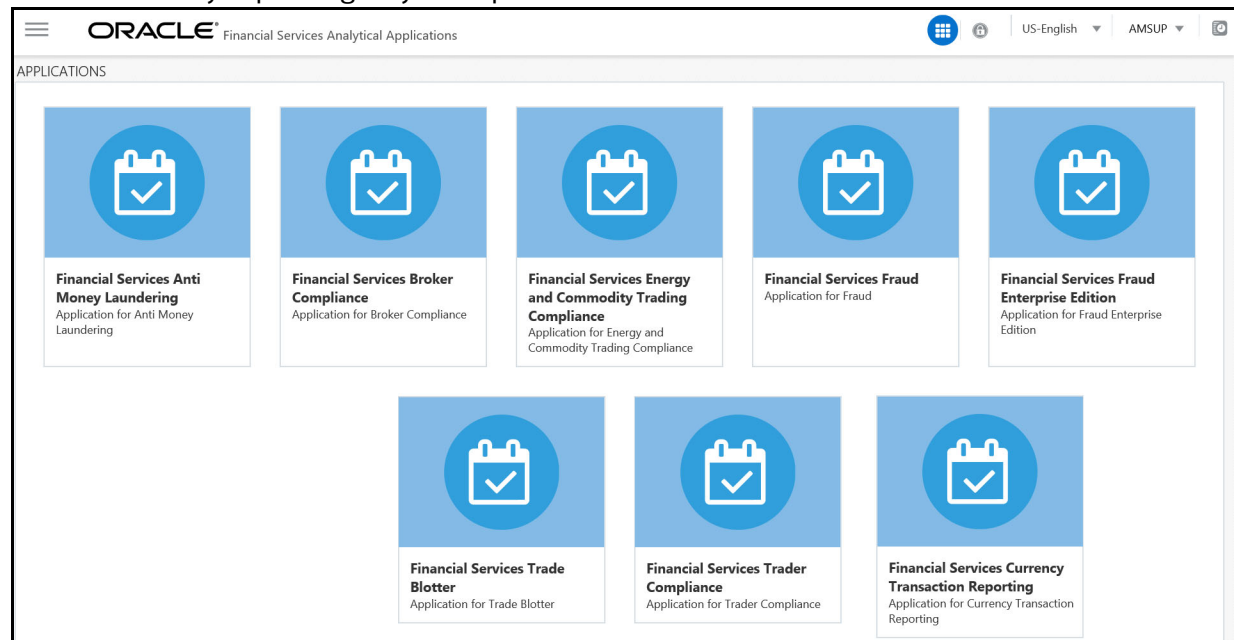


Figure 2: OFSAA Landing Page

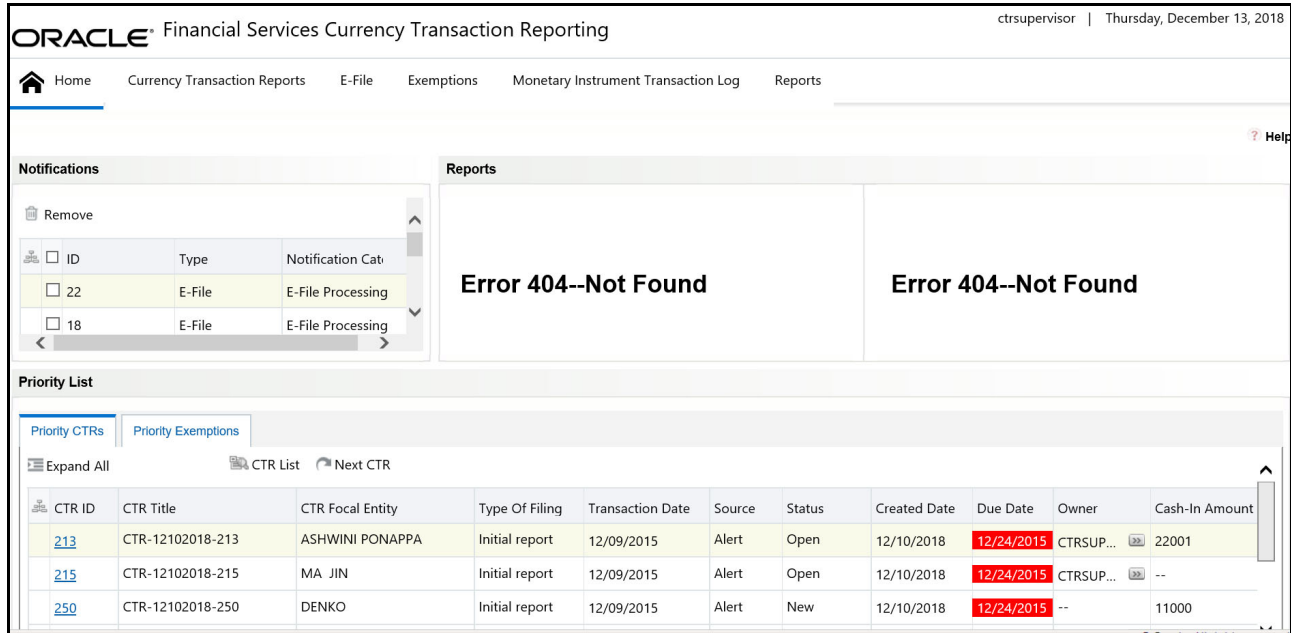
5. Click **Financial Services Currency Transaction Reporting**. The Navigation List appears.

6. Click **Currency Transaction Reporting**.

2.2.1 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, Monetary Instrument Log and Reports menus.



The screenshot displays the Oracle Financial Services Currency Transaction Reporting interface. At the top, the user is logged in as 'ctrsupervisor' on Thursday, December 13, 2018. The navigation menu includes Home, Currency Transaction Reports, E-File, Exemptions, Monetary Instrument Transaction Log, and Reports. The main content area is divided into three sections: Notifications, Reports, and Priority List. The Notifications section shows a table with columns for ID, Type, and Notification Cat, containing two entries for E-File Processing. The Reports section shows two large boxes with the text 'Error 404--Not Found'. The Priority List section has tabs for Priority CTRs and Priority Exemptions, and a table of CTRs.

CTR ID	CTR Title	CTR Focal Entity	Type Of Filing	Transaction Date	Source	Status	Created Date	Due Date	Owner	Cash-In Amount
213	CTR-12102018-213	ASHWINI PONAPPA	Initial report	12/09/2015	Alert	Open	12/10/2018	12/24/2015	CTRSUP...	22001
215	CTR-12102018-215	MA JIN	Initial report	12/09/2015	Alert	Open	12/10/2018	12/24/2015	CTRSUP...	--
250	CTR-12102018-250	DENKO	Initial report	12/09/2015	Alert	New	12/10/2018	12/24/2015	--	11000

Figure 3: CTR Home Page

2.3 CTR Menu

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

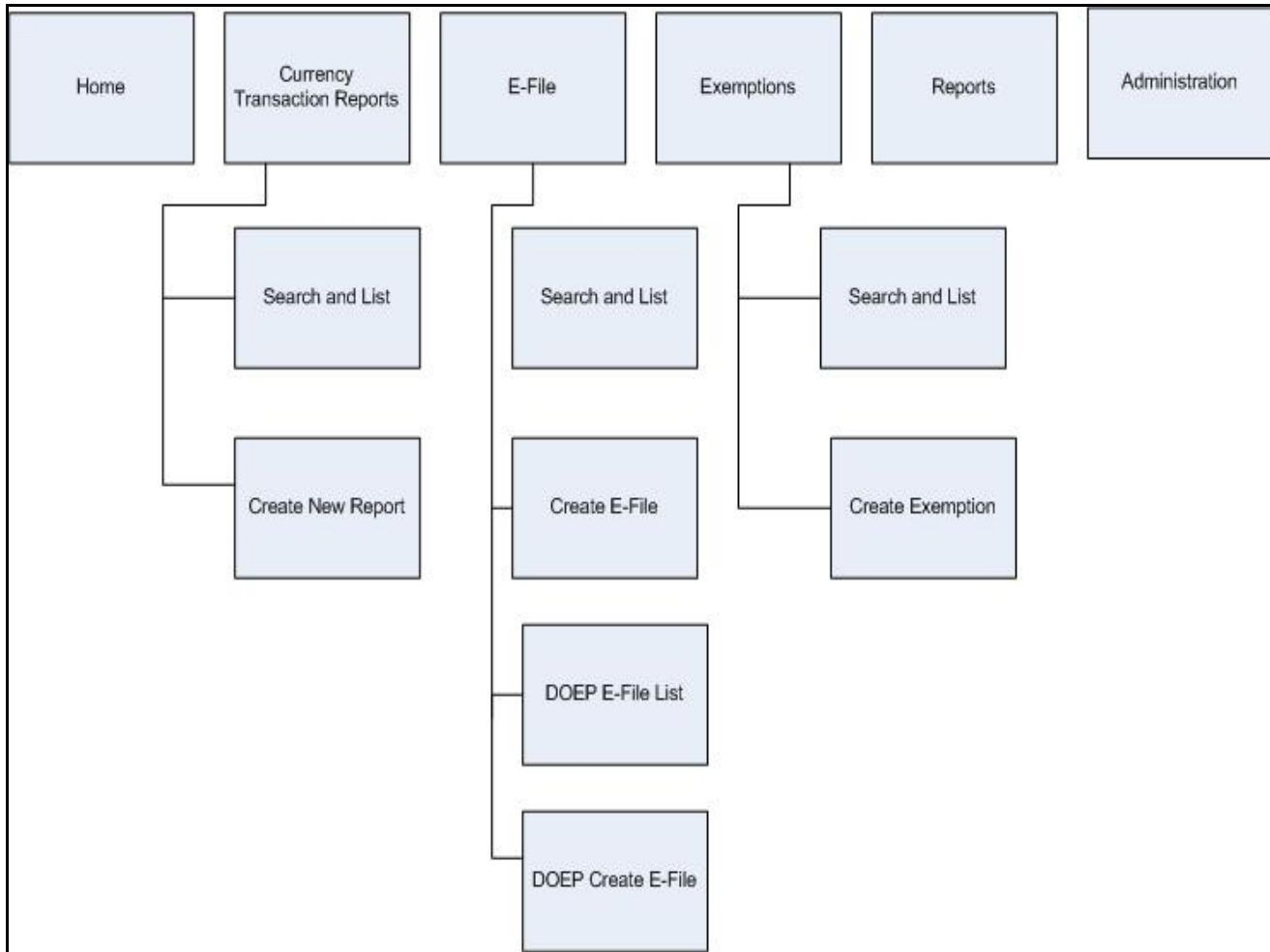


Figure 4: CTRs Menus

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

Table 1: CTR Menu-User Role Mapping Table

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

Table 1: CTR Menu-User Role Mapping Table

DOEP E-File					X		
Exemptions			X				X
Reports	X	X	X	X	X	X	X

2.3.1 Home Menu

The Home menu is accessible to users with the roles of Analyst, QA Analyst, and Supervisor. For detailed information, refer to [Chapter 3, Managing Home Page](#), for more information.

2.3.2 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 4, Managing Currency Transaction Reports](#), for more information.

2.3.3 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 5, Managing E-File](#), for more information.

2.3.4 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 7, Managing DOEP E-File](#), for more information.

2.3.5 Exemptions Menu

The Exemption menu is accessible to users with roles of Exemption Analyst and Supervisor. A user with a Supervisory role in the Currency Transaction Report menu will have similar Supervisory role in the Exemptions menu as well. The Exemptions menu has two sub-menu options namely, Search and List, and Create Exemption. Refer to [Chapter 6, Managing Exemptions](#), for more information.

2.3.6 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 8, Generating Reports](#),

3 Managing Home Page

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

3.1 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.

CTR ID	CTR Title	CTR Focal Entity	Type Of Filing	Transaction Date	Source	Status	Created Date	Due Date	Owner	Cash-In Amount
213	CTR-12102018-213	ASHWINI PONAPPA	Initial report	12/09/2015	Alert	Open	12/10/2018	12/24/2015	CTRSUP...	22001
215	CTR-12102018-215	MA JIN	Initial report	12/09/2015	Alert	Open	12/10/2018	12/24/2015	CTRSUP...	--
250	CTR-12102018-250	DENKO	Initial report	12/09/2015	Alert	New	12/10/2018	12/24/2015	--	11000

Figure 1: Currency Transaction Report Home Page

3.1.1 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.

3.1.2 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.

3.1.3 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 1](#), 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.

3.1.4 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.

3.1.4.1 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.

3.1.4.2 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.

4 Managing Currency Transaction Reports

This chapter describes the workflow of a Currency Transaction Report (CTR), managing the 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 CTR Details](#)

4.1 Currency Transaction Report Workflow

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

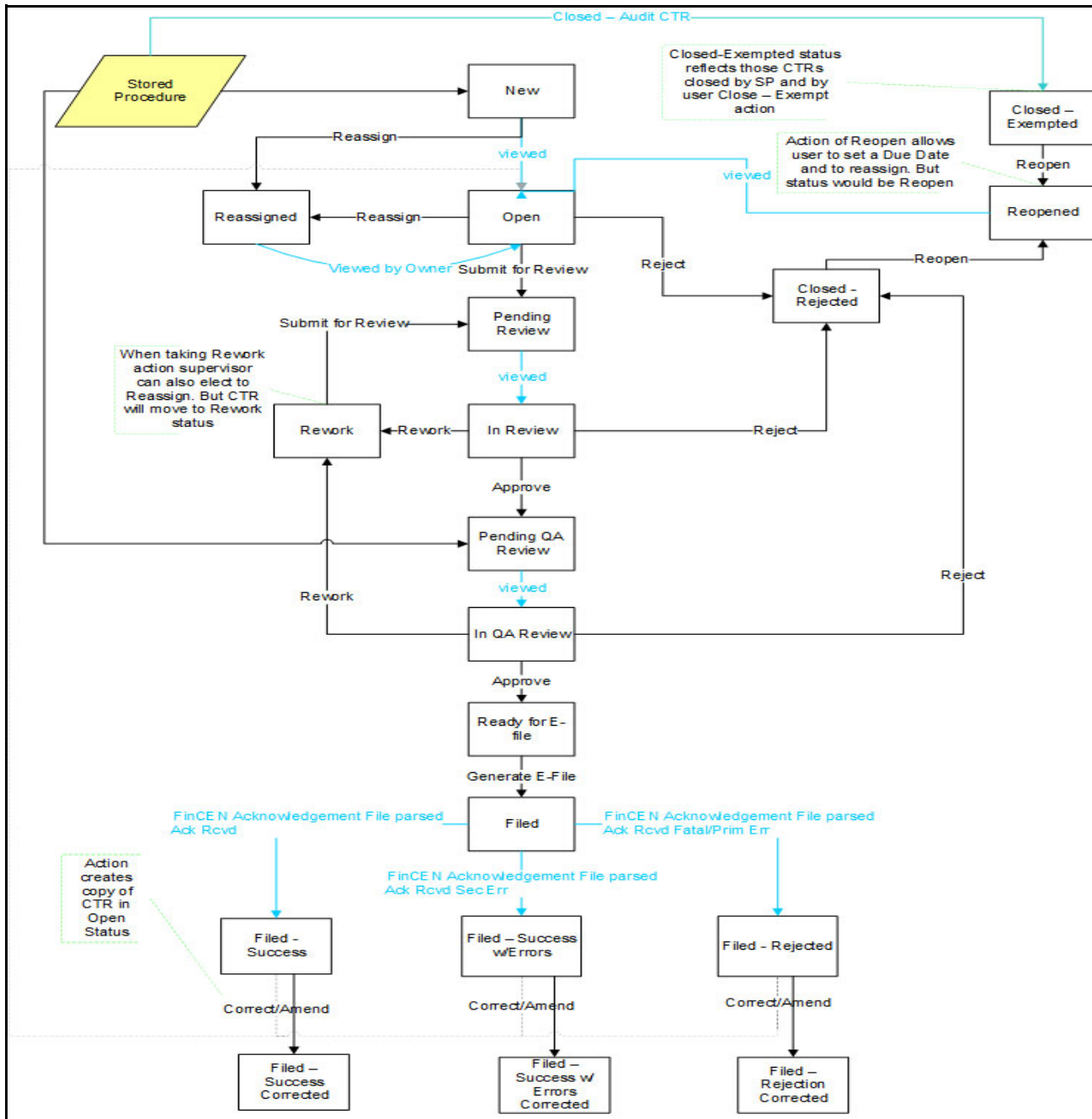


Figure 1: Currency Transaction Reporting Workflow

4.1.1 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 CTRs will be viewable to different user roles:

Table 1: User Role-Status Mapping

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

4.2 Managing CTR List

This section discusses the following topics:

- [Accessing CTR List](#)
- [Components of Search and List Page](#)
- [Searching and Viewing CTR List](#)

4.2.1 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.

(Or)

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

CTR ID	CTR Title	CTR Focal Entity	Created Date	Due Date	Transaction Date	Status	Cash-In Amount	Cash-Out Amount	Type Of Filing	Source
213	CTR-12102018-213	ASHWINI PONAPPA	12/10/2018	12/24/2015	12/09/2015	Open	22001	--	Initial report	Alert
215	CTR-12102018-215	MA JIN	12/10/2018	12/24/2015	12/09/2015	Open	--	--	Initial report	Alert
469	CTR-12112018-469	TAUFIK HIDAYAT	12/11/2018	12/24/2015	12/09/2015	Open	--	10500	Initial report	Alert
517	CTR-12112018-517	DENKO	12/11/2018	12/24/2015	12/09/2015	Open	11000	--	Initial report	Alert
745	CTR-12112018-745	TAUFIK HIDAYAT	12/11/2018	12/24/2015	12/09/2015	Open	--	10500	Initial report	Alert
1	CTR-12102018-1	DAN	12/10/2018	12/25/2015	12/10/2015	Open	--	10050	Initial report	Branch
2	CTR-12102018-2	HIDAYAT	12/10/2018	12/25/2015	12/10/2015	Open	16000	10500	Initial report	Branch
3	CTR-12102018-3	GADE	12/10/2018	12/25/2015	12/10/2015	Open	10100	10500	Initial report	Branch
116	CTR-12102018-116	HUDSON	12/10/2018	12/25/2015	12/10/2015	Open	--	--	Initial report	Branch
162	CTR-12102018-162	PETROVA	12/10/2018	12/25/2015	12/10/2015	Open	12010	--	Initial report	Alert

Figure 2: Search and List page

4.2.2 Components of Search and List Page

The Search and List page contains the following components:

- Check Boxes
- Actions
- Column Headings
- Pagination

4.2.2.1 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.

4.2.2.2 Actions

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

- **Expand All:** This option allows you to expand the complete details for the items where text cannot be accumulated in the column length. Clicking Collapse All, and this takes you to the original view of CTR List.
- **Action:** This option allows you to take an action for the selected CTRs.
- **Email:** This option allows you to send an email.
- **Batch Approval:** This option allows you batch approve CTRs from Pending QA Review/In QA Review to Ready for E-File status. Only a user with QA Analyst role has access to this option.

-
- **Next CTR:** This option assigns a new CTR to the current user.

4.2.2.3 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 OFS CTR application refreshes the list and re-sorts the CTR List records based on the selected criteria.

The CTR List will have the following column headings:

- CTR ID
- CTR Title
- CTR Focal Entity
- Created Date
- Due Date
- Transaction Date
- Status
- Cash-In Amount
- Cash-Out Amount
- Type of Filing
- Source
- Owner
- CTR Location
- CTR Location Country
- CTR Location State

4.2.2.4 Pagination

By default, the Search and List page displays 20 CTRs. To view additional CTRs returned by search, use the pagination controls to move to additional pages.

4.2.3 Searching and Viewing CTR List

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

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

This section contains the following topics:

- [Searching CTR List Using Search Components](#)
- [Searching Using Pre-defined Views](#)
- [Currency Transaction Report Search and Views User Roles](#)

4.2.3.1 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:

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

The screenshot shows the Oracle Financial Services Currency Transaction Reporting interface. At the top, there are navigation tabs: Currency Transaction Reports (selected), E-File, Exemptions, and Monetary Instrument Transaction Log. Below the tabs, the page title is "Currency Transaction Reports >> Search and List". There are icons for "Simple Search", "Views", "Advanced Search", "Clear", and "Go". The search criteria section includes: "Created Date >=" (04/08/2022), "Created Date <=" (04/09/2022), "CTR Focal Entity Type", "CTR Focal Entity", "CTR Type", "Person Involved TIN", "Person Involved Name", "Person Involved Account", "Status", "Owner", "Due Date <=" (with a calendar icon), "CTR Location", "CTR Location Country", and "CTR Location State". Below this is an "Or Search By" section with a "CTR ID" field. A note at the bottom states: "Note : Search by CTR ID will ignore all other search criteria." The top right corner shows "CTRSUP | Friday, April 8, 2022" and a "Help" icon.

Figure 3: Currency Transaction Report Search View

You can also click **Advanced Search**.

The screenshot shows the Oracle Financial Services Currency Transaction Reporting interface in Advanced Search mode. The navigation tabs are the same as in Figure 3. The page title is "Currency Transaction Reports >> Search and List". The search mode is "Advanced Search". The search criteria section includes: "Created Date >=" (04/08/2022), "Created Date <=" (04/09/2022), "CTR Focal Entity Type", "CTR Focal Entity", "CTR Type", "Person Involved TIN", "Person Involved Name", "Person Involved Account", "Jurisdiction", "Domain", "Parent Financial Institution", "Type of Filing", "Owner", "Due Date <=" (with a calendar icon), "Source", "Last Action", "Status", "CTR Location", "CTR Location Country", and "CTR Location State". Below this is an "Or Search by" section with a "CTR ID" field. The bottom right corner shows "© Oracle. All rights reserved." The top right corner shows "Help" and a small arrow icon.

Figure 4: Currency Transaction Report Advanced Search View

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

4.2.3.2 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 options 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.

4.2.3.3 Currency Transaction Report Search and Views User Roles

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

Table 2: CTR List Views User-Role Mapping

Views	Analyst	Supervisor	QA Analyst
All Audit CTRs		X	
All Open CTRs		X	
All Overdue CTRs		X	
Filed		X	
Filed – Rejected		X	
My Near Due CTRs	X	X	
My Open CTRs	X Note: This view is the default view for this user.	X	

Table 2: CTR List Views User-Role Mapping

My Overdue CTRs	X	X	
My Rework CTRs	X		
Pending QA Review		X	X Note: This view is the default view for this user.
Pending Review	X	X Note: This view is the default view for this user.	
Ready for E-File		X	

4.3 Creating a Currency Transaction Report

A CTR can be created either manually or through system generated alerts. A corrected report is amended with reference to the new report.

To manually create a CTR, follow these steps:

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

The Create New Report window displays.

Figure 5: Create New Report

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

Table 3: CTR Details

Field Name	Description
CTR Title	Enter the CTR Title in this field.
CTR Focal Entity	Enter the CTR Focal Entity in this field.
CTR Focal Entity Type	Select a CTR Focal Entity Type as Conductor, Customer, or TIN.
Parent Financial Institution	Select a parent financial institution from the listed drop-down list. The selection of Parent Financial Institutions will auto-populate the associated contact for information fields based on the establishment of the contact information for the reporting institutions.
Type of Filing	Select a type of filing as Initial report, Correct/amend prior report, or FinCEN directed Backfiling.
Jurisdiction	Select a jurisdiction from the listed drop-down options.
Domain	Select the required domain from the listed drop-down options.
Prior Report BSA ID	Enter the Prior Report BSA ID in this field. This field is enabled only if the type of filing is selected as Correct/Amend prior report.
CTR Type	Select the type of CTR you want to create, that is, the threshold set used to generate the scenario which created the case. For example, GTO or Base Threshold set.

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

Table 4: Search Transactions

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

Table 4: Search Transactions

Transaction Date To	Select a date using the calendar icon. CTR searches for transactions with transaction date less than or equal to the entered date.
Exclude Exempt transactions	Select this option to exclude exempt transactions from the search results.

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

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

- 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
- Transaction Amount – Outgoing Country

5. Select the required transactions and click **Create**.

A new CTR is created for the selected transactions.

If a CTR shares a transaction with another CTR from the current day's batch, an error message displays in the Audit tab for each CTR. You will then must investigate and decide how to resolve, such as bringing the additional transactions from one CTR to the other and closing one or choosing to file as is.

4.3.1 XSD Validation

All information provided in the CTR is validated against the CTR XSD files. If any error is present in the CTR, the error will be listed in the XSD Validation menu in the Audit tab.

4.3.2 Purged CTRs

Administrators can purge old CTRs and their respective e-files based on the lookback period provided in the application. When the Purge batch is executed, all CTRs belonging to the period before the

provided look back period will be purged and no longer listed in the application. They will be then stored in the purged tables in the database.

E-files of the respective purged CTRs will be purged only if all the CTRs for which the e-file was generated are purged. If even a single CTR in the e-file does not match the lookback period criteria and is present in the application then the e-file will not be purged.

4.4 Managing CTR Details

This section focuses on the following topics:

- [Viewing CTR Context](#)
- [Performing Actions on CTRs](#)
- [Backfiling a CTR](#)
- [Sending an Email](#)
- [Batch Approving CTRs](#)
- [Adding a Transaction](#)
- [Editing a Transaction](#)
- [Removing a Transaction](#)
- [Indicating Shared Branching](#)
- [Transaction Change History](#)
- [Managing Persons Involved](#)
- [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](#)
- [Editing Transaction Financial Institution](#)
- [Changing Parent Financial Institution](#)
- [Adding Comments to a CTR](#)
- [Adding Attachments to a CTR](#)
- [Removing Attachments from a CTR](#)
- [Viewing Attachments of a CTR](#)

4.4.1 Viewing CTR Context

The CTR Context displays detailed information about a Currency Transaction Report. In OFS 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 CTR** from the CTR Home page.

The screenshot shows the Oracle Financial Services Currency Transaction Reporting interface. At the top, there's a navigation bar with 'Home', 'Currency Transaction Reports', 'E-File', 'Exemptions', 'Monetary Instrument Transaction Log', and 'Reports'. Below this, the breadcrumb trail reads 'Currency Transaction Reports >> Search and List >> CTR Details'. The main content area is titled 'CTR Context' and displays the following information: CTR ID: 273, Due Date: 12/24/2015, CTR Focal Entity: TI 221133483, and Status: Closed-Superseded. Below the context, there are several tabs: 'Transaction Summary', 'Transactions', 'Persons Involved', 'Accounts', 'Financial Institutions', 'Evidence', and 'Audit'. The 'Transaction Summary' tab is selected, showing a table of transaction details. The table is organized into columns for 'Cash In', 'Cash Out', and various transaction types. The 'Cash In' column shows a total of 22001. The 'Cash Out' column shows a total of --. The 'Transactions' column shows various transaction types such as 'Initial report', 'Mail Deposit / Shipment', 'Purchase Of Negotiable Instruments', 'Currency Exchanges', 'Currency To Prepaid Access', 'Purch of casino chips, tokens, gaming instr', and 'Currency waders including money plays'. The 'Cash Out' column shows various transaction types such as 'Withdrawals', 'Advances on Credit', 'Currency Paid from Funds Transfers', 'Negotiable Instruments Cashed', 'Currency Exchanges', 'Currency From Prepaid Access', 'Redemp of Casino Chips, Tokens, TITO Tickets, Gaming instr', and 'Payments On Waders'. The page footer includes the Oracle logo and the text '© Oracle. All rights reserved'.

Figure 6: CTR Details Page

The following are the components of CTR Details page:

- **CTR Context**
- **CTR Details Tabs**

4.4.1.1 CTR Context

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

- CTR Title
- Owner
- Jurisdiction
- Business Domain
- Created Date
- Transaction Date
- Source
- Parent Financial Institution
- Type of Filing
- Filing Acknowledgment Date
- CTR Business Date
- Prior Report BSA ID
- Initial Validation Result
- BSA ID

4.4.1.2 CTR Details Tabs

The CTR Details page displays the following CTR Context tabs:

- **Transaction Summary:** The Transaction Summary tab displays summary information for all the transactions associated with a CTR. The fields appearing on Transaction Summary tab are from Form 3A of the efile. This tab provides the user a consolidated view of the values that the generated efile will have for that CTR.
- **Transactions:** The Transactions tab provides information on the transactions associated with the CTR, and allows the users to take certain actions based on their user roles. CTR Transactions tab displays the details of all the individual transactions, and allow the user to add or remove the transactions from the CTR. If the user adds or removes transactions on Transaction tab, the values on Transaction Summary tab will be updated accordingly. However, the Transaction Date will not be affected by adding or removing transactions. Adding or removing transactions will also affect Persons Involved, Accounts and Financial Institution information of a CTR.
- **Persons Involved:** The Persons Involved tab displays information on the individuals or entities associated with a CTR. You can also add or view attachments and comments for the persons involved in a CTR. There is only one record for a person on a CTR, even if the person is involved in multiple transactions on the CTR, with same or different involvement types. The information appearing on this tab is part of Form 4A of the E-File.
- **Accounts:** The Accounts tab displays the details of all the accounts associated with the transactions of the CTR. You cannot add, edit or remove any information on the Accounts tab. An account appears on the grid only once even if it is associated with more than one transaction of the CTR. If you add or remove a transaction on the Transaction tab, the accounts on the Accounts tab also get updated accordingly.
- **Financial Institutions:** The Financial Institutions tab displays the information on financial institutions information associated with the CTR. You can change the Transaction FI information and the Parent FI information present in the CTR using the **Change Transaction FI** option in the Transaction FI page and **Change Parent FI** option in Parent FI page respectively. The information appearing on this tab will be part of Form 2A and 2B of the E-File.
- **Evidence:** The Evidence tab displays the comments and documents associated with the CTR. It allows a user to add comments and add or remove documents. The records are displayed in reverse chronological order.
- **Audit:** The Audit tab displays the history of actions taken on the CTR along with the comments and attachments provided for each action. Any errors found in the initial validation and those returned by FinCEN in the acknowledgment file are also be displayed in the Audit tab. Specifically, the Validation Results section will show a dynamic display of validation issues found during both the initial creation and validation of the report by the system as well as when a user attempts to Request for Approval or attempts to Approve.

4.4.1.2.1 Viewing the Audit Tab

The Audit tab is dynamically updated as you work with the CTR. This tab displays the following information:

- **Actions Taken:** The Actions Taken section displays details of all actions that have been taken on this CTR. The following details display:
 - Date and Time
 - Action
 - By

-
- Status
 - Comments
 - Attachment Name
 - Attachment
 - **Validation Results:** The purpose of the Validation Results section is to run validation checks against FinCEN error codes. Clicking **Validation Results** displays two sections: Validation Errors and Validation Warnings.
 - Validation Errors displays those errors considered by FinCEN to be primary errors that would require refiling or which would result in the rejection of the eFile, which includes the CTR, on submission.
 - Validation Warnings displays those errors considered by FinCEN to be secondary errors that may not require refiling.

This section refreshes every time approval is requested for the CTR. If there are no errors, this section is blank.

The CTR ID of the record which is causing the error or warning displays in the Involved Record column of the Validation Results grid.

When a transaction is associated with multiple Open CTRs, a Validation Error displays. The error message displays a list of CTRs which share the current CTR's transactions refreshes to reflect resolution of the overlapping transactions between the CTRs. For example, if the current CTR shares a transaction with another CTR the user can either remove the shared transaction from one of the CTRs or close one of the CTRs. Once the overlap is resolved, the list of CTRs refreshes to show no CTR IDs. The user is then able to validate the CTR and move it forward in the workflow.

- **FinCEN Ack Errors:** The FinCEN Ack Errors section will be populated once a file has been processed by FinCEN and the associated acknowledgment file uploaded and parsed for the BSA ID as well as any error messages. Clicking **FinCEN Ack Errors** displays two sections:
 - Primary Errors
 - Secondary Errors.

As with the Validation Results these sections correspond to those Primary Errors from FinCEN requiring refiling as well as the Secondary Errors which may not.

4.4.2 Performing Actions on CTRs

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

NOTE

If no action is available for the selected CTRs then the following message displays. *There are no actions available for the selected CTRs.*

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

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

Click the CTR ID from the Search and List page to view its details, and click **Action** from CTR Details page.

Figure 7: Actions Window

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

Table 5: Action Window Field Descriptions

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

Table 5: Action Window Field Descriptions

Assign To	<p>This option is a single selectable field displaying the users to whom the CTR can be assigned to. This field is enabled only when a user selects any of the following actions in the Select Action field:</p> <ul style="list-style-type: none">● Reassign● Submit for review● Reopen● Rework● Correct/amend CTR <p>The drop-down list displays only those users who have at least one domain and at least one jurisdiction common with the CTR and have access to the resulting status of the CTR based on their user role.</p> <p>If the user selects an assignee while taking an action other than Reassign, two actions are recorded. On Audit tab, reassigned will be recorded as the second action.</p>
Due Date	<p>Enter the due date for the selected CTRs.</p> <p>This field is enabled only if a user selects Reopen option in Select Action field.</p> <p>On saving the action, the user selected value in this field will be updated as the due date of the CTR.</p>
Comments	<p>Enter comments in the field. This field is a mandatory if a user selects any of the following actions:</p> <ul style="list-style-type: none">● Reopen● Closed-Rejected● Closed-Exempted● Rework● Correct/Amend CTR
Standard Comments	<p>Select a standard comment from the Standard Comments drop-down list. This field is not mandatory, however a comment must be added, either through the Comments field or by selecting a Standard Comment.</p>

3. Click **Save**. The requested action is performed on the selected CTRs.
4. If you click **Save and Attach**, a confirmation window appears. Click **OK**. An Actions window 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.

4.4.3 Backfiling a CTR

A CTR 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 CTR, follow these steps:

1. Select a CTR 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.

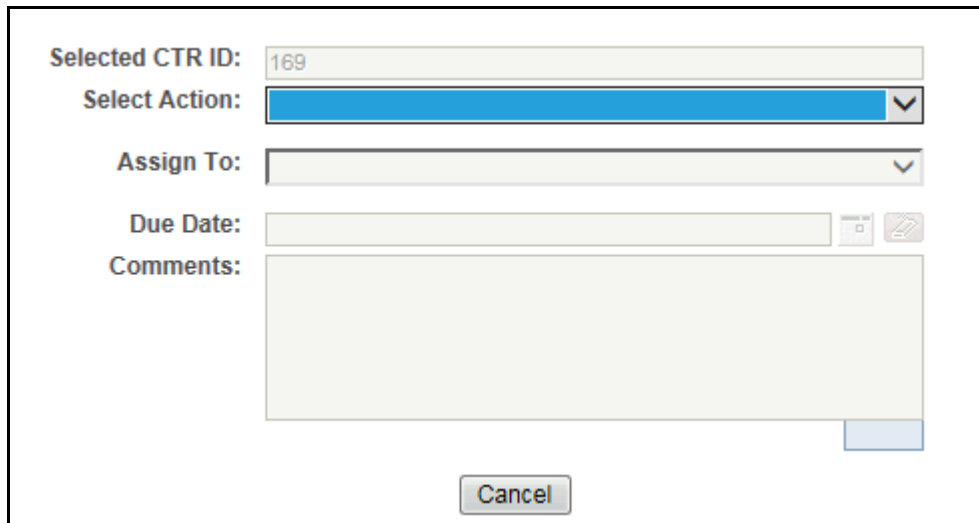


Figure 8: Actions pop-up.

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 CTRs. After saving, the value in this field will be updated as the due date of the CTR.
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 CTR is reopened for amendment. After amendment, you must either refile or backfile the CTR as required.

4.4.4 Batch Backfiling of Multiple CTRs

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

To backfile multiple CTRs, follow these steps:

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

Figure 9: 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 CTRs. After saving, the value in this field will be updated as the due date of the CTR.
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.
 - a. Click **OK**. An Actions window displays.
 - b. Enter a **Logical Name** and attach the required file using **Browse**.
 - c. Click **Attach File**. The file is attached.
 - d. The Actions window refreshes and returns to default state.
 - e. Click **Cancel** to return to the CTR Details page.

4.4.5 Sending an Email

To send an E-mail, follow these steps:

1. Select one or more CTRs 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.

The screenshot shows an 'E-Mail Window' form. At the top, there is a 'Selected IDs' field containing the number '7'. Below it is a 'To:' field. The 'Subject:' field also contains '7'. A large 'Message:' text area is in the center. Below the message area is a 'Comments:' field. At the bottom of the form are two buttons: 'Send' and 'Cancel'.

Figure 10: E-Mail Window

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

Table 6: E-Mail Window Field Descriptions

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

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

4.4.6 Batch Approving CTRs

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

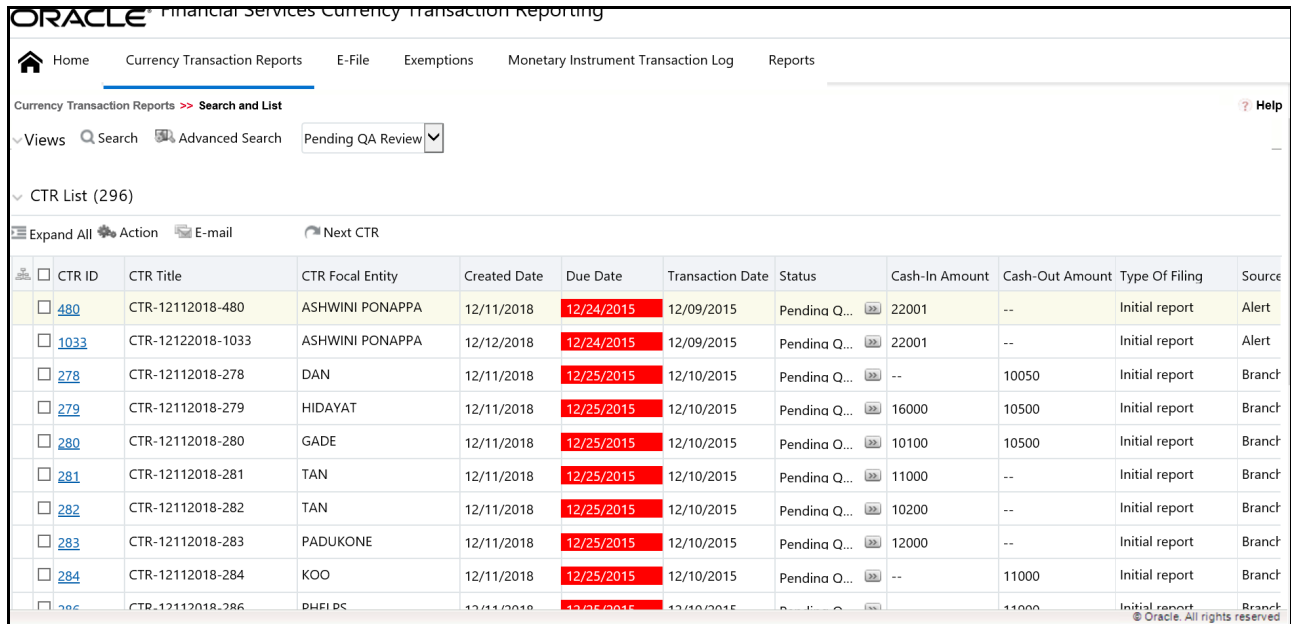
To batch approve CTRs, follow these steps:

1. Login to CTR as a QA Analyst user.
2. In the CTR Home page, click **CTR List** from Priority CTRs tab.

Or

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

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



The screenshot shows the Oracle Financial Services Currency Transaction Reporting interface. The top navigation bar includes Home, Currency Transaction Reports, E-File, Exemptions, Monetary Instrument Transaction Log, and Reports. The main content area is titled "Currency Transaction Reports >> Search and List" and features a "Pending QA Review" dropdown menu. Below this, a table lists 296 CTRs. The table columns are: CTR ID, CTR Title, CTR Focal Entity, Created Date, Due Date, Transaction Date, Status, Cash-In Amount, Cash-Out Amount, Type Of Filing, and Source. The "Due Date" column for all listed CTRs is highlighted in red, indicating they are due. The "Status" column for all listed CTRs is "Pending Q...".

CTR ID	CTR Title	CTR Focal Entity	Created Date	Due Date	Transaction Date	Status	Cash-In Amount	Cash-Out Amount	Type Of Filing	Source
480	CTR-12112018-480	ASHWINI PONAPPA	12/11/2018	12/24/2015	12/09/2015	Pending Q...	22001	--	Initial report	Alert
1033	CTR-12122018-1033	ASHWINI PONAPPA	12/12/2018	12/24/2015	12/09/2015	Pending Q...	22001	--	Initial report	Alert
278	CTR-12112018-278	DAN	12/11/2018	12/25/2015	12/10/2015	Pending Q...	--	10050	Initial report	Branch
279	CTR-12112018-279	HIDAYAT	12/11/2018	12/25/2015	12/10/2015	Pending Q...	16000	10500	Initial report	Branch
280	CTR-12112018-280	GADE	12/11/2018	12/25/2015	12/10/2015	Pending Q...	10100	10500	Initial report	Branch
281	CTR-12112018-281	TAN	12/11/2018	12/25/2015	12/10/2015	Pending Q...	11000	--	Initial report	Branch
282	CTR-12112018-282	TAN	12/11/2018	12/25/2015	12/10/2015	Pending Q...	10200	--	Initial report	Branch
283	CTR-12112018-283	PADUKONE	12/11/2018	12/25/2015	12/10/2015	Pending Q...	12000	--	Initial report	Branch
284	CTR-12112018-284	KOO	12/11/2018	12/25/2015	12/10/2015	Pending Q...	--	11000	Initial report	Branch
286	CTR-12112018-286	BHELPS	12/11/2018	12/25/2015	12/10/2015	Pending Q...	--	11000	Initial report	Branch

Figure 11: Batch Approve CTRs

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

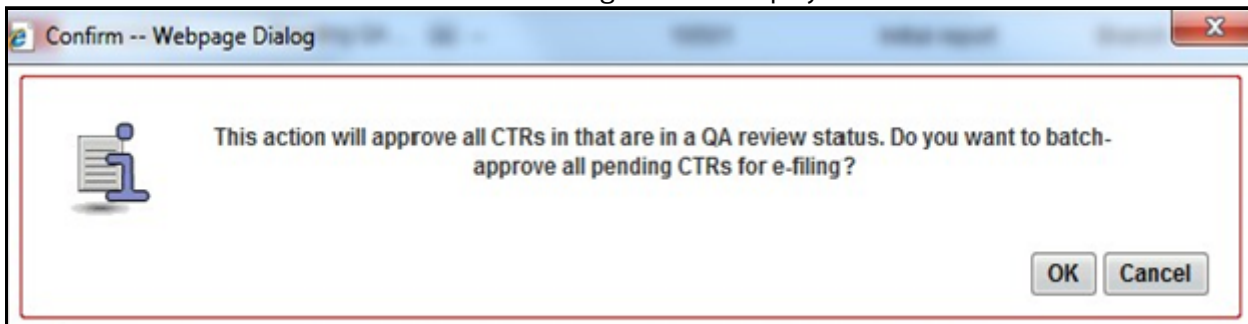


Figure 12: Batch Approval Confirm Window

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.

4.4.7 Adding a Transaction

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

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

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

Figure 13: Add Transaction Window

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

Table 7: Add Transaction Field Description

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

4. Click **Search** to search for transactions. The search results are displayed.

5. Select the required transactions from the displayed search list, and click **Add selected**.
A confirmation window displays.
6. Click **OK** to confirm. The Transaction list is updated with the added transaction(s).

4.4.8 Editing a Transaction

To edit a transaction that is a part of the CTR, follow these steps:

1. In the CTR Details page, click **Transaction** tab to display the transactions of a CTR.
2. Select the required transaction that you want to edit and click **Edit**.
The Edit Transaction window displays.

Figure 14: Edit Transaction Window

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.

4.4.9 Removing a Transaction

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

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

3. Click **Remove** to remove the transaction. A confirmation window displays.

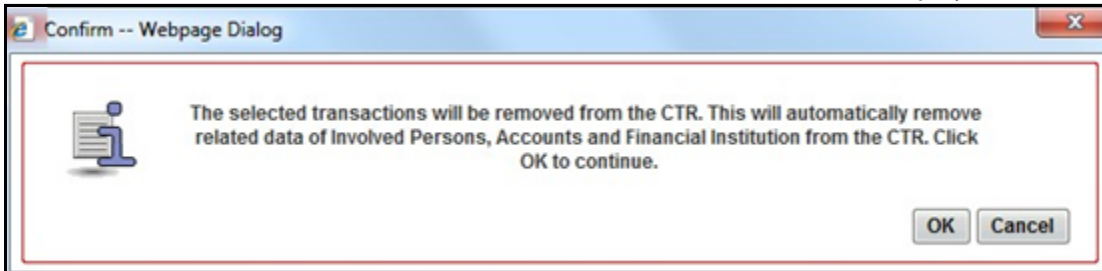


Figure 15: Remove Transaction Confirm Window

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

4.4.10 Indicating Shared Branching

The Shared Branching field allows you to indicate whether transactions associated with this CTR were conducted on behalf of or at a location of another financial institution that is a member of a co-operative network.

To indicate that a transaction has shared branching, select the Includes Shared Branching Transaction check box.

4.4.11 Transaction Change History

The Change History Left Hand Side (LHS) menu provides the transaction history information that has been carried out in all Transactions sections. The Record Number is used to determine the number of differences 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 with the following fields:
 - Last Modified Date
 - Last Modified By
 - Record Number
 - Action Description
 - Comments

The difference is displayed in red text.

4.4.12 Managing Persons Involved

The following sections describe how to manage the Persons Involved details.

4.4.12.1 Adding Persons Involved Details

To associate persons involved to one or more transactions associated with a CTR, follow these steps:

1. In the CTR Details page, click the **Persons Involved** tab.
2. Click **Add**. The Add Person Involved window displays. You can either search for an existing person, or add a person manually.

Figure 16: Search for Existing Person window

3. Search for the person you wish to add and click **Add to CTR**. The Person is added to the record.
Or

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

Figure 17: Add Person Manually window

When more than one address exists for a person on a CTR, additional person records are created in the efile for that person containing the distinct addresses at the time of efile generation.

4.4.12.2 Additional Addresses for Persons Involved

To list additional addresses for a person involved, follow these steps:

1. Click on **Display Additional Addresses** in the Address Grid for a Selected Person Involved in the Person Involved tab.

Any addresses associated to the person involved display. The Record Type column in the Additional Addresses window provides information on the source of the address. "Current" means it is result of being added manually through the CTR, "Legacy" means it is through migration activity to bring in existing addresses.

2. Select one or more addresses to add to the current CTR, click **Add to CTR**.

To remove an address from use in the current CTR, select the address from the Address grid and click **Remove**.

To add an address to a CTR, click **Add** in the Address grid. After entering address information, click **Cancel** to close the window.

4.4.12.3 Determining Persons Involved

Persons Involved are determined at the time of alert creation based on the following criteria, assuming the Primary Customer Flag is set to N and other parameters are not set to filter out any parties:

- For CU focus (where they are NOT IN Party to Party Relationship data), match customers based on:
 - Focal Customer
 - Match other Customers associated to the transacting accounts if they have an ownership role on the account (via cust_acct)
- For CU focus (where they are IN Party to Party Relationship data), match customers based on:
 - Focal Parent Customer
 - Match other customers associated with the transacting accounts if they have an ownership role on the account (via cust_acct) AND exist in the party to party relationship as related customers to the focal customer (where the relationship type matches scenario parameter for relationship type)
- For TI focus based on a customer Tax ID (where they are NOT IN Party to Party Relationship data), match customers based on:
 - Customer associated with Focal Tax ID
 - Match other customers associated with the transacting accounts if they have an ownership role on the account (via cust_acct). Tax ID being null or not null is not a factor in matching additional beneficiaries
- For TI focus based on a customer Tax ID (where they are IN Party to Party Relationship data), match customers based on:
 - Parent Customer associated with Focal Tax ID
 - Match other customers associated with the transacting accounts if they have an ownership role on the account (via cust_acct) AND exist in the party to party relationship as related customers to the focal customer (where the relationship type matches scenario parameter for relationship type). Tax ID being null or not null is not a factor in matching additional beneficiaries.

-
- For TI focus based on a Conductor ID, match customers based on:
 - Match customers associated with the transacting accounts if they have an ownership role on the account (via cust_acct). Tax ID being null or not null is not a factor in matching beneficiaries
 - For CD focused CTR alert, match customers based on:
 - Match focal conductor
 - Match customers associated with the transacting accounts if they have an ownership role on the account (via cust_acct)

If a customer is matched to the CTR (in KDD_BREAK_MTCHS), then the CTR creation process takes the customer directly from the matches. The application does not look up cust_acct relationships.

If the conductor tax ID matches a customer tax ID then the application brings only the conductor record to KDD_PERSON. Otherwise, the application will bring in conductor and customer records.

If more than one customer exists associated to tax ID in KDD_PERSON the application does not create additional records for potentially separate customer IDs. There is only one record created.

4.4.12.4 Editing Persons Involved Details

To edit Persons Involved information in a CTR, follow these steps:

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

Search Existing Persons
 Add Person Manually

Last/Entity Name:* <input type="text"/>	First Name: <input type="text"/>
Middle Name: <input type="text"/>	Name Suffix: <input type="text"/>
Alternate Name: <input type="text"/>	Gender: <input type="text" value="v"/>
Is Entity?:* <input type="text" value="v"/>	DOB: <input type="text"/> <input type="text" value="📅"/> <input type="text" value="✕"/>
Occupation: <input type="text"/>	NAICS Code: <input type="text" value="v"/>
TIN: <input type="text"/>	TIN Type:* <input type="text" value="v"/>
ID Type:* <input type="text" value="v"/>	ID:* <input type="text" value="v"/>
ID Desc (Other): <input type="text"/>	ID Issuing Country: <input type="text" value="v"/>
ID Issuing State: <input type="text" value="v"/>	Phone Ext: <input type="text"/>
Email: <input type="text"/>	
Phone Number: <input type="text"/>	
Person Involved Type:* <input type="text" value="v"/>	
Transactions <input type="text" value="v"/>	

OR

Transactions

Figure 18: Edit Person Window

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

4.4.12.5 Adding Transactions to Persons Involved Records

To add one or more transactions to a Persons Involved record, follow these steps:

1. In the Edit Persons window, either select from the drop-down list or enter into the text box (multiple entries must be separated by commas) the Transaction ID or IDs you wish to associate with this account.
2. Click **Save**. The Persons Involved record is updated.

4.4.12.6 Removing Persons Involved

To remove persons from a CTR, follow these steps:

1. In the CTR Details page, click the **Persons Involved** tab to display the information of the selected Person.
2. Select the required person (s) that you want to remove from the CTR.
3. Click **Remove** to remove the Person Involved.

A confirmation window displays.

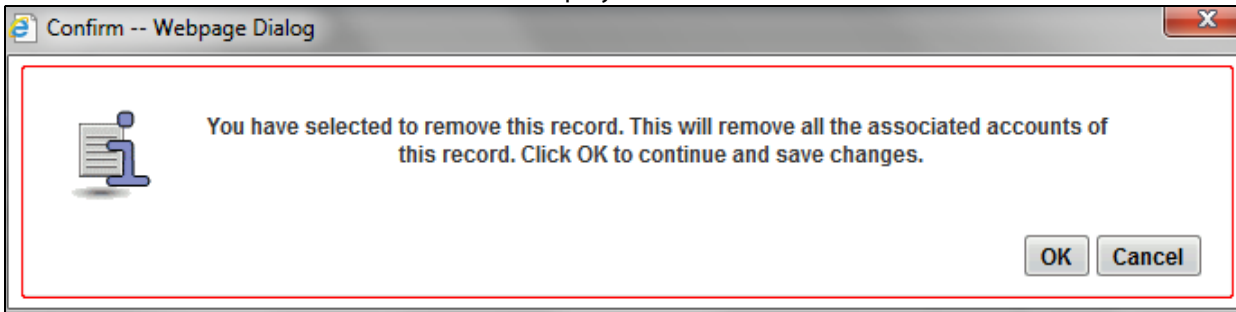


Figure 19: Confirmation window

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

4.4.12.7 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
 - 50 - Person conducting transaction on own behalf
 - 17 - Person conducting transaction for another
 - 23 - Person on whose behalf transaction is conducted
 - 58 - Common Carrier
 - 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.

4.4.12.8 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.

The screenshot shows a window titled 'Add Comment'. It contains a large, empty text input field with a vertical scrollbar on the right side. The label 'Comments:' is positioned to the left of the text field. Below the text field, there are two buttons: 'Save' and 'Cancel', both with a light gray background and a thin border.

Figure 20: Add Comments Window

5. Enter comments in the comments field and click **Save**.
A confirmation window displays.
6. Click **OK** to confirm the addition of comments to the selected Persons Involved record.

4.4.12.9 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.

The screenshot shows a window titled 'Add Attachments'. It contains several elements: a text input field labeled 'Logical File Name'; a button labeled 'Choose a file*' with a 'Browse...' sub-button; a button labeled 'Attach File' with a small icon; a large text input field labeled 'Comments:' with a vertical scrollbar; and a 'Close' button at the bottom center.

Figure 21: 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.

4.4.12.10 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.

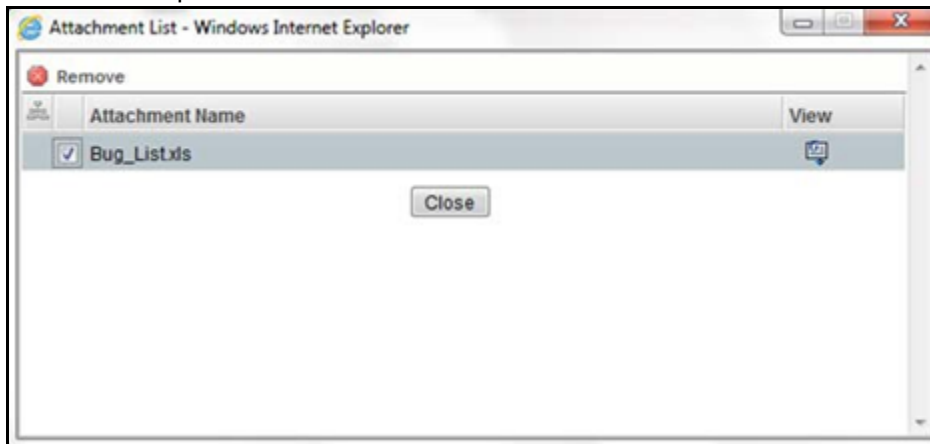


Figure 22: Remove Attachment List Window

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.

4.4.12.11 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**. The file downloads.
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.

4.4.13 Editing Transaction Financial Institution

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

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

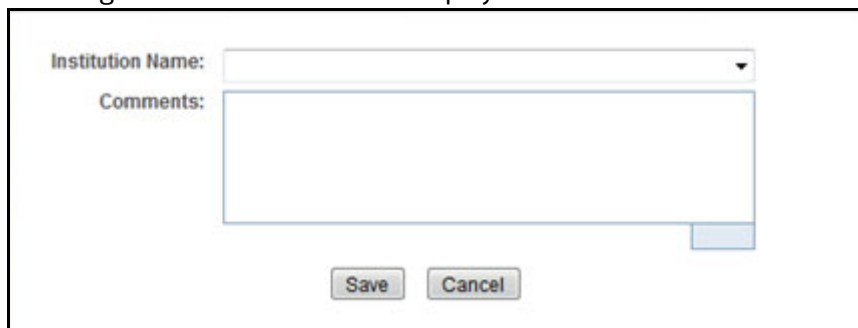
The image shows a screenshot of a web application window titled "Change Transaction FI". The window contains two main input fields: "Institution Name" which is a dropdown menu, and "Comments" which is a text area. Below these fields are two buttons: "Save" and "Cancel". The window has a simple, clean design with a white background and a thin border.

Figure 23: 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.

4.4.14 Changing Parent Financial Institution

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

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

NOTE By default, the Transaction FI submenu option is selected.

2. Select **Parent FI** LHS submenu option to display the parent financial institution information.
3. Click **Change Parent FI**. The Change Parent FI window displays.

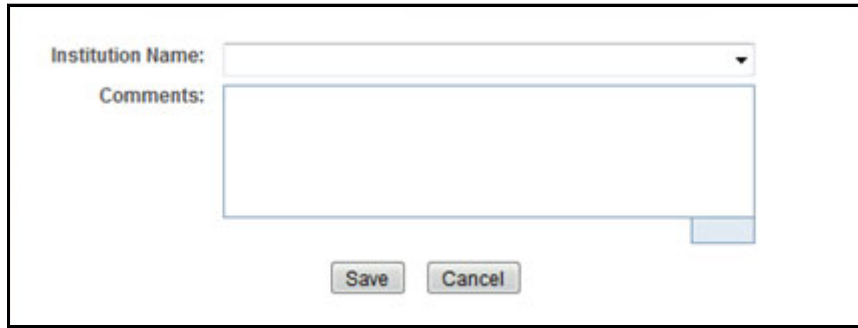


Figure 24: Change Parent FI Window

4. Select the required Financial Institution name from the drop-down list and enter comments in the Comments field. The selection of Parent Financial Institutions will auto-populate the associated contact for information fields based on the establishment of the contact information for the reporting institutions.
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.

4.4.15 Adding Comments to a CTR

To add comments to a CTR, follow these steps:

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

4.4.16 Adding Attachments to a CTR

To add attachments to a CTR, follow these steps:

1. In the CTR Details page, click **Evidence** tab to view the list of comments and attachments associated with a CTR.
2. Select **Add** from Attachments list to add an attachment. An Add Attachment window 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 the Choose File to Upload window. You can also enter comments for the attachment(s) in the Comments field.

4. Click **Attach File**. An Information window displays.

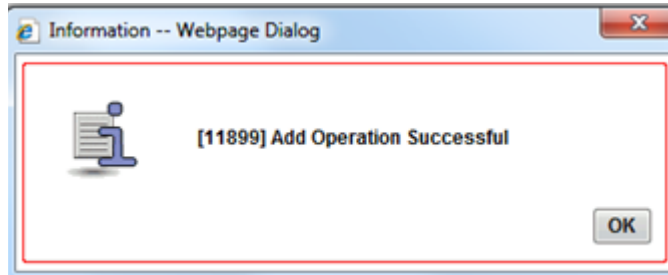


Figure 25: Add Attachments to CTR Information Window

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

4.4.17 Removing Attachments from a CTR

To remove attachments from a CTR, follow these steps:

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

4.4.18 Viewing Attachments of a CTR

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

1. In the CTR Details page, click **Evidence** tab to view the list of comments and attachments associated with a CTR.
2. Click 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**. The file downloads.
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.

5 Managing E-File

This chapter describes the workflow of a E-File, managing the Search and List page, and managing the 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](#)
- [Sending Batch E-files Using SDTM](#)

5.1 E-File Workflow

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

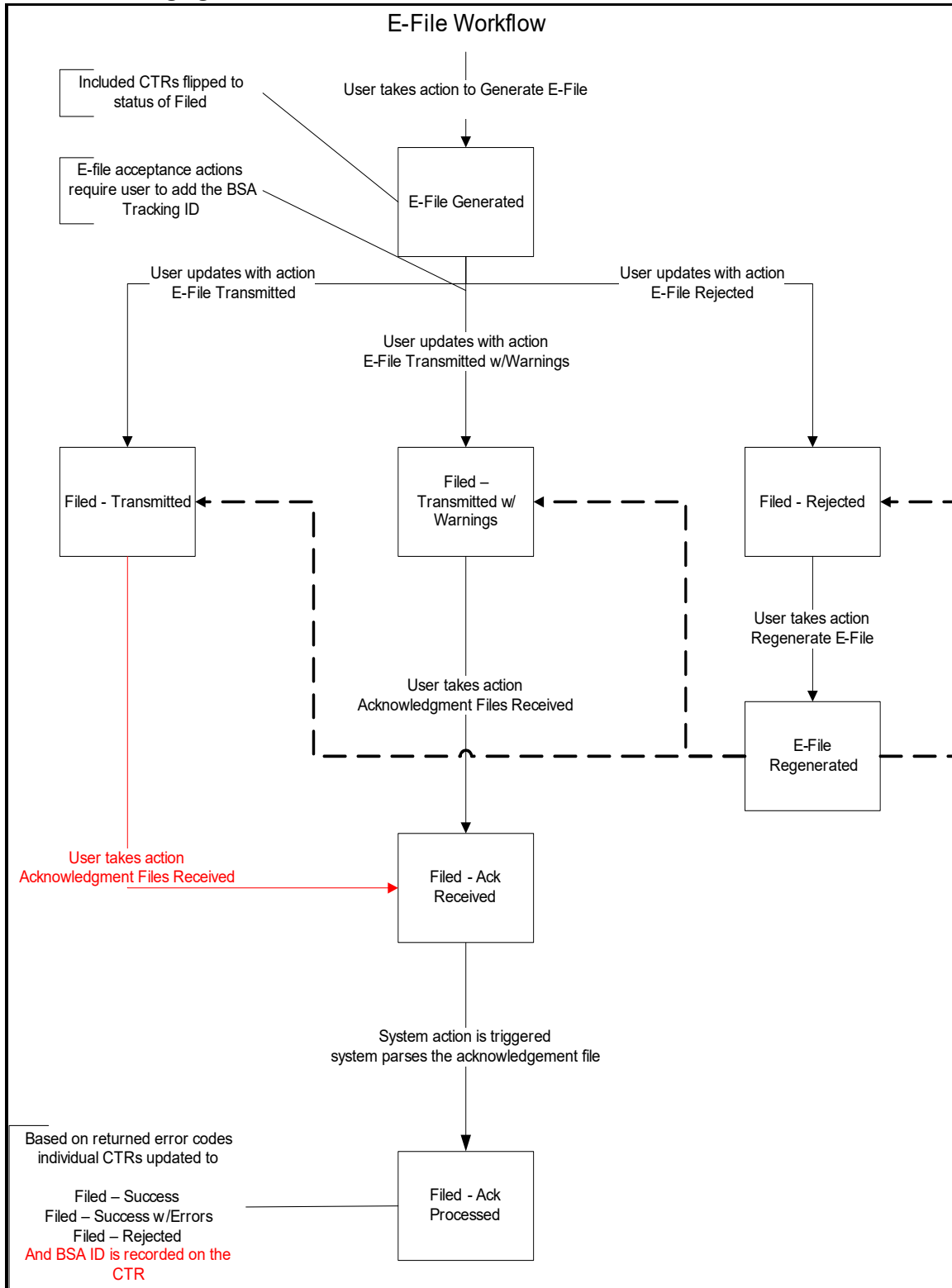


Figure 1: E-File Workflow

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

Table 1: Action-Status Mapping Table

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

5.2 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](#)

5.2.1 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.

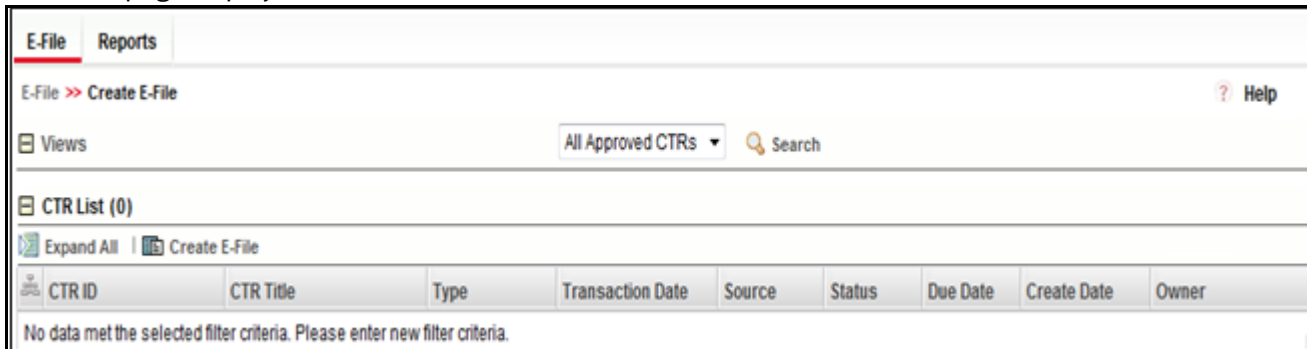


Figure 2: Search and List

5.2.2 Components of Search and List

The Search and List page has the following components:

- [Actions](#)
- [Column Headings](#)
- [Pagination](#)

5.2.2.1 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.

5.2.2.2 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:

-
- E-File ID
 - E-File Name
 - Status
 - Created Date
 - Filed Date
 - Acknowledgment Date
 - Created By
 - Filed By
 - Acknowledged By
 - Currency Transaction Report Count
 - BSA E-File Track ID
 - E-File

5.2.2.3 **Pagination**

By default, the Search and List page displays 20 E-files. To view additional E-files returned by search, use the pagination controls to move to additional pages.

5.2.3 **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](#)

5.2.3.1 **Searching Using Search Components**

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

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

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

Figure 3: Search and List Search Components

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

Table 2: E-File Search Field Descriptions

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

Table 2: E-File Search Field Descriptions

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

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

5.2.3.2 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 3: E-File Pre-defined Views

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

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.

5.3 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 Acknowledgment Received](#)

- [Changing the E-File Status to Regenerate E-File](#)

5.3.1 Viewing E-File Details Page

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

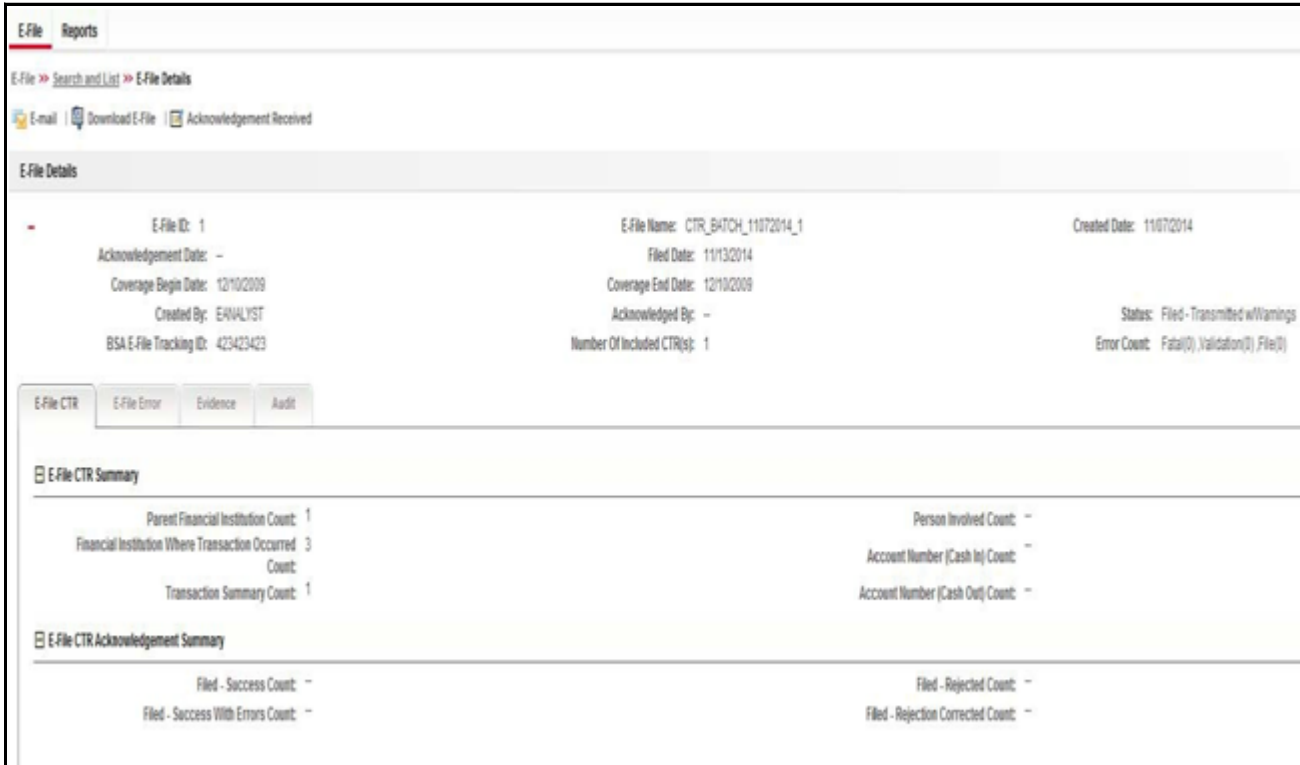


Figure 4: E-File Details Page

The E-File Details page has the following components:

- [E-File Details](#)
- [E-File Details Tabs](#)

5.3.1.1 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
- Acknowledgment 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

5.3.1.2 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](#)

5.3.1.2.1 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](#)

5.3.1.2.1.1 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
- Financial Institution Where Transaction(s) Take Place
- Transaction Summary Count
- Person Involved in Transaction(s) Count
- Account Number (Cash in) Count
- Account Number (Cash out) Count

5.3.1.2.1.2 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

5.3.1.2.2 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)

5.3.1.2.2.1 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.

5.3.1.2.2.2 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 acknowledgment file.

NOTE For files in Acknowledgment Processed status, the counts are based on the parsing of the ASCII Ack files.

5.3.1.2.3 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.

5.3.1.2.4 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.

5.3.2 Sending an E-mail

To send an E-mail, follow these steps:

1. In the E-File Details page, click **Email** to send an e-mail. The E-Mail window displays.

Figure 5: E-File E-mail Window

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

Table 4: E-File E-Mail Window Field Descriptions

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

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

5.3.3 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.
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.

NOTE If an E-file exceeds the maximum size threshold, the E-file is split into multiple E-files and generates an error. The FinCEN threshold is 60MB, although your instance may have a lower threshold to avoid errors.

5.3.4 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.

NOTE This does not apply if your implementation is using SDTM batch e-file submission.

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

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

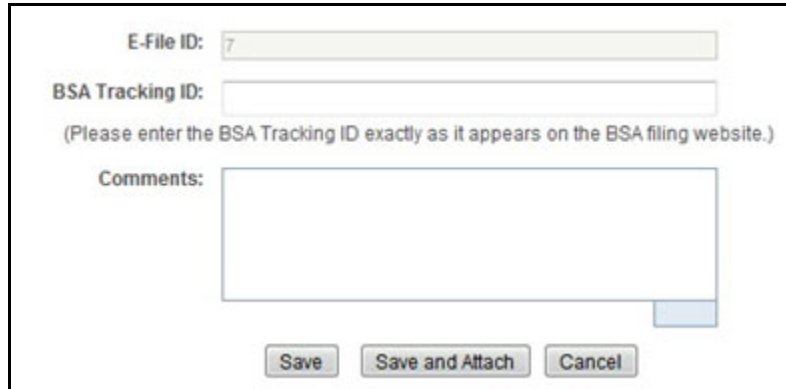


Figure 6: E-File Transmitted Actions Window

2. Click **Save**. A confirmation window appears.
3. Click **OK**. The status of the E-File is changed to E-File Transmitted.
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
6. Click **Cancel** to return to the E-File Details page.

5.3.5 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.

NOTE This does not apply if your implementation is using SDTM batch e-file submission.

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

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

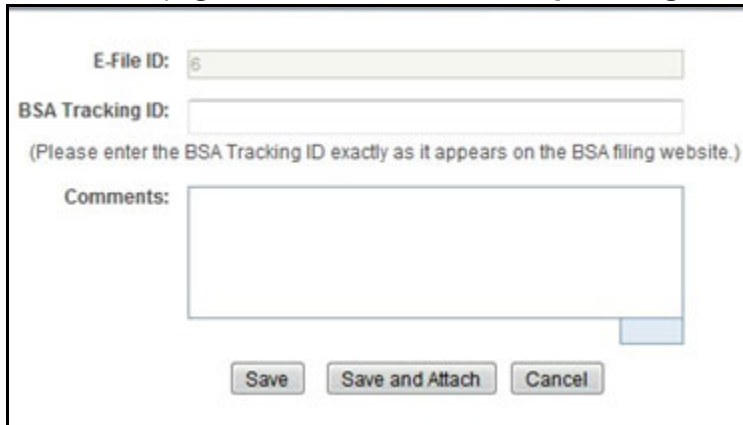


Figure 7: E-File Transmitted w/Warnings Actions Window

2. Enter the BSA Tracking ID and comments (if any) in the Actions window.
3. Click **Save**. A confirmation window appears. Click **OK**. The status of the E-File is changed to E-File Transmitted w/Warnings.
4. If you click **Save and Attach**, a confirmation window appears.
5. Click **OK**. An Actions window displays.
6. 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.
7. Click **Cancel** to return to the E-File Details page.

5.3.6 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.

NOTE This does not apply if your implementation is using SDTM batch e-file submission.

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.

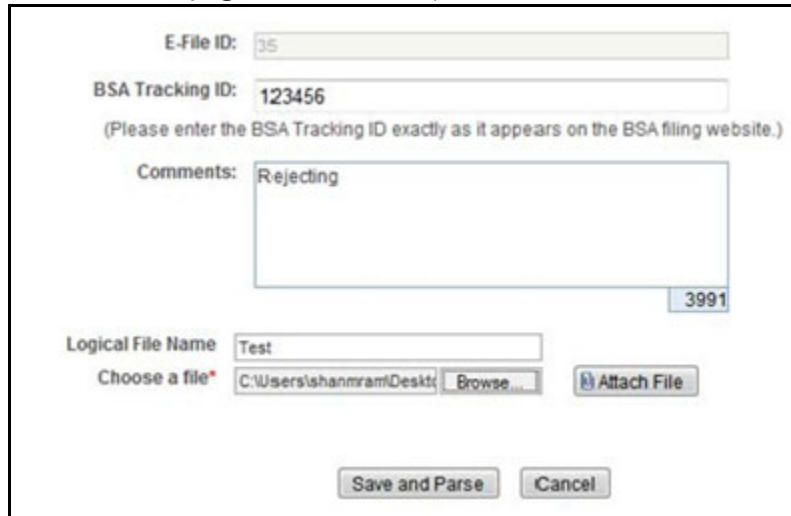


Figure 8: E-File Rejected Actions Window

2. Enter the BSA Tracking ID and comments (if any).
3. Enter a Logical Name and attach the .xml file downloaded from 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.

5.3.7 Changing the E-File Status to Acknowledgment Received

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

NOTE This does not apply if your implementation is using SDTM batch e-file submission.

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

1. In the E-File Details page, click Acknowledgment Received. An Actions window displays.

Figure 9: E-File Acknowledgment Received Actions Window

2. Enter a Logical Name and attach the .asc file received from FinCEN in **Choose a File** field.
3. Click **Attach File**. The file is attached.
The Actions window gets refreshed and returns to default state.
4. Click **Save and Parse**.
A confirmation window appears.
5. Click **OK**. The status of E-File is changed to *Filed - Ack Processed*. The included CTR reports will get a status change to reflect if the parsed file returns any warnings or errors to that file.

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

When an E-File is in Filed – Rejected status, you can change the status to E-File Regenerated once you have corrected the reason for the failed submission.

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

1. In the E-File Details page, click **Regenerate E-File**. A Generate E-File window displays..

Figure 10: 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.

5.4 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.



Figure 11: Create E-File Page

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

(Or)

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

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

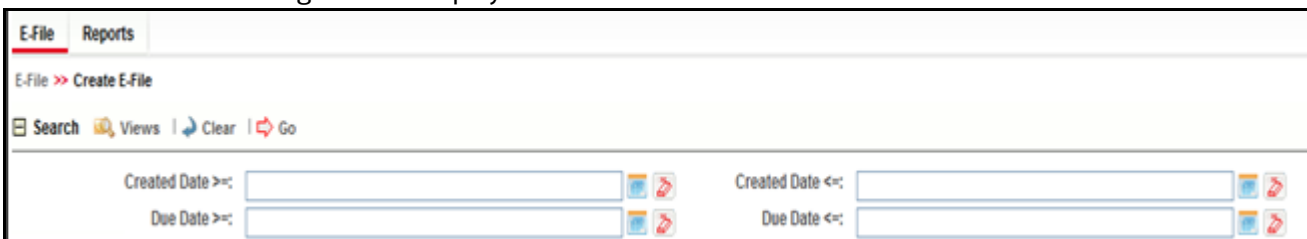


Figure 12: Create E-File Search Fields

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

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

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

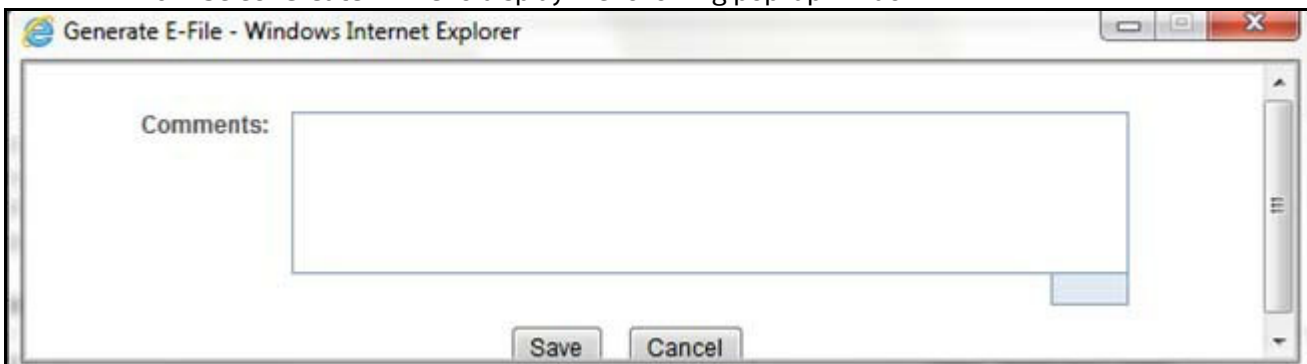


Figure 13: Generate E-File Window

7. Enter any comments in the Comments field and click **Save**.
All the Currency Transaction Reports displayed in the Search and List results have their status changed to Filed.

5.4.0.1 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.*

5.5 Sending Batch E-files Using SDTM

CTR allows batch e-filing using FinCEN's Secure Data Transfer Mode (SDTM), a secure mechanism for transferring batch submissions from an organization's internal server to the BSA E-Filing server. If your implementation is using SDTM to file automatically, you are still able to generate an e-file using the Generate E-file window, but you will not be able to manually upload or track the new e-file.

When the e-file is successfully generated, the status will be *E-File available for SDTM*.

- If the E-Filing is successful, the status will be updated to either *Accepted* or *Accepted with Warnings*.
- If the E-Filing is not successful, the status is set to *Rejected* and the included CTRs are set to *Filed - Efile Rejected*.

6 Managing Exemptions

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](#)

6.1 Exemption Workflow

The following diagram illustrates the workflow of the Exemption:

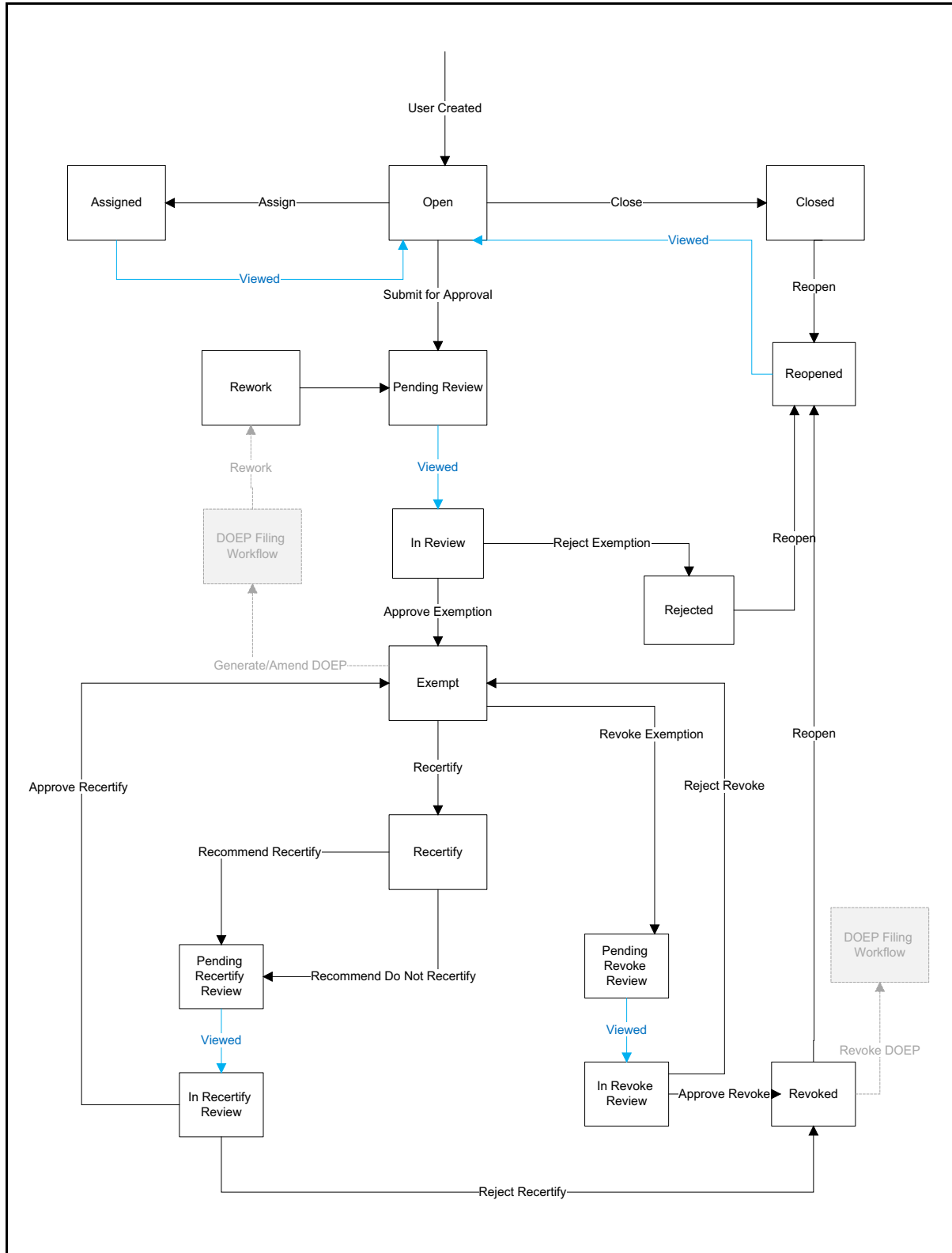


Figure 1: Exemption Workflow

6.1.1 Life Cycle of an Exemption

The following sections describe the life cycle of an Exemption.

6.1.1.1 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.

6.1.1.2 Closed

A user can close an Exemption if its status is changed to Open or Re-Open from Revoked, Rejected, or Closed status.

6.1.1.3 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

6.1.1.4 In-review

The status of an Exemption changes to In-review when a Supervisor views an Exemption in Pending Review status.

6.1.1.5 Rejected

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

6.1.1.6 Reopen

The status of an Exemption can be changed to Reopen when its in Rejected, Revoked, or Closed status.

6.1.1.7 Rework

The status of an exemption can be changed to Rework if it is determined that the exemption is causing a failure in the filing of the DOEP e-file. If the DOEP Status reflects an e-file failure ("DOEP Filed - E-file Rejected", "Amended DOEP Filed - E-File Rejected", "Revoked DOEP Filed - E-File Rejected") and the Exemption Status is "Exempt" then the user will have the option to select the Rework action. When the exemption is pushed to Rework status the user can then regenerate the DOEP e-file without the erroneous exemption. Exemptions placed in a status of Rework will have the DOEP status set to Null. At this point the exemption can be put back through the normal flow to be corrected and approved and sent back to the DOEP e-filing flow.

6.1.1.8 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.

6.1.1.9 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. Clients can specify which class of exemption are not subject to FinCEN recertification requirements and are not expected to follow a yearly recertification process (such as, Phase I - Bank, Phase I - Federal, State or Local Gov Agency/Dept and Phase I - Entity Exercising Govt'l Authority w/in US). When specified, exemptions which are categorized as such will not receive an Initiate Recertification date. As a result such exemptions will never automatically enter the recertification workflow.

- 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.

6.1.1.10 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

6.1.1.11 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 Govt'l Authority w/in US
- **Generate DOEP:** This action button is activated once the Exemption is approved and the DOEP is NULL and the Exemption class is any of the following:
 - Phase I - NYSE/ASE Listed; NASDAQ Mkt Sec Listed
 - Phase I - Subsidiary of NYSE/ASE Listed; NASDAQ Mkt Sec Listed
 - Phase II - Payroll Customer
 - Phase II – Eligible Non-Listed Business

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

- **Amend DOEP:** This action button is activated once the Exemption is Exempt and the DOEP status is any of the following:
 - DOEP Filed - Success
 - Amended DOEP Filed - Success
 - DOEP Filed - Success w/Errors
 - Amended DOEP Filed - Success w/Errors
 - Revoked DOEP Filed - Success w/Errors
 - DOEP Filed - Rejected
 - Amended DOEP Filed - Rejected
 - Revoked DOEP Filed - Rejected

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

- **Revoke DOEP:** This action button is activated once the Exemption is Revoked and the DOEP status is any of the following:
 - DOEP Filed - Success
 - Amended DOEP Filed - Success
 - DOEP Filed - Success w/Errors
 - Amended DOEP Filed - Success w/Errors
 - DOEP Filed – Rejected
 - Amended DOEP Filed – Rejected

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

6.1.1.12 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.

6.1.1.13 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.

6.1.1.14 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.

6.1.1.15 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.

6.1.1.16 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.

6.1.2 XSD Validation

All information provided in the exemption is validated against the DOEP XSD files. If any error is present in the exemption, the error will be listed in the XSD Validation menu in the Audit tab

6.1.3 Purged Exemptions

Administrators can purge old exemptions and their respective e-files based on the lookback period provided in the application. When the Purge batch is executed, all exemptions belonging to the period before the provided look back period will be purged and no longer listed in the application. They will be then stored in the purged tables in the database.

E-files of the respective purged exemptions will be purged only if all the exemptions for which the e-file was generated are purged. If even a single exemption in the e-file does not match the lookback period criteria and is present in the application then the e-file will not be purged.

6.2 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](#)

6.2.1 Accessing Search and List

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

To access Search and List, follow these steps:

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

Or

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

The Search and List page is displayed.

Exempt ID	Entity Name	Entity ID	TIN	Exemption Date	Recertification Start Date	Last Recertified Date	Expire Date	Exemption Status	Owner
46	AC SHIVA	ACBSACTRTI...	Tax ID	05/19/2015	04/03/2016	--	05/18/2016	Exempt	CTRSUPERVISOR

Figure 2: Search and List

6.2.2 Components of Search and List Page

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

- [Check Boxes](#)
- [Actions](#)
- [Column Headings](#)

6.2.2.1 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.

6.2.2.2 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.

6.2.2.3 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

6.2.3 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.

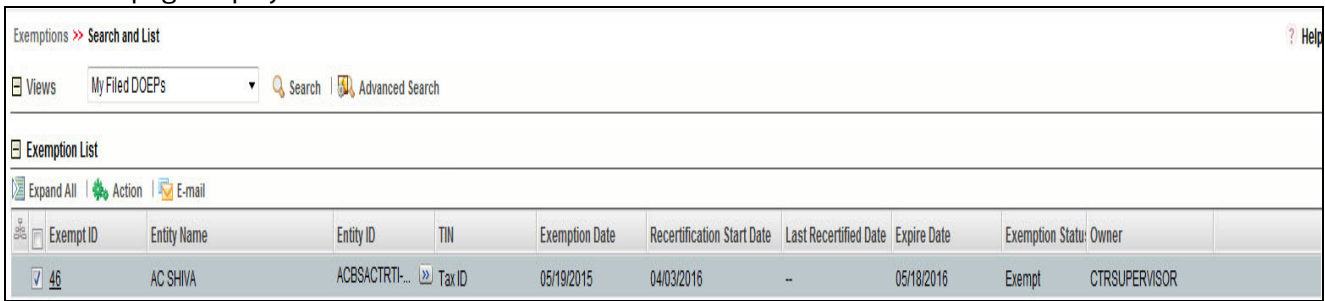


Figure 3: Search and List

This section details the following topics:

- [Searching Exemptions Using Search/Advanced Components](#)
- [Searching Exemptions Using Pre-defined Views](#)

6.2.3.1 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.

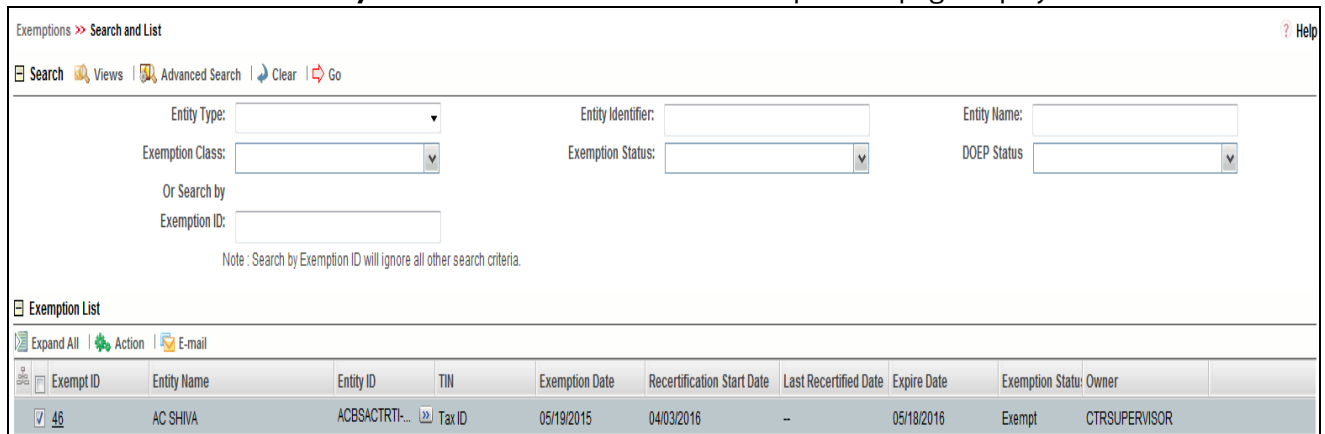


Figure 4: Search and List Search Components

Figure 5: Search and List Advanced Search Components

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

6.2.3.2 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 1: Pre-Defined Exemption Views Table

Views	Exemption Analyst	Supervisor
-------	-------------------	------------

Table 1: Pre-Defined Exemption Views Table

My Open Exemptions	Displays Exemption which is in open status and where the current user is the owner. This view is selected as the default view for this user.	Displays Exemptions which are in open status and where the current user is the owner
All Open Exemptions	Displays all open Exemption to which user has access to.	Displays all open Exemptions to which user have access to.
Recertify Exemptions	Displays all Exemptions which are Recertify Exemption status which are owned by current user.	Displays all Exemptions which are in Recertify status
Recent Rejected Exemptions	All Exemptions which are Rejected in last 15 days which are owned by current user and currently in Rejected status.	Displays all Exemptions which are rejected in last 15 days and in Rejected status.
Recent Revoked Exemptions	Displays Exemptions which are Revoked in last 15 days owned by the current user which are currently in status of Revoked.	Displays Exemptions which are Revoked in last 15 days and in status of Revoked.
Pending Review	Displays all Exemptions which are owned by current user and whose status is in Pending Review	Displays all Exemptions which are in Pending Review status. This view is selected as the default view for this user.
Pending Revoke Review	Displays all Exemptions which are owned by current user and whose status is in Pending Revoke Review	Displays all Exemptions which are in Pending Recertify Revoke Review status.
Pending Recertify Review	Displays all Exemptions which are owned by current user and whose status is in Pending Recertify Review	Displays all Exemptions which are in Pending Recertify Review status.
In review	Displays all Exemptions which are owned by current user and whose status is in In Recertify Review	Displays all Exemptions which are in In Review status
In Revoke Review	Displays all Exemptions which are owned by current user and whose status is in In Revoke Review	All Exemptions which are in In Revoke Review status
In Recertify Review	Displays all Exemptions which are owned by current user and whose status is in In Recertify Review	Displays all Exemptions which are in In Recertify Review status
DOEP Not Filed Exemptions	All Exemptions which are owned by current user and where the DOEP Status is 'DOEP Not Required'	All Exemptions which are owned by current user and where the DOEP Status is DOEP Not Required

Table 1: Pre-Defined Exemption Views Table

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

6.3 Managing Exemption Details Page

This section focuses on the following topics:

- [Viewing Exemption Details Page](#)
- [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](#)

6.3.1 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.

The screenshot shows the 'Exemption Details' page. At the top, there are navigation links: 'Exemptions >> Search and List >> Exemption Details'. Below this, there are action buttons: 'Action' and 'E-mail'. The main section is titled 'Exemption Details' and contains the following information:

- Exempt ID: 189
- TIN: Tax ID 556677906
- Entity ID: 556677906
- Exemption Date: 11/07/2016
- Entity Name: TI asf
- Expire Date: 11/07/2017
- Recertification Start Date: 09/23/2017
- Exemption Status: Exempt
- Exemption Class: Phase II - Payroll Customer
- Jurisdiction: DN of AMEA
- Last Recertified Date: --
- DOEP Status: --
- DOEP Subject: TI asf
- Business Domain: EMP
- DOEP BSA ID: --
- Prior DOEP BSA ID: --
- DOEP Due Date: 12/07/2016
- Owner: CTRSUPERVISOR

Below the exemption details, there are tabs: 'Transactions', 'Related CTRs', 'Accounts', 'Customer', 'Evidence', and 'Audit'. The 'Transactions' tab is selected. It shows a 'Lookback Period' dropdown and an 'Accounts' dropdown. Below these, there is a table of transactions:

Account ID	Transaction Reference ID	Transaction Date	Transaction Amount - Base	Conductor Name	Conductor ID	Conductor ID
ACBSACTRCU-044	CTBSACTRCU-061	12/10/2009	10001	GRAF	CDBSACTRCU-044	A
ACBSACTRCU-044	CTBSACTRCU-061	12/10/2009	10001	GRAF	CDBSACTRCU-044	A
ACBSACTRCU-045	CTBSACTRCU-062	12/10/2009	7002	NOVRATILOVA	CDBSACTRCU-045	A
ACBSACTRCU-045	CTBSACTRCU-062	12/10/2009	7002	NOVRATILOVA	CDBSACTRCU-045	A
ACBSACTRCU-046	CTBSACTRCU-063	12/10/2009	3502	NOVRATILOVA	CDBSACTRCU-046	B

Figure 6: Exemption Details Page

The following are the components of Exemption Details page:

- Exemption Context
- Exemption Details Tabs

6.3.1.1 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: 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.

- Status
- Expire Date
- Initiate Recert 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.
- Last Renewal Date
- Owner
- Exempt Class
- Jurisdiction
- Business Domain

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

Table 2: Exemption Details

Field	Description
Exemption ID	The ID generated for the Exemption.
Entity Name	Entity type concatenated with Name of the exempt Entity from the Exemption table.
Entity ID	Entity ID from the Exemption table. Based on the Customer or Account Identifier on which the Exemption is created.
Owner	The current owner of the Exemption.
Jurisdiction	Jurisdiction of the exempt entity from the Exemption table. This field is populated based on the Customer or an Account.
Domain	The business domain of the exempt entity. This field is based on the domain of the customer or account on which the Exemption has been created.
TIN	The tax identifier format and Tax Identifier of the account or customer on which the Exemption is created.
Exempt Date	Date on which Exemption is granted on the focus of the Exemption.
Expire Date	Expiry date of Exemption.
Initiate Recert Date	Initiate Recertify start date is the date by which the recertification process for the entity's Exemption renewal must begin.

Table 2: Exemption Details

Last Renewal Date	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.
Exempt Classification	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: <ul style="list-style-type: none">● Phase I - Bank● Phase I - Federal, State or Local Gov Agency/Dept● Phase I - Entity Exercising Govt'l Authority w/in US● Phase I - NYSE/ASE Listed; NASDAQ Mkt Sec Listed● Phase I - Subsidiary of NYSE/ASE Listed; NASDAQ Mkt Sec Listed● Phase II - Payroll Customer● Phase II – Eligible Non-Listed Business
Status	The current status of the Exemption.

6.3.1.2 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 hyper link 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 having an owning role are mapped to the exempted TIN.

When new accounts are mapped to the exempted Customer ID in the business data as part of data ingestion, CTR displays the newly mapped accounts while viewing an Exemption. New accounts are automatically exempted for the entity if the customer (or associated customer in the case of a TIN based exemption) has an owning role on the accounts AND the entity is a Phase I entity. Accounts associated to a Phase II entity are not automatically considered to be exempt until reviewed by an analyst and marked as included in the exemption. 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:

- 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:

- Customer Detail History
- Customer Address History

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.

6.4 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.
There are no actions available for the selected Exemptions.

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.

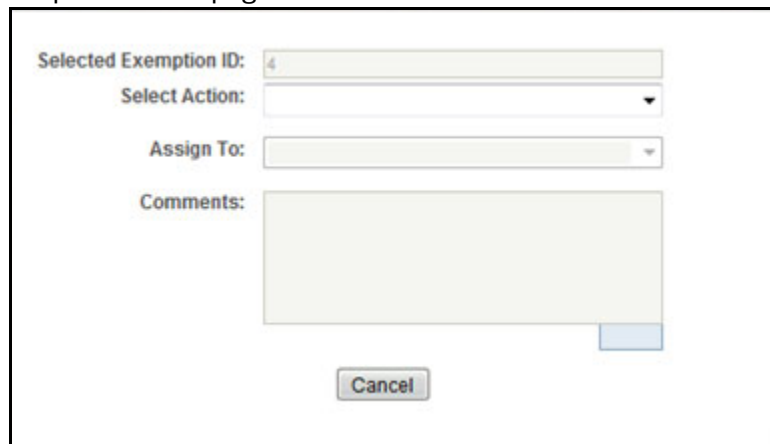


Figure 7: Actions Window

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

Table 3: Exemptions Action Window Field Description

Field	Description
Selected Exemption ID	This field displays the IDs that were selected from Search and List results. This field is not editable.

Table 3: Exemptions Action Window Field Description

Select Action	<p>The action allows you take following actions on Exemptions depending upon the user role and the current status.</p> <p>The following Actions are available for the Exemption Supervisor Role:</p> <ul style="list-style-type: none"> ● Reassign ● Submit for Approval ● Close ● Recommend Recertify ● Recommend Do Not Recertify ● Approve Recertify ● Reject Recertify ● Approve Exemption ● Reject Exemption ● Revoke Exemption ● Approve Revoke ● Reject Revoke ● Generate DOEP ● Recertify ● Reopen <p>The following Actions are available for the Exemption Analyst Role:</p> <ul style="list-style-type: none"> ● Reassign ● Submit for Approval ● Close ● Recommend Recertify ● Recommend Do Not Recertify ● Recertify ● Reopen ● Revoke Exemption
Assign To	<p>This option is a single selectable drop-down field displaying the users to whom the Exemption can be assigned to. This field is enabled only when a user selects any of the following actions in the Select action field:</p> <ul style="list-style-type: none"> ● Reassign ● Submit for approval ● Recommend Recertify ● Recommend Do Not Recertify ● Revoke Exemption ● Reopen ● Recertify
Due Date	Enter the due date for the selected Exemptions.
Comments	Enter comments in the field.

3. Click **Save**. 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.

6.4.1 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.

The screenshot shows a web form titled "E-mail Window". It contains the following fields and controls:

- Selected IDs:** A text box containing the number "7".
- To:** An empty text box.
- Subject:** A text box containing the number "7".
- Message:** A large, empty text area for composing the email body.
- Comments:** A text box for adding additional information.
- Buttons:** "Send" and "Cancel" buttons are located at the bottom center of the form.

Figure 8: E-mail Window

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

Table 4: Exemption E-mail Window Field Descriptions

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

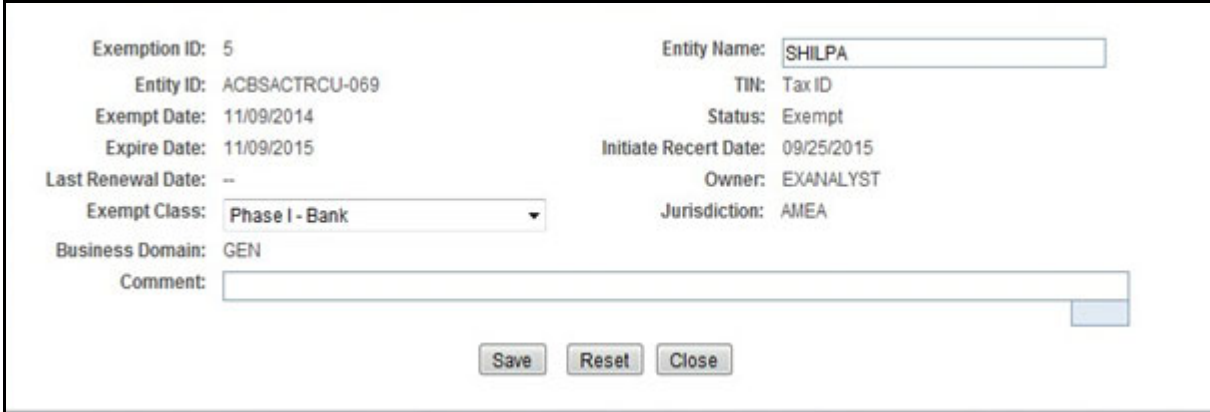
3. Click **Save**.

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

6.4.2 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.



The screenshot shows a pop-up window titled "Edit Context window" with the following fields and values:

Exemption ID:	5	Entity Name:	SHILPA
Entity ID:	ACBSACTRCU-069	TIN:	Tax ID
Exempt Date:	11/09/2014	Status:	Exempt
Expire Date:	11/09/2015	Initiate Recert Date:	09/25/2015
Last Renewal Date:	--	Owner:	EXANALYST
Exempt Class:	Phase I - Bank	Jurisdiction:	AMEA
Business Domain:	GEN		
Comment:	<input type="text"/>		

At the bottom of the window are three buttons: Save, Reset, and Close.

Figure 9: Edit Context window

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

The Exemption Details page updates.

6.4.3 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.



The screenshot shows a pop-up window titled "Exemption Add Comments Window" with the following fields and values:

Comments:	<input type="text"/>
-----------	----------------------

At the bottom of the window are two buttons: Save and Cancel.

Figure 10: Exemption Add Comments Window

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

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

6.4.4 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 11: 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.
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.

6.4.5 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.

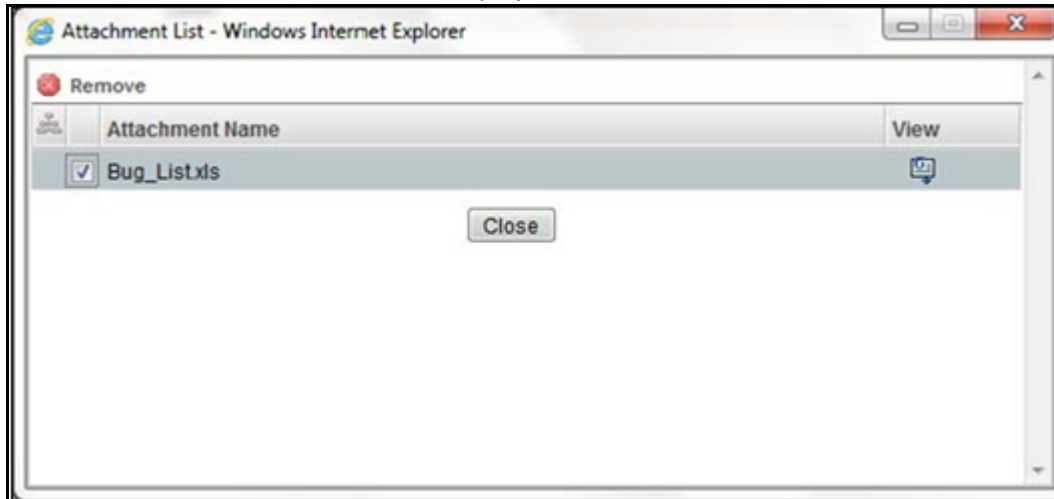


Figure 12: Exemption Attachment List

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.

6.4.6 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**. The file is downloaded.
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.

6.4.7 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.*
4. Click **OK**. The account will now be excluded from exemption.

6.4.8 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.

6.4.9 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.

The screenshot shows the 'Edit Customer Details' window with the following fields and values:

- Customer ID: 556677906
- Customer Type: Financial Institution
- Is Entity a DOEP Subject: Yes
- Last Name/Entity Name: asf
- First Name: ?
- Exemption Class: Phase II - Payroll Customer
- Bus Domain: EMP
- Filing Institution: CITI
- Date of Incorporation/Date Of Birth: [Empty]
- Account Count: 5
- Industry: [Empty]
- NAICS Code: [Empty]
- Occupation: [Empty]
- Registration Type: [Empty]
- ID Issuing Country: [Empty]
- TIN Format: SSN/TIN
- TIN: 556677906
- Status: Active
- Open Date: [Empty]

Buttons at the bottom: Save, Reset, Cancel

Figure 13: Edit Customer Details Window

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

6.4.10 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 text.

6.4.11 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 text.

6.4.12 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.

6.4.13 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**. The attachment is added to the selected customer record and the user returns to Add Attachments window.

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.

6.4.14 Removing Attachments from a Customer

To remove an attachment from 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 **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.

6.4.15 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**. The file is downloaded.
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.

6.4.16 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).

6.4.17 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.

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.

6.4.18 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.

6.4.19 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.
3. Select the required attachment and click **View**. The file is downloaded.
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.

6.5 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.

6.5.1 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 14: Create Exemption Search Page

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

Table 5: Create Exemption Field Description

Field	Description
Customer ID	Enter the Customer ID(s) in this field to search for Customer IDs in the Customer Identifier column in the Customer Table. This field is mutually exclusive of other fields in the Create Exemption search fields. This field allows comma separated search up to 50 characters in length.
Customer Name	Enter the Customer Name to search for Customer Names and associated Customer IDs with ownership role in the Customer Table. This field supports wildcard character searching.
Account ID	Enter the Account ID to search for Account IDs in the Account Identifier column in the Account Table. This field allows comma separated search.
Limit Search To	Select either Account or Customer from Limit Search To drop-down list to limit the Tax Identifier search to Accounts or Customers.

Table 5: Create Exemption Field Description

TIN Format	<p>Select any TIN format from the following options:</p> <ul style="list-style-type: none"> • EIN • Foreign • ITIN • SSN • Tax ID <p>Note: TIN Format, TIN and Limit Search To fields are dependent on each other while performing search. When searching through Tax Identifier, the TIN Format, TIN and Limit Search To fields are mandatory.</p>
TIN	<p>Enter the TIN Identifier in this field along with Limit Search To and TIN Format when performing a Tax Identifier search.</p> <p>This field supports comma separated search with a maximum of 50 characters.</p>

3. Click **Search**.

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.

4. 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.

5. 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.

6. Click **Create**. A Create Exemption pop-up window is displayed.

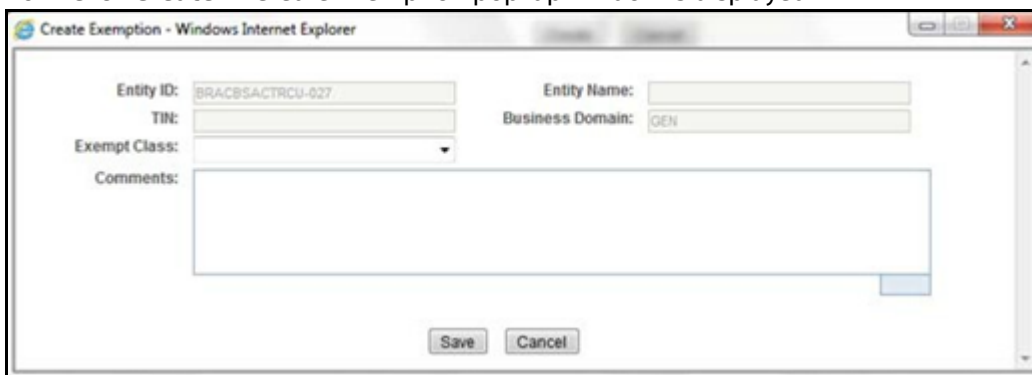


Figure 15: Create Exemption Dialog window

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

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

8. Click **Save**. A confirm window is displayed.

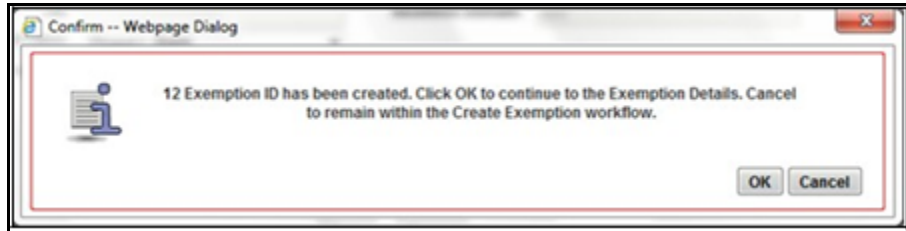


Figure 16: Create Exemption Confirmation Window

9. Click **OK**.

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

- 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.*

6.5.2 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.

The screenshot shows the 'Create Exemption' page with the following search criteria:

- Customer ID: [Empty]
- Customer Name: [Empty]
- Account ID: [Empty]
- Limit Search To: [Empty]
- TIN Format: [Empty]
- TIN: [Empty]

Below the search criteria, there are two sections for search results:

- Customers (0)**: A table with columns: Customer ID, Customer Name, Type, TIN, Ownership Type, Industry, Status, Open Date, Account Count, Exempt ID, Exempt, Exempt Status. Below the table is the message: "No data met the selected filter criteria. Please enter new filter criteria."
- Accounts (0)**: A table with columns: Account ID, Account Name, Type, Status, Account Purpose, Primary Customer ID, Customer Name, TIN, Open Date, Exempt ID, Exempt, Exempt Status. Below the table is the message: "No data met the selected filter criteria. Please enter new filter criteria."

At the bottom of the page are two buttons: **Create** and **Cancel**.

Figure 17: Create Exemption Search Page

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.

The screenshot shows the 'Create Exemption' page with the following search criteria:

- Customer ID: [Empty]
- Customer Name: [Empty]
- Account ID: [Empty]
- Limit Search To: **Customer**
- TIN Format: **ITIN**
- TIN: **667789019**

Below the search criteria, there are two sections for search results:

- Customers (4)**: A table with columns: Customer ID, Customer Name, Type, TIN, Ownership Type, Industry, Status, Open Date, Account Count, Exempt ID. Below the table is the message: "No data met the selected filter criteria. Please enter new filter criteria."
- Accounts (0)**: A table with columns: Account ID, Account Name, Type, Status, Account Purpose, Primary Customer ID, Customer Name, TIN, Open Date. Below the table is the message: "No data met the selected filter criteria. Please enter new filter criteria."

At the bottom of the page are three buttons: **Create**, **Exempt All By TIN**, and **Cancel**.

Figure 18: Limited Search Results

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.



Figure 19: Create Exemption Confirm Window

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.

7 **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](#)
- [Sending Batch DOEP E-files Using SDTM](#)

7.1 DOEP E-File Workflow

The following figure illustrates the workflow of a DOEP E-File in the CTR application:

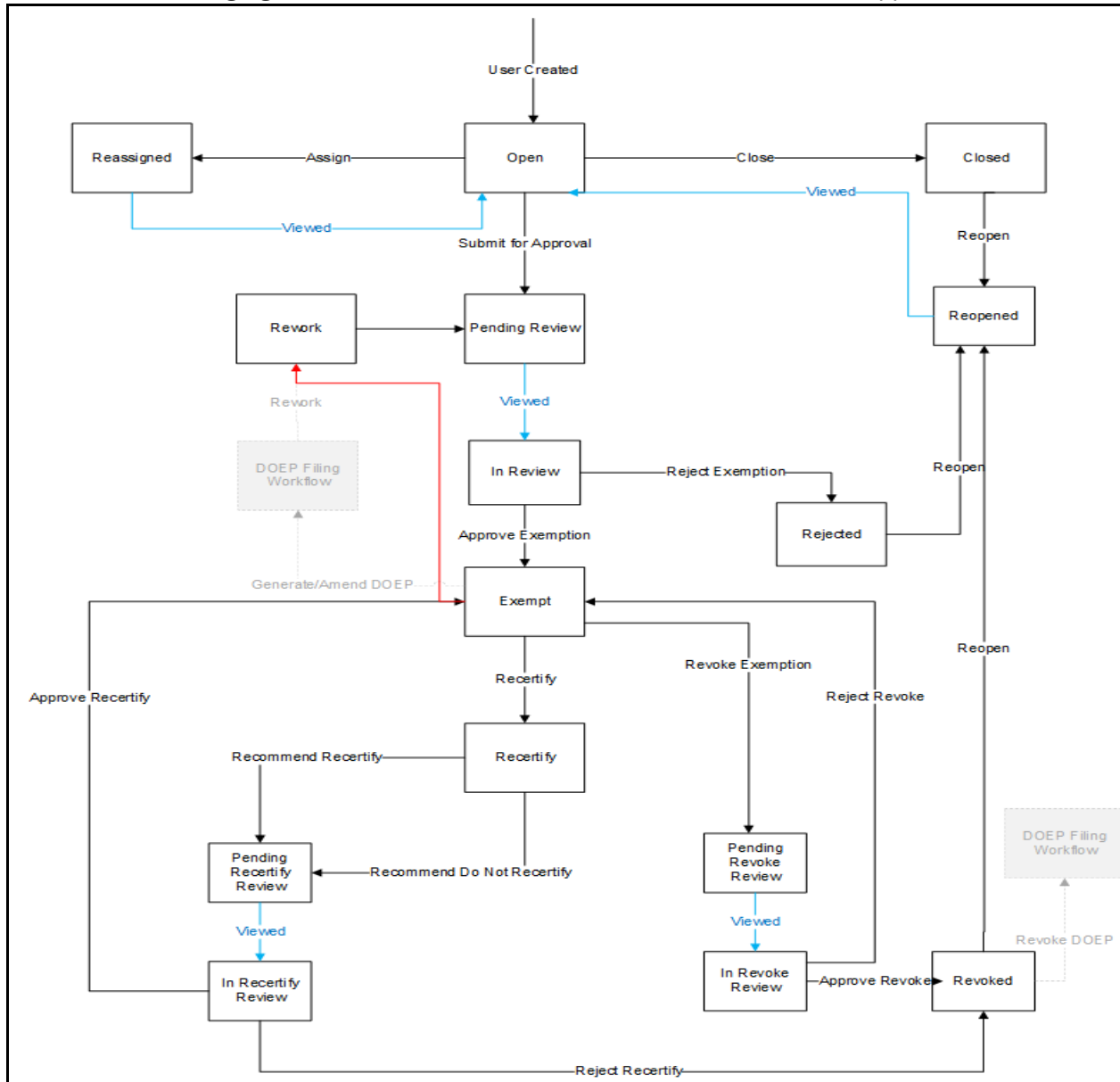


Figure 1: DOEP E-File Workflow

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

Table 1: Action-Status Mapping Table

Action Available From	Pre-action E-File status	Pre-action DOEP Status	Action	Action Taker
-----------------------	--------------------------	------------------------	--------	--------------

Table 1: Action-Status Mapping Table

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

Table 1: Action-Status Mapping Table

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

7.2 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](#)

7.2.1 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 ID	DOEP E-File Name	DOEP Status	Created Date	Created By	Filed Date	Filed By	Acknowledged Date	Acknowledged By	DOEP Count
52	CTR_BATCH_03312015_52	DOEP Filed - Ack Received	03/31/2015	CTRSUP	03/31/2015	CTRSUP	03/31/2015	CTRSUP	2
77	CTR_BATCH_03312015_77	DOEP Filed - Ack Received	03/31/2015	CTRSUP	03/31/2015	CTRSUP	03/31/2015	CTRSUP	1
80	CTR_BATCH_03312015_80	DOEP Filed - Transmitted w/...	03/31/2015	CTRSUP	03/31/2015	CTRSUP	--	--	2
81	DOEP_BATCH_04232015_81	DOEP Filed - Ack Received	04/23/2015	CTRSUP	04/23/2015	CTRSUP	04/23/2015	CTRSUP	1
88	DOEP_BATCH_04232015_88	DOEP E-File Generated	04/23/2015	CTRSUP	04/24/2015	CTRSUP	04/24/2015	CTRSUP	1
103	DOEP_BATCH_05272016_103	DOEP E-File Generated	05/27/2016	CTRSUP	--	--	--	--	2
117	DOEP_BATCH_06022016_117	DOEP E-File Generated	06/02/2016	CTRSUP	--	--	--	--	2

Figure 2: DOEP E-File List

7.2.2 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](#)

7.2.2.1 DOEP E-File List Header

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

7.2.2.2 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.

7.2.2.3 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

7.2.3 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 the 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 contains the following topics:

- [Searching DOEP E-File List Using Search Components](#)
- [Searching DOEP E-File List Using Pre-defined Views](#)

7.2.3.1 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. .

Figure 3: DOEP E-File Search Components

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

Table 2: DOEP E-File Search Field Descriptions

Column Name	Description
DOEP E-File Name	This field displays the name of the created batch file. The entered name must be the file name when it is submitted to FinCEN. This field supports wildcard.

Table 2: DOEP E-File Search Field Descriptions

Status	Select the required statuses from the options listed in the drop-down. The options listed in the status drop-down are as follows: <ul style="list-style-type: none">• 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.
Acknowledgment Date >=	Enter the date range for acknowledgment from FinCEN was received. This field searches for DOEP E-File based on the action date of user action <i>Ack Rcvd</i> .
Acknowledgment Date <=	Enter the date range for acknowledgment from FinCEN was received. This field searches for an DOEP E-File based on action date for user action of <i>Ack Rcvd</i> .
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.
DOEP BSA ID	Enter the DOEP BSA ID to search for Tracking IDs associated with the submitted DOEP E-File. The tracking ID is defined by the FinCEN. This search is based on Tracking ID that were added to the DOEP E-File record by the user as part of one of the post DOEP E-File submission actions namely, DOEP E-File Transmitted, DOEP E-File Transmitted w/Warnings, and DOEP E-File Rejected.
DOEP E-File ID	Search by the DOEP E-File ID is mutually exclusive of other search filters. Searching by ID will ignore other filters.

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

7.2.3.2 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 3: E-File Pre-defined Views

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

NOTE

When a user accesses the Search and List page, the E-Files are listed based on a default search criteria. If there are more than 10 E-Files for a search criterion, the list will automatically display pagination option.

7.3 Managing E-File Details Page

This section discusses 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 Acknowledgment Received](#)
- [Changing the DOEP E-File Status to Regenerate DOEP E-File](#)

7.3.1 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.

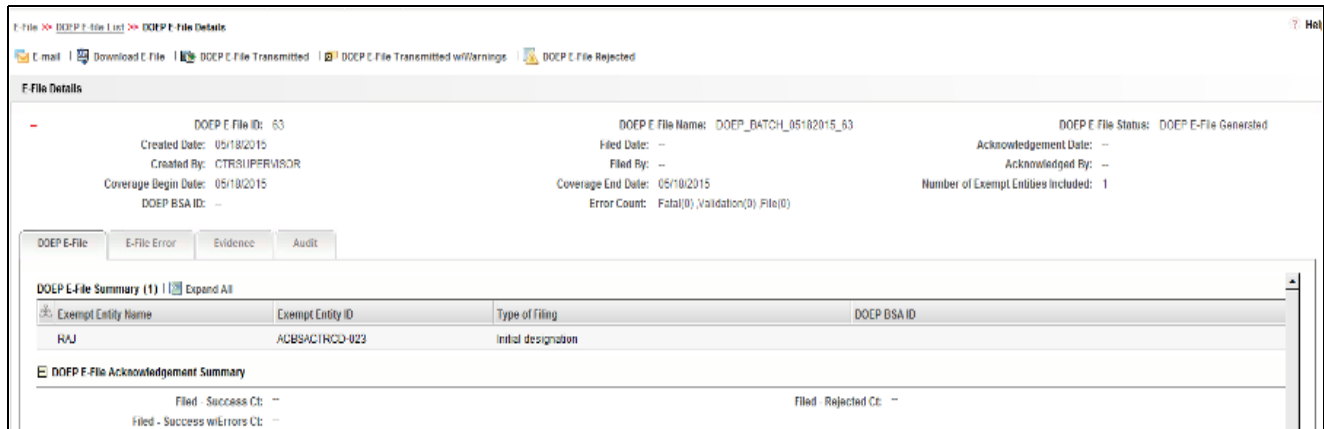


Figure 4: E-File Details Page

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

- [Action Bar](#)
- [E-File Details](#)
- [DOEP E-File Details Tabs](#)

7.3.1.1 Action Bar

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

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

7.3.1.2 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
- Acknowledgment Date
- Created By
- Filed By
- Acknowledged By

-
- Coverage Begin Date
 - Coverage End Date
 - Number of Exempt Entities included
 - DOEP BSA ID
 - Error Count

7.3.1.3 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](#)

7.3.1.3.1 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 Acknowledgment Summary](#)

7.3.1.3.1.1 *DOEP E-File Summary*

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

- Exempt Entity Name
- Exempt Entity ID
- Type of Filing
- DOEP BSA ID

7.3.1.3.1.2 *DOEP E-File Acknowledgment Summary*

This tab displays the summary of status of Exemptions that are included in the E-File. This section displays as empty until the E-File enters the Acknowledgment Processed status.

The following Exemption statuses are included in the E-File:

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

7.3.1.3.2 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\(s\)](#)

7.3.1.3.2.1 *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.

7.3.1.3.2.2 *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 acknowledgment file.

NOTE For files in Acknowledgment Processed status, the counts are based on the parsing of the ASCII Ack files.

7.3.1.3.3 **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.

7.3.1.3.4 **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.

7.3.2 **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. .

The screenshot shows a web-based form for sending an email. It includes the following elements:

- Selected IDs:** A text input field containing the number '7'.
- To:** An empty text input field.
- Subject:** A text input field containing the number '7'.
- Message:** A large, empty text area for composing the email body.
- Comments:** A smaller text area located below the message field.
- Buttons:** Two buttons at the bottom, labeled 'Send' and 'Cancel'.

Figure 5: E-File E-mail Window

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

Table 4: E-File E-Mail Window Field Descriptions

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

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

7.3.3 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 is downloaded.
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.

7.3.4 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.

NOTE This does not apply if your implementation is using SDTM batch e-file submission.

1. To change the status of a DOEP E-File to DOEP E-File Transmitted, follow these steps:
2. In the DOEP E-File Details page, click **DOEP E-File Transmitted**.
The Actions window displays.

The screenshot shows a form with the following elements:

- E-File ID:** A text input field containing the number '7'.
- BSA Tracking ID:** An empty text input field.
- Comments:** A large empty text area.
- Instructions:** A note below the BSA Tracking ID field reads: "(Please enter the BSA Tracking ID exactly as it appears on the BSA filing website.)"
- Buttons:** Three buttons are located at the bottom: "Save", "Save and Attach", and "Cancel".

Figure 6: E-File Transmitted Actions Window

3. Click **Save**. A Confirmation window appears. Click **OK**. The status of the DOEP E-File is changed to DOEP E-File Transmitted.
4. Click **Save and Attach**. A 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.
7. Click **Cancel** to return to the DOEP E-File Details page.

7.3.5 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.

NOTE This does not apply if your implementation is using SDTM batch e-file submission.

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

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

The Actions window displays. .

Figure 7: E-File Transmitted w/Warnings Actions Window

2. Enter the BSA Tracking ID and comments (if any) in the Actions window.
3. Click **Save**. A Confirmation window appears. Click **OK**. The status of the DOEP E-File is changed to DOEP E-File Transmitted w/Warnings.
4. Click **Save and Attach**. A 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.

7.3.6 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.

NOTE This does not apply if your implementation is using SDTM batch e-file submission.

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.

The screenshot shows a web form titled 'E-File Rejected Actions Window'. It contains several input fields and buttons. At the top, there is an 'E-File ID' field with the value '35'. Below it is a 'BSA Tracking ID' field with the value '123456' and a note: '(Please enter the BSA Tracking ID exactly as it appears on the BSA filing website.)'. A 'Comments' text area contains the text 'Rejecting'. Below the comments is a 'Logical File Name' field with the value 'Test'. Underneath that is a 'Choose a file*' section with a file path 'C:\Users\shannram\Deskt' and a 'Browse...' button. To the right of the file path is an 'Attach File' button. At the bottom of the form are two buttons: 'Save and Parse' and 'Cancel'.

Figure 8: E-File Rejected Actions Window

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

7.3.7 Changing the DOEP E-File Status to Acknowledgment Received

When an DOEP E-File status is in DOEP E-File Transmitted or DOEP E-File Transmitted w/Warnings, you can change the status to Acknowledgment Received once you receive the acknowledgment file for

the submission from FinCEN. This acknowledgment file will must be retrieved from the BSA filing site and manually uploaded for each E-File.

NOTE This does not apply if your implementation is using SDTM batch e-file submission.

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

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

An Actions window displays.

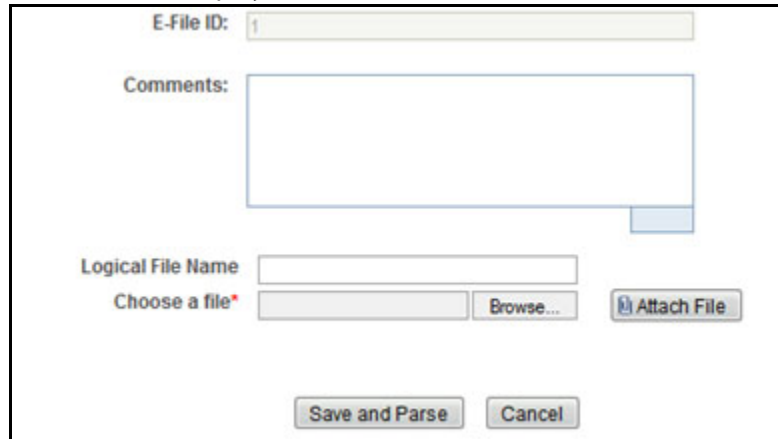


Figure 9: E-File Acknowledgment Received Actions Window

2. Enter a Logical Name and attach the .asc file received from FinCEN in **Choose a File** field.
3. Click **Attach File**. The file is attached.

The actions window gets refreshed and returns to default state.

4. Click **Save and Parse**.

A confirmation window appears.

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

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

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

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

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

A Generate DOEP E-File window displays.

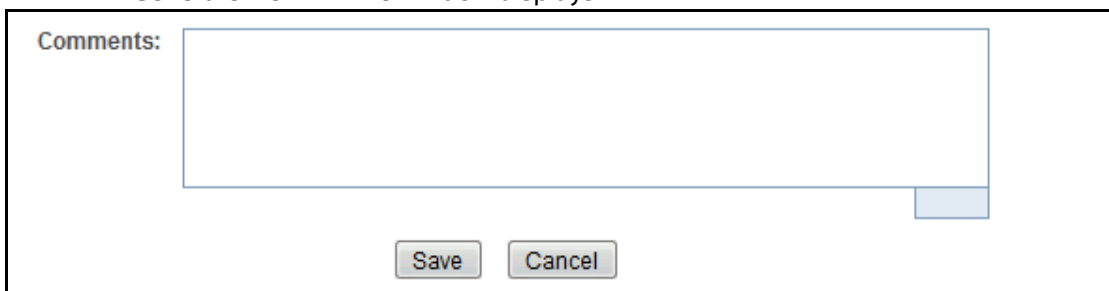


Figure 10: Regenerate E-File Actions Window

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

A confirmation window displays.

3. Click **OK**.

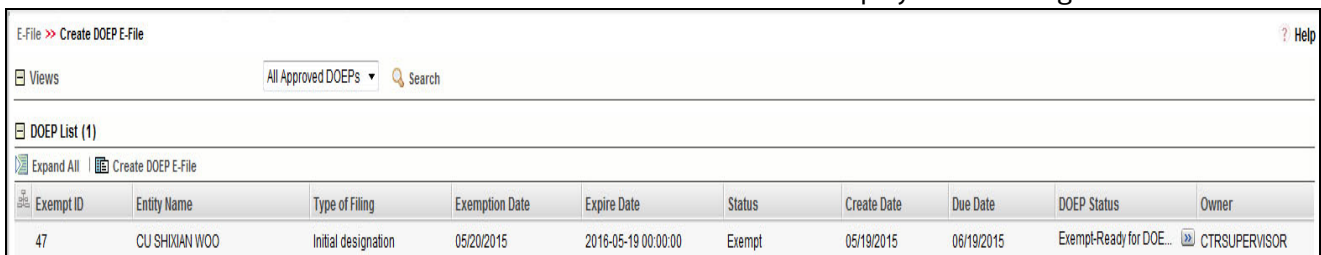
The status of a DOEP E-File changes to DOEP E-File Regenerated and a new copy of the DOEP E-File with the same E-File ID is created.

7.4 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:



The screenshot shows the 'Create DOEP E-File' window. At the top, there is a breadcrumb 'E-File >> Create DOEP E-File' and a 'Help' icon. Below that is a 'Views' section with a dropdown menu set to 'All Approved DOEPs' and a 'Search' button. The main area is titled 'DOEP List (1)' and contains a table with the following data:

Exempt ID	Entity Name	Type of Filing	Exemption Date	Expire Date	Status	Create Date	Due Date	DOEP Status	Owner
47	CU SHIXIAN WOO	Initial designation	05/20/2015	2016-05-19 00:00:00	Exempt	05/19/2015	06/19/2015	Exempt-Ready for DOE...	CTRSUPERVISOR

Figure 11: Create DOEP E-File Page

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

(Or)

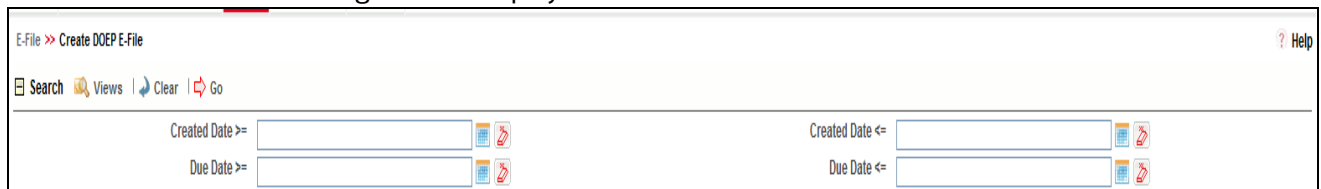
If you want to E-File only selected DOEPs, you can filter them using the Search option.

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

NOTE

When the search by date filter is used, the Exemption Status should be Exempt, Revoked and the DOEP Status in Exempt - Ready for DOEP Filing, Exempted Ready for DOEP Filing, and Revoked - Ready for DOEP Filing.

The following window displays.



The screenshot shows the 'Create DOEP E-File Search Fields' window. It features a search section with a 'Search' button, 'Views', 'Clear', and 'Go' options. Below this are four date filter fields: 'Created Date >=' and 'Created Date <=' on the top row, and 'Due Date >=' and 'Due Date <=' on the bottom row. Each field has a calendar icon and a clear icon.

Figure 12: Create DOEP E-File Search Fields

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

5. Click **Go**.

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

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

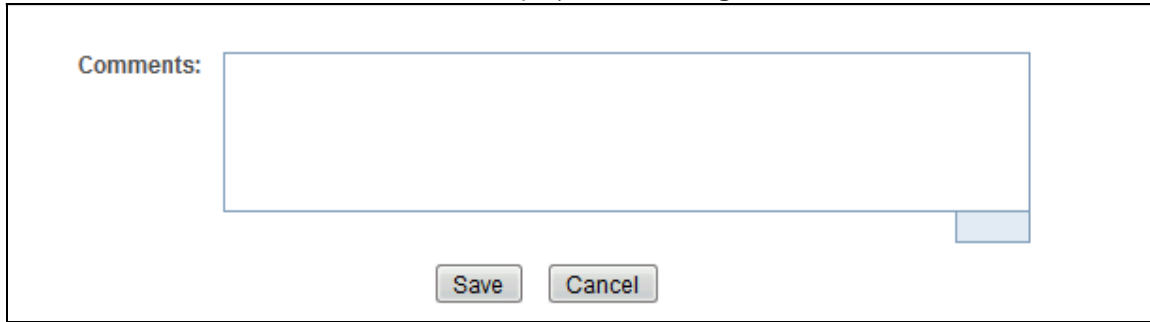


Figure 13: Generate DOEP E-File Window

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

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

7.4.0.1 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.*

7.5 Sending Batch DOEP E-files Using SDTM

CTR allows batch filing using FinCEN's Secure Data Transfer Mode (SDTM), a secure mechanism for transferring batch submissions from an organization's internal server to the BSA E-Filing server. If your implementation is using SDTM to file automatically, you are still able to generate a DOEP e-file using the Generate DOEP E-file window, but you will not be able to manually upload or track the new DOEP e-file.

When the e-file is successfully generated, the status will be *E-File available for SDTM*.

- If the filing is successful, the status will be updated to either *Accepted* or *Accepted with Warnings*.
- If the filing is not successful, the status is set to *Rejected* and the included CTRs are set to *Filed - Efile Rejected*.

8 Generating Reports

This chapter describes how to generate various reports related to the 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 must have Oracle Business Intelligence, Enterprise Edition (OBIEE) installed, to access the Reports menu.

This chapter covers the following topics:

- Accessing Reports
- Dashboard Types

8.1 Accessing Reports

To access Reports from the Home page, hover over the Reports menu in CTR and click **Reports**.

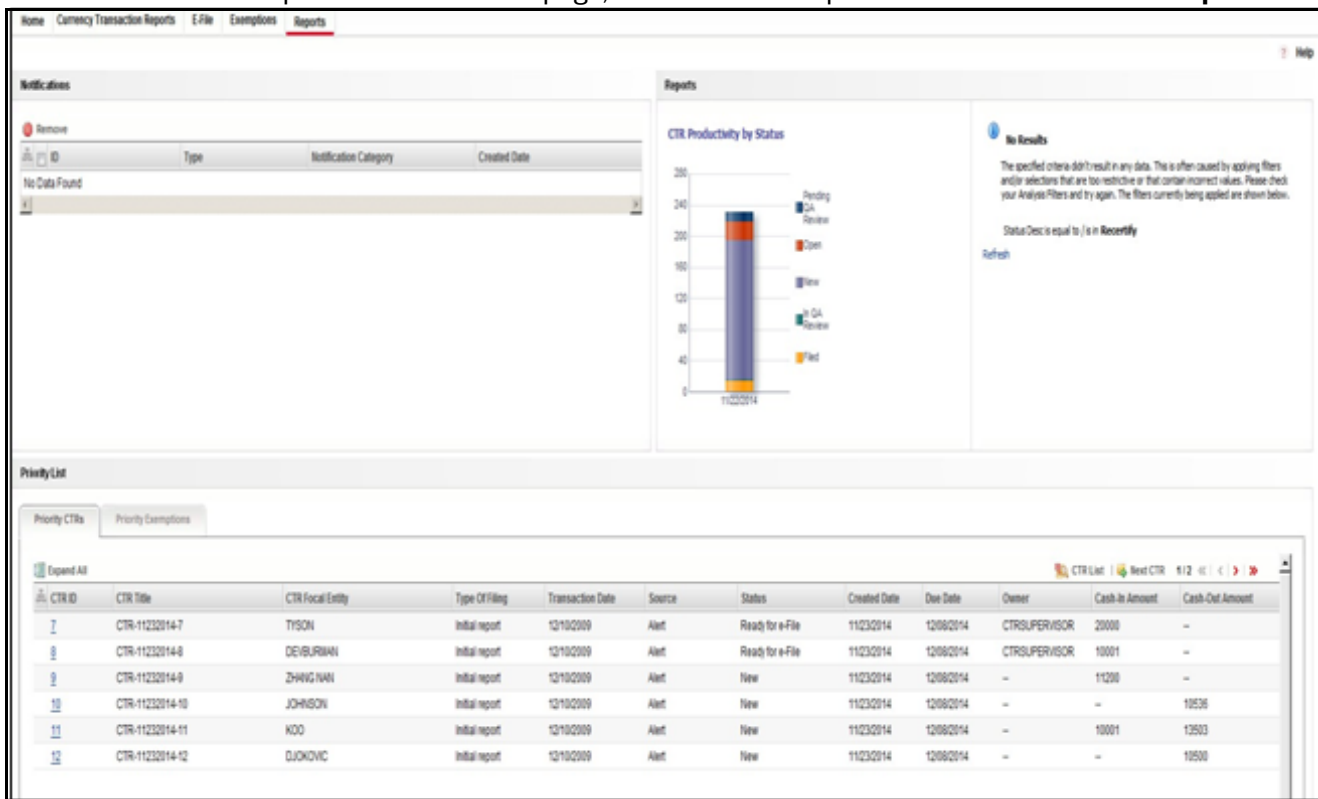


Figure 1: Accessing Reports

The Reports page is displayed. The Reports page varies depending upon the user's role.

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

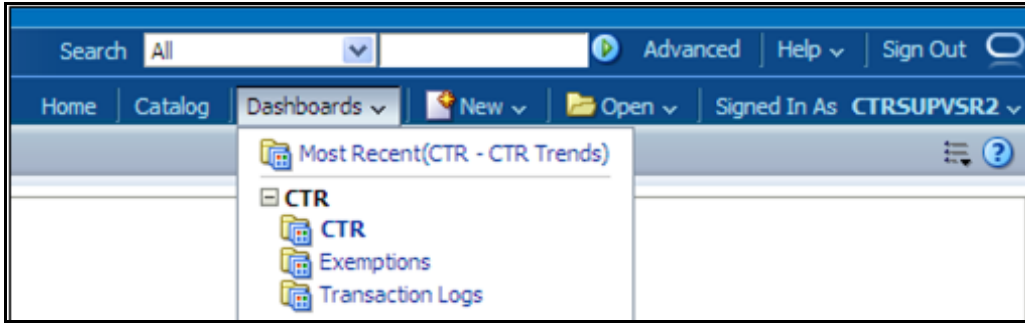


Figure 2: Reports Dashboard List

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

8.1.1 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 1: Currency Transaction Report Reports-User Roles Mapping Table

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

8.2 Dashboard Types

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

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

8.2.1 Currency Transaction Report Dashboard

The following reports are generated for the CTR Dashboard:

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

8.2.1.1 CTR Productivity by Status

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

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

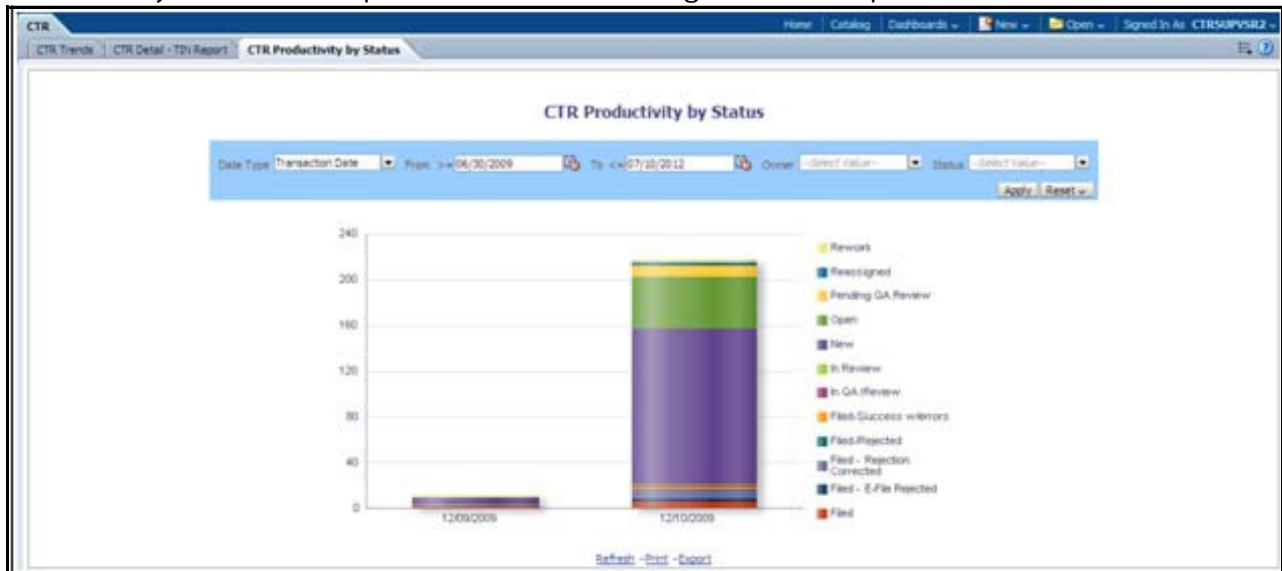


Figure 3: CTR Productivity by Status

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

1. From the Reports page, click **Dashboard** 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**.
The CTR Productivity by Status page is displayed with default values entered in the filters.

- To view the CTR Productivity by Status report, enter the details as described in the following table:

Table 2: CTR Productivity by Status Filter Descriptions

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

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

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

Figure 4: CTR Productivity by Status Detailed Report

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

8.2.1.2 CTR Trends

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

- Generating CTR Processing Trends- Internal
- Generating CTR Processing Trends - FinCEN Acknowledgments

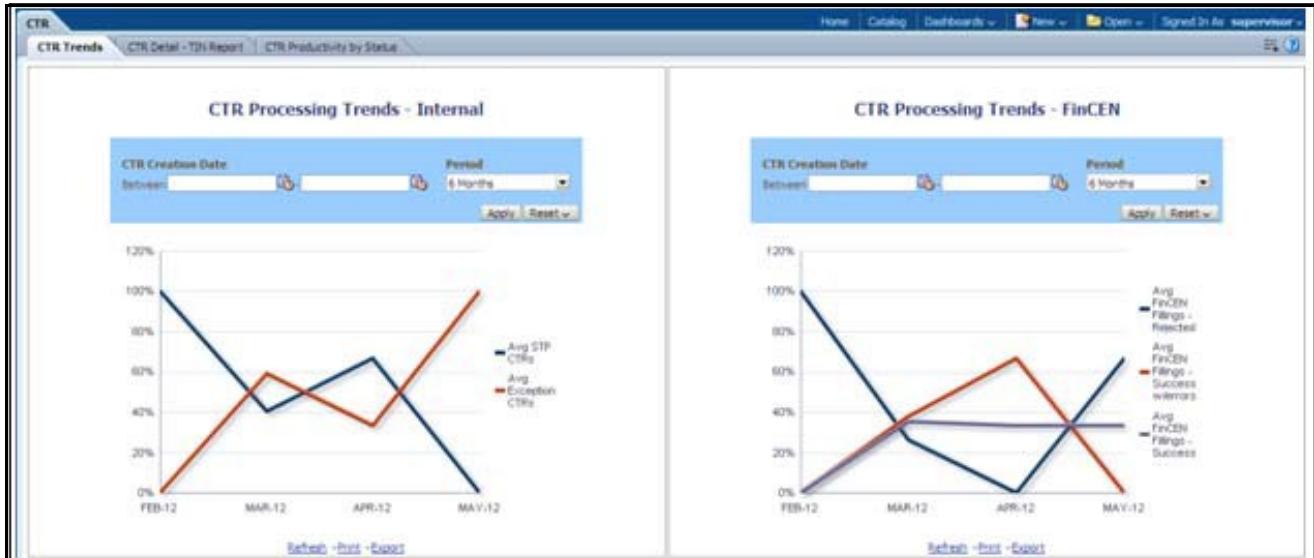


Figure 5: CTR Trends

8.2.1.2.1 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 the Reports page, click **Dashboard** to display the list of dashboards.
2. Select a CTR Dashboard.

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

3. Select CTR Trends tab.

The CTR Processing Trends- Internal and the CTR Processing Trends - FinCEN Acknowledgments 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 3: Generating CTR Processing Trends - Internal Filter Descriptions

Filter Name	Description
-------------	-------------

Table 3: Generating CTR Processing Trends - Internal Filter Descriptions

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

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

8.2.1.2.2 Generating CTR Processing Trends - FinCEN Acknowledgments

CTR Processing Trends - FinCEN Acknowledgments report shows the trend of Currency Transaction Reports filed successfully or with failure based on the acknowledgments 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 Acknowledgments report, follow these steps:

1. From the 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 Acknowledgments page is displayed with default values entered in the filters.

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

Table 4: Generating CTR Processing Trends - FinCEN Acknowledgments Filter Descriptions

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

Table 4: Generating CTR Processing Trends - FinCEN Acknowledgments Filter Descriptions

Period	Select a period from the drop-down options. This field defaults to six months.
--------	--

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

8.2.1.3 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)

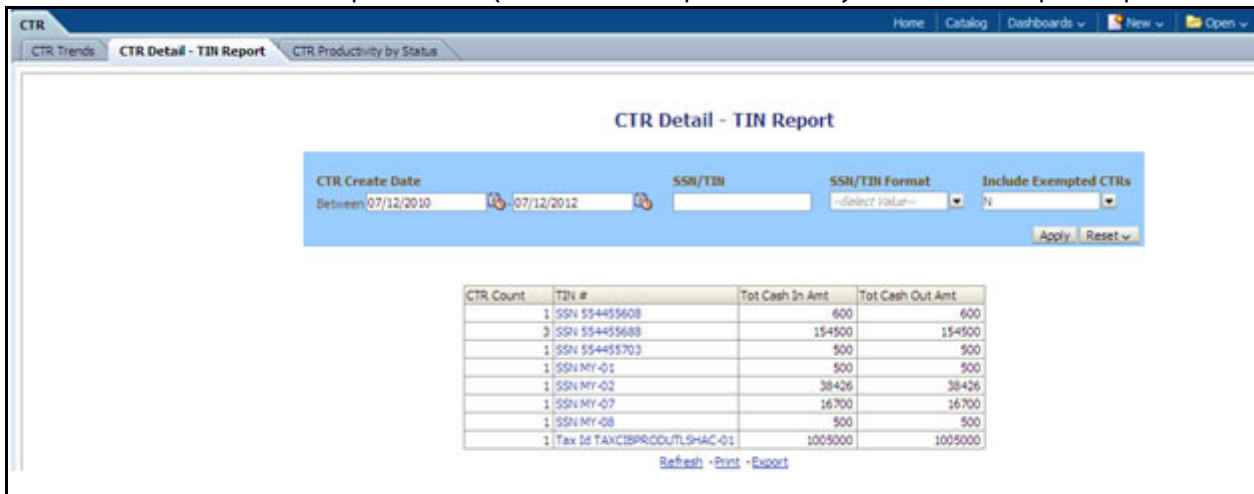


Figure 6: Currency Transaction Report Detail – TIN Report

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

1. From the Reports page, click **Dashboard** 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 the Currency Transaction Report Detail – TIN Report tab.
The Currency Transaction Report Detail – TIN Report page is displayed with default values entered in the filters.

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

Table 5: Currency Transaction Report Detail – TIN Report Filter Descriptions

Filter Name	Description
-------------	-------------

Table 5: Currency Transaction Report Detail – TIN Report Filter Descriptions

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

1. 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.
2. Click any TIN # value in the tabular report to view a detailed report on that particular TIN. .

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

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

Figure 7: Detailed TIN # Report

3. From the detailed report, you can choose to **Refresh**, **Print**, **Export**, and **Create Bookmark Link**.
4. Click **Return** on the detailed report to navigate back to the Currency Transaction Report Detail - TIN Report.

8.2.2 Exemption Dashboard

The following reports are generated for the Exemption dashboard:

- [Recertify Productivity Report](#)
- [Revoked Exemptions](#)
- [New Exemption Reports](#)
- [High Volume Currency Transaction Report Entities](#)
- [Audit Currency Transaction Report](#)
- [Exempt Entity Report](#)

8.2.2.1 Recertify Productivity Report

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



Figure 8: 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.

Entity Type	Entity	SSN/TIN	Entity Classification	Initiate Recert Date	Exempt Exp Date	Owner
AC	MOHET	Tax Id	Phase I - Entity Exercising Gov't Authority w/in US	05/21/2013	07/05/2013	ctrsupervisor
CU	APARNA POPAT	SSN 221133444	Phase I - Federal, State or Local Gov Agency/Dept	05/21/2013	07/05/2013	ctrsupervisor
CJ	FU HIFUNG	Tax Id 112233449	Phase II Eligible Non-Listed Business	05/21/2013	07/05/2013	ctrsupervisor
CU	JWALA GUTTA	Tax Id 221133442	Phase I - Federal, State or Local Gov Agency/Dept	05/21/2013	07/05/2013	ctrsupervisor
CU	LEN DAN	Tax Id 112233446	Phase I - Entity Exercising Gov't Authority w/in US	05/21/2013	07/05/2013	ctrsupervisor
CJ	SAJNA NEHWAL	Tax Id 221133441	Phase I - Subsidiary of NYSE/ASE Listed; NASDAQ Mkt Sec Listed	05/21/2013	07/05/2013	ctrsupervisor

Figure 9: Recertify Productivity Report - Details

From the 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.

8.2.2.2 Revoked Exemptions

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



Figure 10: Revoked Exemptions

To generate the 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, select **Exemption** under the Currency Transaction Report submenu option. Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
3. Select Revoked Exemptions tab.
The Revoked Exemptions report page is displayed with default values entered in the filters.
4. To view the Revoked Exemptions report, enter the details as described in the following table:

Table 6: Revoked Exemptions Filter Descriptions

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

5. Click **Apply**.
A bar report showing Revoked Exemptions is displayed. You can also click **Reset** to reset all the field values to default values.
6. Click the column bar to view the details of revoked Exemptions count for the selected period in a tabular report. The following window is displayed.

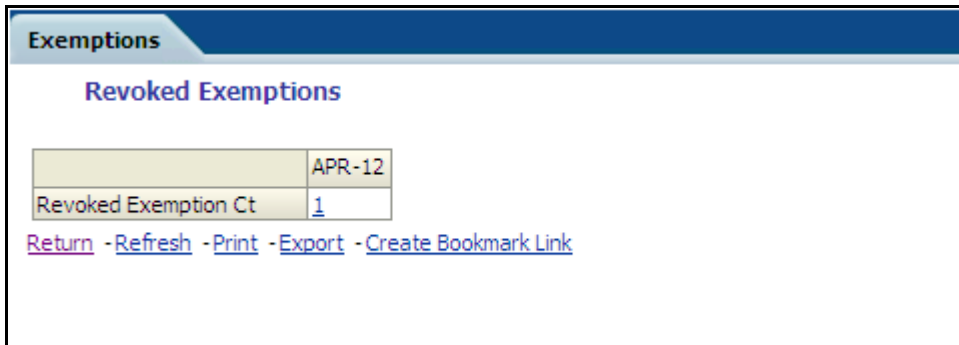


Figure 11: Revoke Exemption

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

(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.

8.2.2.3 New Exemption Reports

The New Exemption Report shows the number of new Currency Transaction Report Exemptions added during a specified date range.



Figure 12: 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, select **Exemption** under the Currency Transaction Report. 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.

- To view the New Exemption Reports, enter the details as described in the following table:

Table 7: New Exemption Reports Filter Descriptions

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

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

8.2.2.4 High Volume Currency Transaction Report Entities

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



Figure 13: High Volume Currency Transaction Report Entities

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

- 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.

- From Dashboards, select **Exemption** under Currency Transaction Report. Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
- Select High Volume Currency Transaction Report Entity report tab. The High Volume Currency Transaction Report Entity report page is displayed with default values entered in the filters.
- To view the High Volume Currency Transaction Report Entity report, enter the details as described in the following table:

Table 8: High Volume Currency Transaction Report Entities Filter Descriptions

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

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

8.2.2.5 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..

The screenshot displays the Oracle Business Intelligence interface for the 'Audit CTR Report'. At the top, there is a search bar and navigation tabs including 'Exemptions', 'Recently Productivity Report', 'Revoked Exemptions', 'New Exemptions Report', 'High Volume CTR Entities', 'Audit CTR Report', and 'Exempt Entity Report'. The main content area shows the 'Audit CTR Report' with a filter section for 'CTR Create Date' set to 'Between 06/01/2012' and '07/31/2012'. Below the filter is a table with the following data:

Entity Id	Entity Name	TIN	Entity Type	Audit CTR count
CLBSACTRCD-002	LDN DAN	Tax Id 445566779	CU	1
CLBSACTRCD-013	JOHNSON	Tax Id 445566784	CU	1
CLBSACTRCU-006	PADUKONE	SSN 221133446	CU	1
CLBSACTRCU-007	KOO	SSN 221133447	CU	1
CLBSACTRCU-025	GRAP	SSN 556677906	CU	1
CLBSACTRCU-026	NOVRATILOVA	Tax Id 556677907	CU	1
CLBSACTRTI-012	PETROVA	SSN 331122462	CU	1
CLBSACTRTI-013	DEHEITVA	SSN 331122463	CU	1
CLBSACTRTI-014	SAPDI	SSN 331122464	CU	1
CLBSACTRTI-017	POHAPPA	ITIN 331122468	CU	1
CLBSACTRTI-026	DJOKOVIC	SSN 331122483	CU	1
CLBSACTRTI-034	GRAP	SSN 331122496	CU	1
CLBSACTRTI-037	RUSSEL	Foreign TINBSACTR060	CU	1

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

Figure 14: 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, select **Exemption** under Currency Transaction Report.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
3. Select Audit Currency Transaction Report tab.
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 9: Audit Currency Transaction Report Filter Descriptions

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

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

8.2.2.6 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.

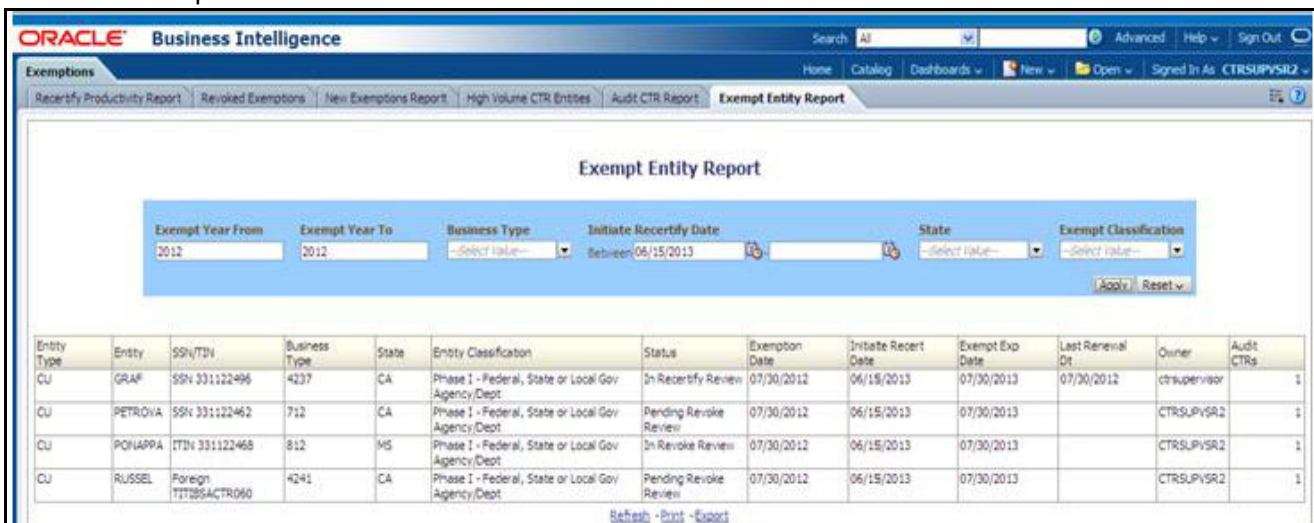


Figure 15: Exempt Entity Report

To generate the 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, select **Exemption** under the Currency Transaction Report.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
3. Select Exempt Entity Report tab.
The Exempt Entity Report page is displayed with default values entered in the filters.
4. To view the Exempt Entity Report, enter the details as described in the following table:

Table 10: Exempt Entity Report Filter Descriptions

Filter Name	Description
Exemption Year From	This field defaults to current year.
Exemption Year To	This field defaults to current year.
Business Type	Select a business type from the drop-down option. This field is a multi-select list with NAICS codes.
Initiate Recertify Date From	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Initiate Recertify Date To	Enter a date range for the search using the Select Date icon. This field defaults to blank.
State	Select a state from the drop-down option. This field is a multi-select drop-down with states.
Exemption Classification	Select an Exemption classification from the drop-down list. The following Exemption classification options display: <ul style="list-style-type: none"> ● Phase I - Bank ● Phase I - Federal, State or Local Gov Agency/Dept ● Phase I - Entity Exercising Govt'l Authority w/in US ● Phase I - Listed Entity ● Phase I - Subsidiary of Listed Entity ● Phase II - Payroll Customer ● Phase II - Eligible Non-Listed Business

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

8.2.3 Transaction Logs Dashboard

The following reports are generated for the Transaction Logs dashboard:

- [MI Transaction Log](#)
- [Currency Transaction Journal](#)

8.2.3.1 MI Transaction Log

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

Trans Date	Trans Amt - Base	Debit/Credit	Instrument Desc	Instrument Num	Account ID	Cond ID	Cond ID Type	Conductor	Conductor TIN	Cond Type	Conductor DOB	Location ID	Location Type	Exempt Trans	Adjust Trans	ID Issuing Auth	Trans Ref Intrl ID
12/10/2009	300.00	C	Monetary Instrument	12454	ACBSAMLCD-002	CDBSAMLCD-001	C	ORACLE	SSN CD5-5	CA	03/25/1987	TLML-2		N	N	CA	TRBSAMLCD-002
12/10/2009		C	Monetary Instrument	12455	ACBSAMLCD-001	CDBSAMLCD-001	C	ORACLE	SSN CD5-5	CA	05/30/1984	TLML-2		N	N	CA	TRBSAMLCD-003
12/10/2009	400.00	C	Monetary Instrument	12453	ACBSAMLCD-001	CDBSAMLCD-001	C	ORACLE	SSN CD5-5	CA	12/10/1987	TLML-2		N	N	CA	TRBSAMLCD-001
12/10/2009	1000.00	C	Monetary Instrument	12345	ACBSAMLCD-001	CDBSAMLCD-001	C	ORACLE	SSN CD5-1	CA	05/26/1988	TLML-1		N	N	CA	TRBSAMLCD-001
12/10/2009		C	Monetary Instrument	12466	ACBSAMLT-001	CDBSAMLT-001	C	ORACLE	SSN CD5-10	CA	12/05/1986	TLML-3		N	N	CA	TRBSAMLT-001
12/10/2009	1200.00	C	Monetary Instrument	12469	ACBSAMLT-003	CDBSAMLT-003	C	ORACLE	SSN CD5-12	CA	12/05/1986	TLML-3		N	N	CA	TRBSAMLT-004-1
12/10/2009	1500.00	C	Monetary Instrument	66421	ACBSAMLT-001	CDBSAMLT-001	C	ORACLE	SSN CD5-10	CA	11/25/1987	TLML-3		N	N	CA	TRBSAMLT-001-1
12/10/2009	2000.55	C	Monetary Instrument	12471	ACBSAMLT-004	CDBSAMLT-004	C	ORACLE	SSN CD5-15	CA	05/26/1988	TLML-3		N	N	CA	TRBSAMLT-006-1
12/10/2009	4000.55	C	Monetary Instrument	12456	ACBSAMLCD-003	CDBSAMLCD-004	C	ORACLE	SSN CD5-6	CA	11/25/1996	TLML-2		Y	N	CA	TRBSAMLCD-004
12/10/2009	4999.99	C	Monetary Instrument	12467	ACBSAMLT-002	CDBSAMLT-002	C	ORACLE	SSN TIS-2	CA	05/26/1988	TLML-3		N	N	CA	TRBSAMLT-002-1
12/10/2009	5000.00	C	Monetary Instrument	12467	ACBSAMLT-002	CDBSAMLT-002	C	ORACLE	SSN TIS-2	CA	11/26/1988	TLML-3		N	N	CA	TRBSAMLT-002
12/10/2009		C	Monetary Instrument		ACBSACTRCD-039	CDBSACTRCD-039	D	MARAT	ITIN 112233411	CA	11/25/1987	TLCTRGD-40		Y	N	CA	CTBSACTRCD-096
12/10/2009	5999.44	C	Monetary Instrument	12457	ACBSAMLCD-004	CDBSAMLCD-004	C	ORACLE	SSN CD5-6	CA	09/24/1984	TLML-2		Y	N	CA	TRBSAMLCD-005
12/10/2009	9999.99	C	Monetary Instrument	12346	ACBSAMLCD-002	CDBSAMLCD-002	C	ORACLE	SSN CD5-2	CA	12/10/1987	TLML-1		N	N	CA	TRBSAMLCD-002

Figure 16: MI Transaction Log

To generate the 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, select **Transaction Logs** under Currency Transaction Report. Different report types related to Transaction Logs dashboards are displayed in tabs depending upon the user role.
3. Select MI Transaction Log tab. The MI Transaction Log page is displayed with default values entered in the filters.
4. To view the MI Transaction Log report, enter the details as described in the following table:

Table 11: MI Transaction Log Filter Descriptions

Filter Name	Description
Transaction Date Between	Enter the transaction date using the Select Date icon. This field defaults to one calendar day less than the current date.
Transaction Date To	Enter the transaction date using the Select Date icon. This field defaults to current date.
TIN Type	Select a TIN Type from the drop-down options.

Table 11: MI Transaction Log Filter Descriptions

TIN	Enter the TIN # in this field.
Transaction Address	Enter the transaction address in this field. This field supports wildcard searching.
Transaction City	Enter the transaction city in this field. This field supports wildcard searching.
Transaction State	Select a state from the Transaction State drop-down option.
Transaction Country	Select multiple countries from the Transaction Country drop-down option.

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

8.2.3.2 Currency Transaction Journal



Figure 17: Currency Transaction Journal

To generate Currency Transaction Journal report, follow these steps:

- 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.
- From Dashboards, select **Transaction Logs** under Currency Transaction Report. Different report types related to Transaction Logs dashboards are displayed in tabs depending upon the user role.
- Select the Currency Transaction Journal tab. The Currency Transaction Journal page is displayed with default values entered in the filters.
- To view the Currency Transaction Journal report, enter the details as described in the following table:

Table 12: Currency Transaction Journal Filter Descriptions

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

Table 12: Currency Transaction Journal Filter Descriptions

Transaction Date To	Enter the transaction date using the Select Date icon. This field defaults to current date.
---------------------	---

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

9 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 must 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](#)

9.1 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](#)

9.1.1 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.

Oracle Transaction ID	Transaction Date	Transaction ID	Transaction Amount - Base	Debit/Credit	Instrument Description	Instrument Number	Account ID	Conductor ID	Condi
18	12/10/2015	CTBSACTRCD...	5000	Credit	--	--	ACBSACTR...	CDBSACTR...	--
3	12/10/2015	TRBSAMILCD-001	1000	Credit	Monetary Instrument	12345	ACBSAMILC...	CDBSAMILC...	--
12	12/10/2015	TRBSAMILTI-0...	1500	Credit	Monetary Instrmt	66421	ACBSAMILTI...	CDBSAMILTI...	--
13	12/10/2015	TRBSAMILTI-001	1000	Credit	Monetary Instrument	12466	ACBSAMILTI...	CDBSAMILTI...	--
15	12/09/2015	TRBSAMILTI-004	700	Credit	Monetary Instrument	12469	ACBSAMILTI...	CDBSAMILTI...	--
26	12/09/2015	TRBSAMILTI-003	500	Credit	Monetary Instrument	12468	ACBSAMILTI...	CDBSAMILTI...	--
25	12/10/2015	TRBSAMILTI-0...	1200	Credit	Monetary Instrument	12469	ACBSAMILTI...	CDBSAMILTI...	--
9	12/09/2015	TRBSAMILTI-005	5000.55	Credit	Monetary Instrmt	12470	ACBSAMILTI...	CDBSAMILTI...	--
16	12/09/2015	TRBSAMILTI-006	4000.71	Credit	Monetary Instrument	12471	ACBSAMILTI...	CDBSAMILTI...	--
6	12/10/2015	TRBSAMILTI-0...	2000.55	Credit	Monetary Instrmt	12471	ACBSAMILTI...	CDBSAMILTI...	--

Figure 1: Search and List

9.1.2 Components of Search and List Page

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

- **Check Boxes**
- **Actions**
- **Column Headings**

9.1.2.1 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.

9.1.2.2 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.

9.1.2.3 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:

The following fields are shown by default:

- Transaction Date
- Oracle Transaction ID
- Conductor TIN

9.1.3 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..

Oracle Transaction ID	Transaction Date	Transaction ID	Transaction Amount - Base	Debit/Credit	Instrument Description	Instrument Number	Account ID	Conductor ID	Cond
18	12/10/2015	CTBSACTRCD...	5000	Credit	--	--	ACBSACTR...	CDBSACTR...	--
3	12/10/2015	TRBSAMILCD-001	1000	Credit	Monetary Instrmt	12345	ACBSAMILC...	CDBSAMILC...	--
12	12/10/2015	TRBSAMILTI-0...	1500	Credit	Monetary Instrmt	66421	ACBSAMILTI...	CDBSAMILTI...	--
13	12/10/2015	TRBSAMILTI-001	1000	Credit	Monetary Instrmt	12466	ACBSAMILTI...	CDBSAMILTI...	--
15	12/09/2015	TRBSAMILTI-004	700	Credit	Monetary Instrmt	12469	ACBSAMILTI...	CDBSAMILTI...	--
26	12/09/2015	TRBSAMILTI-003	500	Credit	Monetary Instrmt	12468	ACBSAMILTI...	CDBSAMILTI...	--
25	12/10/2015	TRBSAMILTI-0...	1200	Credit	Monetary Instrmt	12469	ACBSAMILTI...	CDBSAMILTI...	--
9	12/09/2015	TRBSAMILTI-005	5000.55	Credit	Monetary Instrmt	12470	ACBSAMILTI...	CDBSAMILTI...	--
16	12/09/2015	TRBSAMILTI-006	4000.71	Credit	Monetary Instrmt	12471	ACBSAMILTI...	CDBSAMILTI...	--
6	12/10/2015	TRBSAMILTI-0...	2000.55	Credit	Monetary Instrmt	12471	ACBSAMILTI...	CDBSAMILTI...	--

Figure 2: Search and List Search Components

2. Enter the search components. The following table provides the description of the search components that display in the Search bar:

Table 1: Search Components

Criteria	Description
Oracle Transaction ID	This field displays the Oracle Transaction ID. This field will be not editable and will be pre-populated with a generated sequence ID.
Transaction Date	This field displays the transaction date on which the transaction was conducted.
Transaction ID	This field displays the transaction ID associated with the transaction.

Table 1: Search Components

Transaction Amount - Base	This field displays the monetary value of the funds transferred via this transaction denominated in the base currency in which this transaction was conducted.
Debit/Credit	This field indicates of whether this transaction is credit or debit or exchange transaction.
Conductor ID	This field displays ID of the Conductor.
Conductor ID Type	This field displays the type of the Conductor ID.
ID Issuing Authority	This field displays the authority name issuing the ID.
Conductor Name	This field displays the name of the conductor.
Conductor TIN	This field displays the Taxpayer Identification Number (TIN) of the conductor in the transaction.
Conductor TIN Type	This field displays the type of the Taxpayer Identification Number (TIN) of the conductor in the transaction.
Primary Customer ID	This field displays the ID associated with the primary customer.
Primary Customer Name	This field displays the primary customer name.
Last Modified Date	This field displays the date that was last modified.

Table 1: Search Components

Last Modified By	This field displays the name of the person who last modified the record.
Transaction Record Status	<p>This field displays the transaction record in any of the following statuses:</p> <ul style="list-style-type: none"> • Active - This status displays the transaction records which are not deleted. • Added - This status displays the transaction records which are added. These records are added when you click the <i>Add</i> button after saving the transactions details. • Deleted - This status displays the transaction records which are deleted but not removed from the database.

3. Click **Go**. The relevant MIT Log data list displays.

9.2 Managing MIT Details Page

This chapter focuses on the following topics:

- [Adding MIT Log Data](#)
- [Editing MIT Log Data](#)
- [Deleting MIT Log Data](#)

9.2.0.1 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.

Figure 3: Add Monetary Instrument log

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

Table 2: Adding MIT Log Data Components

Criteria	Description
Oracle Transaction ID	This field displays the Oracle transaction ID. This field is non-editable and pre-populated with generated sequence ID.
Transaction Date	Select the transaction date from the calendar.
Transaction ID	Enter the ID.
Transaction Amount - Base	Enter the amount of fees paid on this account expressed in base currency.
Debit/Credit	Select the type of transaction as either Debit or Credit.
Instrument Description	Enter the serial number of the monetary instrument associated with this transaction.
Instrument Number	Enter the serial number of the monetary instrument associated with this transaction.
Account ID	Enter the Account ID in which the transaction was conducted.
Conductor ID	Enter the ID of the conductor.
Conductor ID Type	Select the Verification ID Type of the conductor from the following options available: <ul style="list-style-type: none">• Unknown• Driver's license/State ID• Passport• Alien registration• Customer• Other

Table 2: Adding MIT Log Data Components

Conductor ID Issuing Country	Select the conductor ID issuing country from the drop-down list.
Conductor ID Issuing State	Select the ID issuing state of the conductor from the drop-down list.
Conductor First Name	Enter the first name of the conductor in the transaction.
Conductor Middle Name	Enter the middle name of the conductor in the transaction.
Conductor Last Name	Enter the last name of the conductor in the transaction.
Conductor Birth Date	Select the birth date of the conductor from the calendar.
Conductor TIN	Enter the Taxpayer Identification Number (TIN) of the conductor in the transaction.
Conductor TIN Type	Select the conductor TIN type from the list of available options: <ul style="list-style-type: none">• EIN• Foreign• GIIN• ITIN• SSN• Tax ID
Location ID	Enter the location ID.
Location Name	Enter the name of the location where the transactions were done.

Table 2: Adding MIT Log Data Components

Transaction Address	Enter the address where the transactions were done.
Transaction City	Select the city where the transactions were done from the drop-down list.
Transaction Country	Select the country where the transactions were done from the drop-down list.
Transaction State	Select the state where the transactions were done from the drop-down list.
Business Reason Code	Select the business reason code from the drop-down list: <ul style="list-style-type: none">● 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.

Table 2: Adding MIT Log Data Components

Conductor Address Country	Select the country of the conductor from the drop-down list.
Conductor Address State	Select the state of the conductor from the drop-down list.
Adjusted Transaction	Select the adjusted transaction as Yes or No.
Comments	Enter the comments in the text box.

3. Click **Save**. The MIT log data details are added.

9.2.0.1.1 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.

9.2.0.2 Editing MIT Log Data

To edit MIT Log data, follow these steps:

1. Select the required transaction record 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

Figure 4: Edit Monetary Instrument Transaction Log window

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

9.2.0.2.1 Edit Monetary Instrument Transaction Details

Edit the required information in this section.

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.

9.2.0.2.2 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

9.2.0.2.3 History

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

9.2.0.3 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.

OFSAA Support Contact Details

Raise a Service Request (SR) in [My Oracle Support \(MOS\)](#) for queries related to OFSAA applications.

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