Oracle Financial Services Currency Transaction Reporting

User Guide

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Table 1: Revision History

Date	Edition	Description
October 2024	Third edition of 8.1.2.7.0.	Multiple sections are updated to sync with the latest changes in the application.
September 2024	Second edition of 8.1.2.7.0.	All screenshots are updated.
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March 2023	First edition of 8.1.2.4.0.	Removed the following sections from the guide. • Transaction Change History • Persons Involved Change History • Viewing Differences in Customer Details • Viewing Differences in Customer Address Details
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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.

Table of Contents

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 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 the Currency Transaction Report is changed to Pending QA review. This user role will have access to the 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 the 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 Currency Transaction Reports, describes how to manage the CTR List and how to create a Currency Transaction Report.
- Chapter 4, Managing E-File, describes how to manage the Search and List and how to create an E-File.

- Chapter 5, Managing Exemptions, describes how to manage Search and List and how to create an Exemption.

- Chapter 6, Managing 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 7, Managing Monetary Instrument Transaction (MIT) Log, explains how to manage MI transactions that they are required to log and have available for review by examiners or audit to verify compliance.

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
Italics	- Names of books, chapters, and sections as references - Emphasis
Bold	- Object of an action (menu names, field names, options, names) in a step-by-step procedure - Commands typed at a prompt - User input
`Monospace`	- Directories and subdirectories - File names and extensions - Process names - Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	Substitute input value

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 LHS 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 that may lead to fraud or money laundering within the institution to the regulatory authorities. These regulatory bodies are responsible for safeguarding financial institutions and consumers from abuse, providing transparency in the country's financial system, enhancing that country's security, and deterring and detecting criminal activity in the financial system.

Currency Transaction Reporting (CTR), which currently applies only to Currency Transaction Reports in the United States, is a robust solution developed to meet the 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.

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.
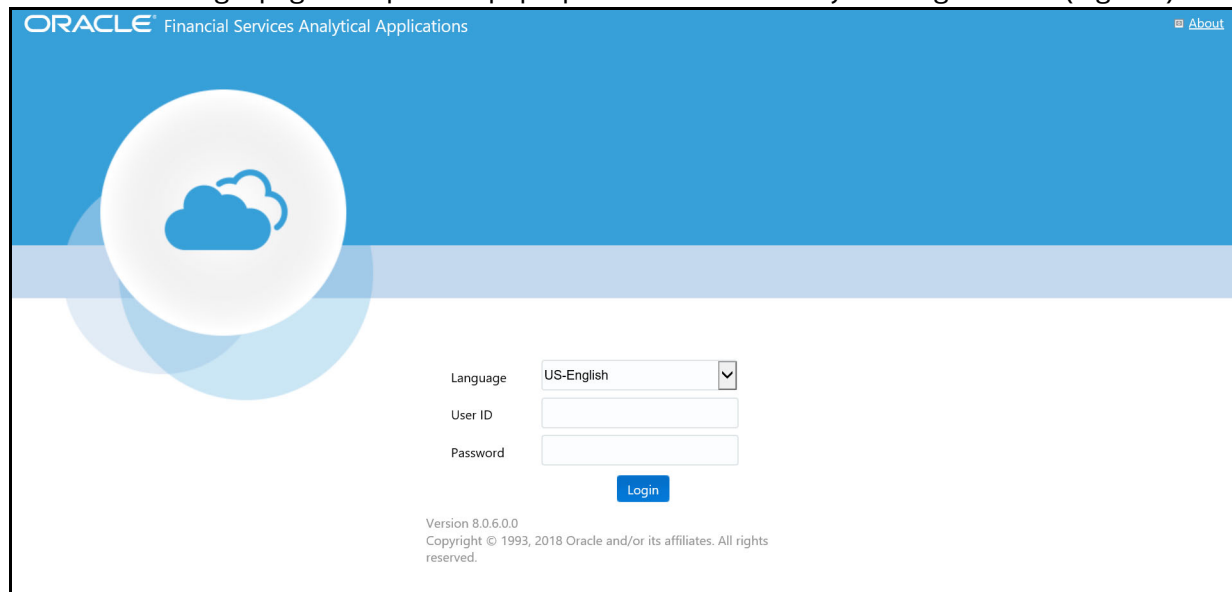
   > **NOTE**　CTR will have standard work queues, user defined workflow and reporting functionality to manage exceptions, continuous quality reviews, and audits.

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 displayed on this page will vary depending on your implementation.
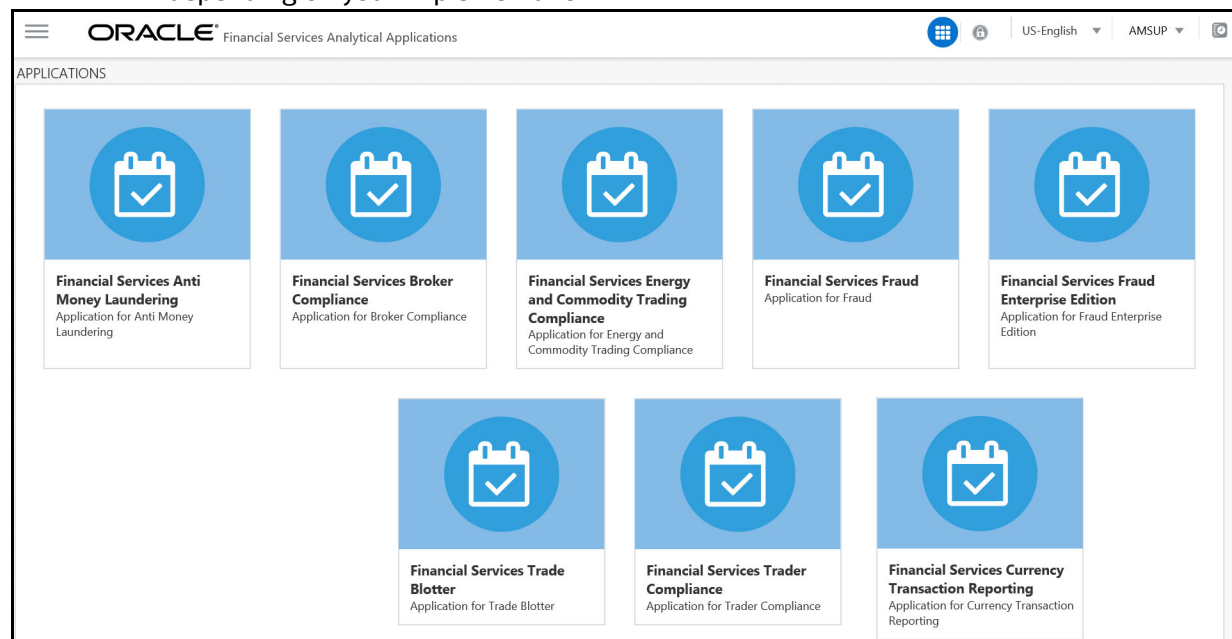
Figure 2: OFSAA Landing Page

5. Click **Financial Services Currency Transaction Reporting**. The Currency Transaction Reporting Home page is displayed. On the LHS menu, the Navigation List appears.

6. Click **Behavior Detection Currency Transaction Reporting**. Select **Currency Transaction Reporting.** The Currency Transaction Reporting Home page is displayed.
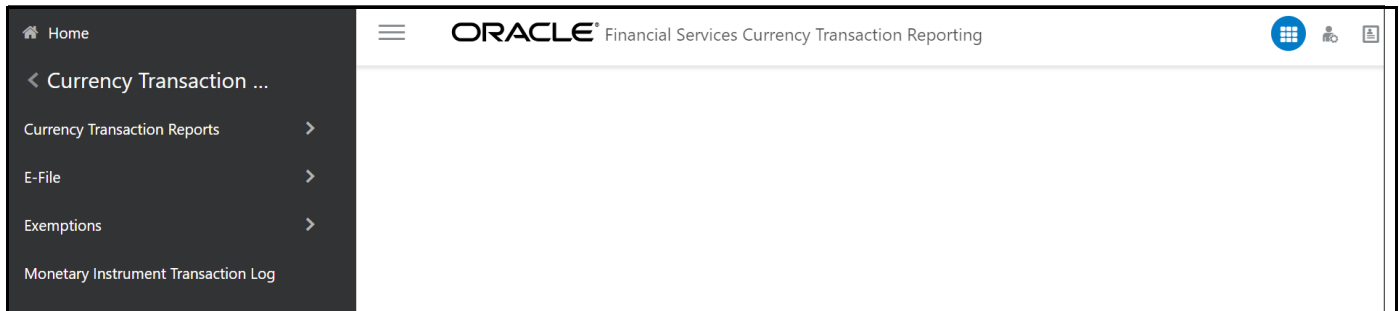
Figure 3: CTR Home page

2.3 CTR LHS 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 the 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 Monetary Instrument Log.
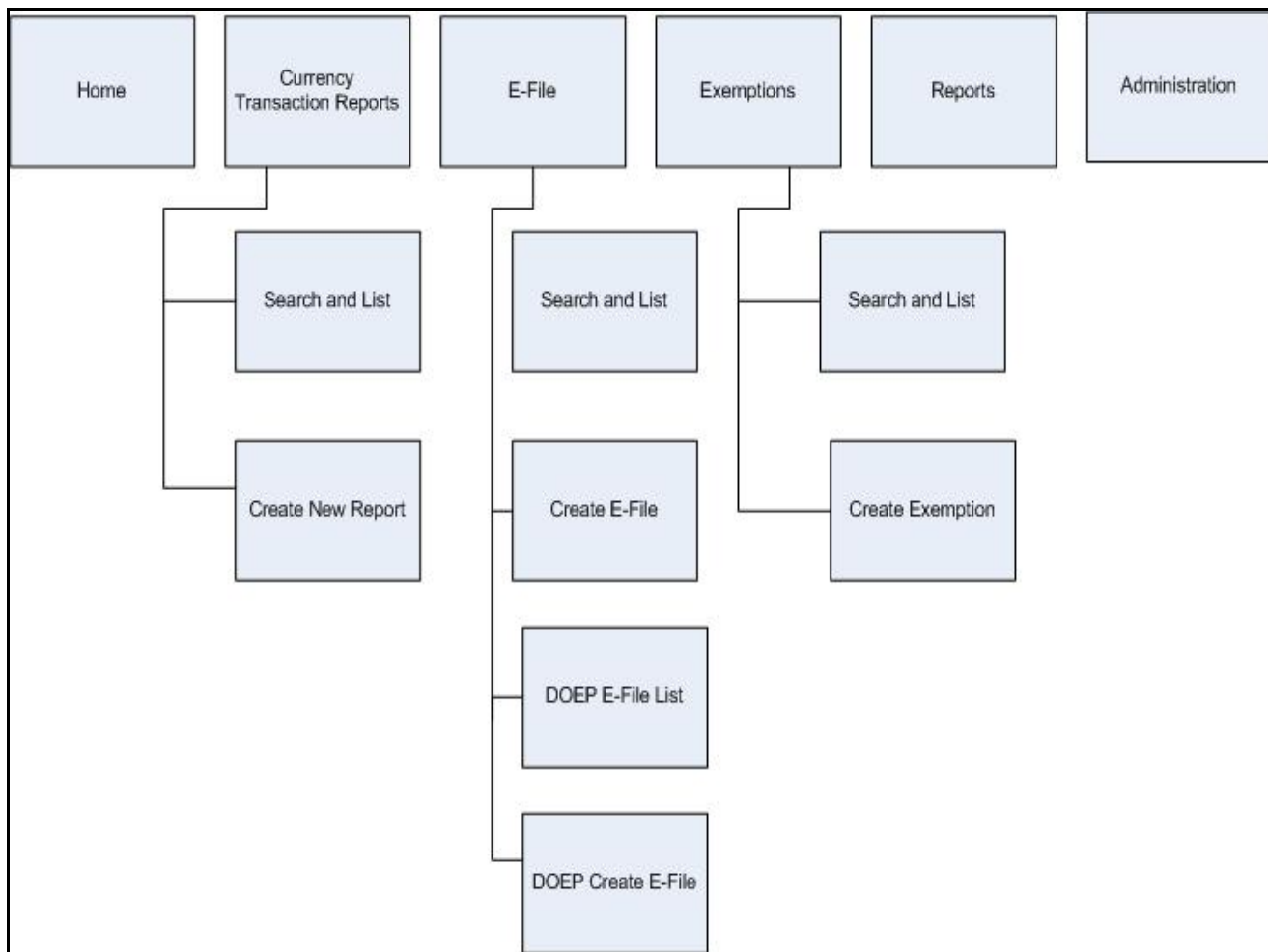
Figure 4: CTRs Menus

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

Table 2: 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	

DOEP E-File					X		
Exemptions			X				X

2.3.1   Currency Transaction Reports Menu

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

2.3.2   E-File Menu

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

2.3.3   Exemptions Menu

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

2.3.4   DOEP E-File Menu

The DOEP E-File menu is accessible to users with the roles of DOEP E-File Analyst and Supervisor. The DOEP E-File menu has two sub-menu options namely, DOEP E-File List, and DOEP Create E-File. Refer to Chapter 6, Managing DOEP E-File, for more information.

2.3.5   Monetary Instrument Log

Monetary Instrument Log menu 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 on logic that can be found in the CTR TSD, but clients must review the data and possibly add or remove records as well as edit them. Refer to Chapter 7, Managing Monetary Instrument Transaction (MIT) Log, for more information.

3 Managing Currency Transaction Reports

This chapter describes the workflow of a Currency Transaction Report (CTR), managing the Search and List page, managing the CTR Context page, managing the CTR Details page, and performing actions on CTRs.

Topics:

- Currency Transaction Report Workflow
- Managing CTR List
- Managing CTR Details
- Performing Actions on CTRs
- Creating a Currency Transaction Report

3.1 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 5: Currency Transaction Reporting Workflow

3.1.1   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 3: 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	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	
Closed-Adjusted CTR	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	

3.2 Managing CTR List

This section discusses the following topics:

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

3.2.1 Accessing CTR List

The CTR List page and Search and List page are available only for users who have the appropriate roles.

To access the CTR List, follow these steps:

1. Navigate to the Currency Transaction Reports from the LHS menu.
2. Click **Search and List.** The CTR List page is displayed.

Figure 6: CTR List page

3.2.2 Components of CTR List Page

The CTR List page contains the following components:

- Search Components
- Check Boxes
- Actions
- Column Headings
- Pagination

3.2.2.1 Search Components

This section allows you to filter the CTR List using the search components. For more information, see Searching and Viewing CTR List.

3.2.2.2 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 the Search and List page and take actions.

3.2.2.3   Actions

The system provides the following actions that appear above the list 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 takes you to the original view of the CTR List.

- **Action**: This option allows you to take action for the selected CTRs.

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

- **Export to Excel**: This option allows you to export the Search and List records to a spreadsheet.

3.2.2.4   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. 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

3.2.2.5   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.

3.2.3 Searching and Viewing CTR List

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

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

3.2.3.1 Searching CTR List Using Search Components

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

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

1. Navigate to the Currency Transaction Reports from LHS menu.
2. Click **Search and List.** The CTR List page is displayed. By default, Simple Search filters are displayed.

Figure 7: Currency Transaction Report Search View

3. Enter the simple search fields as explained in the following table.

Table 4: Simple Search

Field Name	Description
Created Date >=	Select a date using the calendar icon. CTR searches for created date greater than or equal to the entered date.
Created Date <=	Select a date using the calendar icon. CTR searches for created date lesser than or equal to the entered date.
Due Date <=	Select a date using the calendar icon. CTR searches for due date lesser than or equal to the entered date.
CTR Location State	Select the CTR Location state from the drop-down list.
Status	Select the required statuses from the options listed in the drop-down.
Person Involved TIN	Enter the Person Involved TIN details.
CTR Location	Select the required CTR location.
Owner	Select the required owner from the listed drop-down options.
CTR Location Country	Select the CTR Location Country from the drop-down list.
CTR Type	Select the required CTR type from the listed drop-down options.

Table 4: Simple Search

CTR Location State	Select the CTR Location state from the drop-down list.
CTR Focal Entity Type	Select the required CTR Focal Entity Type from the listed drop-down options.
Person Involved Name	Enter the Person Involved Name details.

4. Click **Go** to search for CTR based on the entered criteria.

5. To filter the CTR list using advanced search, click **Advanced Search**. The Advanced Search filters are displayed.

Figure 8: Currency Transaction Report Advanced Search View

6. Enter the advanced search fields as explained in the following table.

Table 5: Advanced Search

Field Name	Description
Type of Filing	Select the type of filing from the list.
Source	Enter the source details.
Last Action	Enter the last action taken.
CTR Focal Entity	Enter the CTR Focal entity details.
Domain	Select the required domain from the listed drop-down options.
Person Involved Account	Enter the Person Involved Account.
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.
Jurisdiction	Select the required jurisdiction from the options listed in the drop-down.
CTR Type	Select the type of CTR you want to search, that is, the threshold set used to generate the scenario which created the case. For example, GTO or Base Threshold set.

7. Click **Go** to search for CTR based on the entered criteria.

3.2.3.2 Searching Using Pre-defined Views

You can filter the CTR List using pre-defined views.

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

1. On the Search and List page, select any pre-defined views from the **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 the pagination options.

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

3.2.3.3 Currency Transaction Report Search and Views User Roles

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

Table 6: 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	
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	

3.3   Managing CTR Details

This section focuses on the following topics:

- CTR Context
- Transaction Summary
- Transactions
- Persons Involved
- Accounts
- Financial Institutions
- Audit
- Validation Results

3.3.1   CTR Context

The CTR Context section is available on the CTR Details page. CTR Context displays detailed information about a CTR. By default, CTR ID, Due Date, CTR Focal Entity, and Status details are displayed. Click **Expand** to expand the CTR Context to display the following details:

- CTR Title
- Owner
- Jurisdiction
- Business Domain
- Created Date
- Status
- Transaction Date
- Source
- CTR Focal Entity
- Due Date

- Alert Id

- Threshold Name

- Parent Financial Institution

- Type of Filing

- Filing Acknowledgment Date

- CTR Business Date

- Prior Report BSA ID

- Initial Validation Result

- BSA ID

3.3.2   Transaction Summary

The Transaction Summary tab displays summary information for all the transactions associated with a CTR. The fields appearing on the Transaction Summary tab show up under the element - `CurrencyTransactionActivity` in the xml format e-file.

. This tab provides the user a consolidated view of the values that the generated E-File will have for that CTR.

3.3.3   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. The CTR Transactions tab displays the details of all the individual transactions, and allows the user to add or remove the transactions from the CTR. If the user adds or removes transactions on the Transaction tab, the values on the 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 the Persons Involved, Accounts, and Financial Institution information of a CTR.

This section covers the following topics:

- Indicating Shared Branching

- Managing Transactions

- Viewing Foreign Cash In and Foreign Cash Out

3.3.3.1   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, follow these steps:

1. On the CTR Details page, click the **Transactions** tab. The Transaction Details page is displayed.

2. Under the Transaction section, select the **Includes Shared Branching Transaction** check box.

3.3.3.2   Managing Transactions

Use this section to add a new transaction to the report and modify and remove existing transactions.

Topics:

- Adding Transactions

- [Editing a Transaction](#)
- [Removing a Transaction](#)

3.3.3.2.1 Adding Transactions

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

1. On the CTR Details page, click the **Transactions** tab. The Transaction Details page is displayed.
2. Click **Add** to search and add a new transaction to the CTR. The Add Transaction window displays.

Figure 9: Add Transaction Window

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

Table 7: Add Transaction Field Description

Field	Description
Customer ID	Enter the Customer ID to search for accounts associated with the entered customer (in the owning role) and its related transactions.
Customer Name	Enter the name of the Customer to search for accounts associated with the entered customer (in the owning role) and its related transactions.
Transaction ID	Enter the Transaction ID in this field to search for associated accounts and related customer identifier. You can enter multiple Transaction IDs separated by a comma.
Account ID	Enter the Account ID in this filed to search for transactions associated with the entered account identifier.
TIN	Enter TIN to search for transactions where the conductor TIN matches the entered value along with the format. CTR also searches for transactions with non-null account where the TIN of a customer with the 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 >=	Enter the transaction date using the calendar icon. CTR searches for transactions with the transaction date greater than or equal to the entered date.
Transaction Date <=	Enter the transaction date field using the calendar icon. CTR searches for transactions with the 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 **Go** 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).

3.3.3.2.2 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.

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.
	• It is mandatory to enter comments if you are trying to modify the selected transaction.

3.3.3.2.3 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.

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

3.3.3.3 Viewing Foreign Cash In and Foreign Cash Out

This section provides information about Foreign Cash In and Foreign Cash Out such as Transaction ID, Account ID, Transaction Amount-out country, and so on.

3.3.4 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 the same or different involvement types. The information appearing on this tab is appearing under the element `Party` where sub element `ActivityPartyTypeCode` value is 23, 17, 58, or 50.

.

The following topics are covered in this section:

- Managing Persons Involved
- Managing Person Address
- Accounts Cash-in and Accounts Cash-out
- Managing Transactions
- Adding Comments
- Adding Attachments
- Removing Attachments
- Viewing Attachments

3.3.4.1 Managing Persons Involved

Use this section to add a new person involved, modify, and remove the existing person involved.

Topics:

- Adding Person Involved
- Editing Persons Involved Details
- Removing Persons Involved

3.3.4.1.1 Adding Person Involved

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

1. On the CTR Details page, click the **Persons Involved** tab. The Person Involved page is displayed.

2. Click **Add.** The Add Person Involved window displays. You can either search for an existing person or add a person manually.

Figure 10: Search for the Existing Person window

3. To add an existing person to the CTR, select **Search Existing Persons**. The search fields are displayed.

4. Enter the Person Name, TIN, Person ID, and TIN Type in the Search field to filter the person involved and click **Go**. The person list is displayed.

5. Select the required persons and click **Add to CTR**. The Person is added to the record. Or,

   To add a person manually to the CTR, select **Add Person manually**. The Add Person Manually fields are displayed.

Figure 11: Add Person Manually window

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

Table 8: Add Person Involved Field Descriptions

Field	Description
Last/Entity Name	Enter the Last/Entity Name.
First Name	Enter the First Name.
Middle Name	Enter the Middle Name.
Name Suffix	Enter the Name Suffix.
Alternate Name	Enter the Alternate Name
Gender	Select the Gender from the drop-down list.
Is Entity?	Specify whether it is an entity.
DOB	Enter the date of birth.
Occupation	Enter the Occupation.
NAICS Code	Select the NAICS Code from the drop-down list.
TIN	Enter the TIN.
TIN Type	Select the TIN type from the drop-down list.
ID	Enter the identification details.
ID Desc (Other)	Enter the identification details description if another.
ID Issuing State	Select the ID Issuing State from the drop-down list.
ID Issuing Country	Select the ID Issuing country from the drop-down list.
Email	Enter the email.
Phone Number	Enter the phone number.
Phone Ext	Enter the phone extension
Person Involved Type	Select the Person Involved Type from the drop-down list.
Transactions	Select the transaction from the drop-down list.
OR Transactions	Enter the transaction.

7. Click **Save**. A confirmation dialog displays and click **OK**. A new person involved is added to the list.

3.3.4.1.2   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.

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

3.3.4.1.3 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.

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

3.3.4.2 Managing Person Address

Use this section to add a new person's address, modify, and remove the existing person's address.

To add an address to the person involved, follow these steps:

1. On the Person Involved page, go to the Person Address section.

2. Click **Add**. The Add Person Address window is displayed.

3. Enter the required information and click **Save**. A confirmation message is displayed.

4. Click **OK**. The new address is added to the Person Address list.

5. To modify the existing address, select the required address from the list and click **Edit**. Modify the required information and click **Save**.

6. To remove the existing address, select the required address from the list and click **Remove**.

7. To add an address to the CTR for a Selected Person Involved. Click **Display Additional Addresses**. Display Additional Address window is displayed.

8. Select one or more addresses from the list to add to the current CTR, and click **Add to CTR**.

3.3.4.3 Accounts Cash-in and Accounts Cash-out

This section provides information about Account ID, Account name, type, TIN, and so on of the involved person.

3.3.4.4 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)

- 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). Tax ID being null or not null is not a factor in matching additional beneficiaries.

- For TI focus based on a Conductor ID and 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 is 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 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 with the tax ID in KDD_PERSON the application does not create additional records for potentially separate customer IDs. There is only one record created.

3.3.4.5 Managing Transaction

This section provides information about transactions associated with the person involved such as Involvement type, Transaction ID, Transaction Date, and so on.

3.3.4.5.1 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.

3.3.4.6 Adding Comments

Use this section to add comments to the selected person involved.

To add a comment to a Persons Involved record, follow these steps:

1. On the Persons Involved page, go to the Comments section.

2. Click **Add** to add a comment. The 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 comments to the selected Persons Involved record.

3.3.4.7 Adding Attachments

Use this section to add an attachment to the selected person involved.

To add an attachment to a Persons Involved record, follow these steps:

1. On the Persons Involved page, go to the Attachment section.
2. Click **Attachment** to add an attachment. The Add Attachment window displays.
3. Enter the comments in the Comment box.
4. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the selected persons involved record and the user returns to Add Attachments window.

> **NOTE**　　　You can attach only .text, .doc, and .xml files.

3.3.4.8 Removing Attachments

To remove attachments, follow these steps:

1. To remove attachment, go to the Attachment list and click **Attachment** link in the attachment column to view the required attachment. An Attachment List window displays.
2. Select the required attachment and click **Remove**. The Attachment page displays the updated list of attachments.

3.3.4.9 Viewing Attachments

To view the attachment, follow these steps:

1. Go to the Attachment list and click **Attachment** link in the attachment column. An Attachment List window displays.
2. Select the required attachment and click **Download**. The file downloads.
3. Click **Open** to view the attachment. You can also choose to **Save** the attachment in your local machine.

3.3.5 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.

3.3.6 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 on the Transaction FI page and the **Change Parent FI** option on the Parent FI page respectively. The information appearing on this tab will be part of Form 2A and 2B of the E-File.

This section covers the following topics:

- Changing Parent Financial Institution
- Transaction Financial Institution
- Editing Transaction Financial Institution

3.3.6.1 Changing Parent Financial Institution

To change the parent financial institution (Parent FI(2A)) information of a CTR, follow these steps:

1. On the CTR Details page, click **Financial Institutions.** The **Financial Institutions** page is displayed.

2. On the Parent FI(2A) section, click **Change Parent Financial Institutions**. The Change Parent FI window displays.

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

3. 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.

4. Click **Save.** The Parent Financial Institutions information is changed and displays the updated information.

3.3.6.2 Transaction Financial Institution

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

1. On the CTR Details page, click **Financial Institutions.** The **Financial Institutions** page is displayed.

2. On the **Financial Institutions** page, go to Transaction FI(2B) and select a record from the list of transaction financial institution records.

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

3. Click **Change Transaction FI** to change the reporting financial institution information. The Change Transaction FI window displays.

4. Select the required Financial Institution name from the drop-down list and enter comments in the Comments field.

5. Click **Save**. The updated Financial Institution list page displays.

3.3.6.3 Editing Transaction Financial Institution

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

1. On the **Financial Institutions** page, go to Transaction FI(2B) and select a record from the list of transaction financial institution records.

2. Click **Edit**. The Edit FI window is displayed.

3. Modify the required information and click **Save**.

3.3.7 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.

This section covers the following topics:

- Adding Comments

- Adding Attachments to CTR
- Removing Attachments from CTR
- Viewing Attachments of CTR

3.3.7.1 Adding Comments

Use this section to add comments to the evidence record.

To add a comment to an evidence record, follow these steps:

1. On the Evidence page, click **Add** to add a comment. The Add Comment window displays.
2. Enter comments in the comments field and click **Save**. A confirmation window displays.
3. Click **OK** to confirm the addition of comments to the selected evidence record.

3.3.7.2 Adding Attachments to CTR

Use this section to add an attachment for the evidence record.

To add an attachment to CTR, follow these steps:

1. On the Evidence page, click **Attachment** to add an attachment. The Add Attachment window displays.
2. Enter the comments in the Comment box.
3. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the evidence record and the user returns to the Add Attachments window.

> | **NOTE** | You can attach only .text, .doc, and .xml files.

3.3.7.3 Removing Attachments from CTR

To remove an attachment from CTR, follow these steps:

1. To remove attachment, go to the Attachment list and click **Attachment** link in the attachment column to view the required attachment. An Attachment List window displays.
2. Select the required attachment and click **Remove**. The Attachment page displays the updated list of attachments.

3.3.7.4 Viewing Attachments of CTR

To view an attachment of CTR, follow these steps:

1. To view the attachment, go to the Attachment list and click Attachment link in the attachment column. An Attachment List window displays.
2. Select the required attachment and click **Download**. The file downloads.
3. Click **Open** to view the attachment. You can also choose to **Save** the attachment in your local machine.

3.3.8 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 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.

3.3.8.1 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

3.3.9 Validation Results

The purpose of the Validation Results section is to run validation checks against FinCEN error codes.

The validation Results page has the following sections:

- **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 that 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 the 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.

- XSD Validation Errors: 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.

- **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. 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.

3.4 Performing Actions on CTRs

Use this section to perform various actions on CTRs.

This section covers the following topics:

- Acting on CTR
- Backfiling a CTR
- Batch Backfiling of Multiple CTRs
- Sending an Email
- Batch Approving CTRs
- Validating CTR

3.4.1 Acting on CTR

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. The Action window is displayed.
   (Or)

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

Actions

Selected CTR ID:	146
Select Action:	*Select a value* ▼
Assign To:	*Select a value* ▼
Due Date:	*MM/dd/yyyy* 📅
Standard Comments:	☰

Figure 12: Actions Window

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

Table 9: 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 to take the following actions on CTRs depending on the user role and the current status: • **Reassign** - You can reassign a CTR in the Open status. • **Submit for review** - You can submit a CTR for review in an Open. Once you take this action the status changes to In Review or Rework. • **Rework**-You can submit a CTR for rework in Submit for review, In Review, In QA Review statuses. • **Reopen** - You can reopen a CTR in Closed - Exempted, Closed - Reject statuses. • **Correct/Amend CTR** - You can take correct/amend CTR action when a CTR is in Filed - Success Correct, Filed - Success with errors • **Close- Exempt** - You can take close - exempt action on a CTR when it is in Open, In Review, In QA Review, also through Batch. • **Close- Reject** - You can take close - reject action on a CTR when it is in Open, In Review, In QA Review. **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.
Assign To	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: • Reassign • Submit for review • Reopen • Rework • Correct/amend CTR 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. If the user selects an assignee while taking an action other than Reassign, two actions are recorded. On the Audit tab, reassigned will be recorded as the second action.

Table 9: Action Window Field Descriptions

Due Date	Enter the due date for the selected CTRs. This field is enabled only if a user selects the Reopen option in the Select Action field. On saving the action, the user selected value in this field will be updated as the due date of the CTR.
Comments	Enter comments in the field. This field is mandatory if a user selects any of the following actions: • Reopen • Closed-Rejected • Closed-Exempted • Rework • Correct/Amend CTR
Standard Comments	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.

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 the comments in the Comment box.

6. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the evidence record and the user returns to the Add Attachments window.

> **NOTE**   You can attach only .text, .doc, and .xml files.

3.4.2   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.

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

Table 10: 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.

Table 10: Action Window Field Descriptions

Select Action	Select Reopen -FinCEN Directed Backfiling from the Select Action drop-down list.
Assign To	Select the user to whom you are assigning the Reopened CTR from the Assign To drop-down list.
Due Date	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.
Comments	Enter comments in the field. This field is mandatory.
Standard Comments	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.

4. Click **Save**. The selected CTR is set to Reopen status, with the Filing Type as 'C' for FinCEN Directed Backfiling.

5. If you click **Save and Attach**, a confirmation window appears. Click **OK.** An Actions window displays.

6. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the evidence record and the user returns to the Add Attachments window.

> **NOTE**   You can attach only .text, .doc, and .xml files.

The CTR is reopened for amendment. After amendment, you must either refile or backfile the CTR as required.

3.4.3   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.

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

Table 11: 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	Select Reopen -FinCEN Directed Backfiling from the Select Action drop-down list.
Assign To	Select the user to whom you are assigning the Reopened CTR from the Assign To drop-down list.

Due Date	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.
Comments	Enter comments in the field. This field is mandatory.
Standard Comments	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.

4. Click **Save**. The selected CTRs are set to Reopen status, with the Filing Type as 'C' for FinCEN Directed Backfiling.

5. If you click **Save and Attach**, a confirmation window appears. Click **OK.** An Actions window displays.

6. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the evidence record and the user returns to the Add Attachments window.

3.4.4   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 the CTR Details page.

Figure 13: E-Mail Window

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

Table 12: E-Mail Window Field Descriptions

Field	Description

Table 12: E-Mail Window Field Descriptions

Selected IDs	This field pre-populates the CTR IDs that were selected for sending e-mails. 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 **Send**. An e-mail is sent to the specified recipients with the entered details.

3.4.5 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. On the Search and List page. 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.

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

2. 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.

3.4.6 Validating CTR

Use this action to validate a selected CTR.

To validate CTR, follow these steps:

1. On the CTR Details page, click **Validate CTR**. An error message is displayed.
2. Go through the error message and act accordingly to fix the issue.

3.5 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. On the Currency Transaction Reporting LHS menu, select **Create New Report**. The Create New Report window displays.

Figure 14: Create a New Report

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

Table 13: CTR Details

Field Name	Description
CTR Title	Enter the CTR Title in this field.
CTR Focal Entity Type	Select a CTR Focal Entity Type as Conductor, Customer, or TIN.
Type of Filing	Select a type of filing such as Initial report, Correct/amend prior report, or FinCEN directed Backfiling.
Domain	Select the required domain from the listed drop-down options.
CTR Focal Entity	Enter the CTR Focal Entity in this field.
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.
Jurisdiction	Select a jurisdiction 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 14: Search Transactions

Field Name	Description

Table 14: Search Transactions

Customer ID	Enter the Customer ID in this field to search for accounts associated with the entered customer in the controlling role and search for transactions that 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's TIN matches the entered value. CTR also searches for transactions with non-null account where the TIN of the customer with a 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 >=	Select a date using the calendar icon. CTR searches for transactions with the transaction date greater than or equal to the entered date.
Transaction Date <=	Select a date using the calendar icon. CTR searches for transactions with the 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 **Go** 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 from the list 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 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 Managing E-File

This chapter describes the workflow of an 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

4.1   E-File Workflow

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

E-File Workflow

Included CTRs flipped to status of Filed

E-file acceptance actions require user to add the BSA Tracking ID

User takes action to Generate E-File

E-File Generated

User updates with action E-File Transmitted

User updates with action E-File Transmitted w/Warnings

User updates with action E-File Rejected

Filed - Transmitted

Filed – Transmitted w/ Warnings

Filed - Rejected

User takes action Regenerate E-File

User takes action Acknowledgment Files Received

E-File Regenerated

User takes action Acknowledgment Files Received

Filed - Ack Received

System action is triggered system parses the acknowledgement file

Based on returned error codes individual CTRs updated to

Filed – Success
Filed – Success w /Errors
Filed – Rejected
And BSA ID is recorded on the CTR

Filed - Ack Processed

Figure 15: E-File Workflow

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

Table 15: 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

4.2 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

4.2.1 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, follow these steps:

1. Navigate to the Currency Transaction Reports LHS menu.

2. Click the **E-File** sub-menu and then select **Search and List** in the LHS menu. The Search and List page displays.

4.2.2 Components of Search and List

The Search and List page has the following components:

- Search Components
- Actions
- Column Headings
- Pagination

4.2.2.1 Search Components

This section allows you to filter the E-File List using the search components. For more information, see Searching and Viewing Search and List.

4.2.2.2 Actions

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

- **Export to Excel and CSV**: This option allows you to export the Search and List records to a spreadsheet.

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 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. 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

- Created By

- Filed Date

- Filed By

- Acknowledgment Date

- Acknowledged By

- CTR Count

- BSA E-File Track ID

- E-File

4.2.2.4 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.

4.2.3 Searching and Viewing Search and List

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

To access Search and List, follow these steps:

1. Navigate to the Currency Transaction Reports LHS menu.

2. Click the **E-File** sub-menu and then select **Search and List** in the LHS menu. The Search and List page displays

This section details about following topics:

- Searching Using Search Components

- Searching Using Pre-defined Views

4.2.3.1 Searching Using Search Components

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

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

1. On the Search and List page, click **Search**. The Search Components page displays.

Figure 16: Search and List Search Components

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

Table 16: 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.
Filed Date >=	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. CTR searches for the E-File with filed date greater than or equal to the entered date.
Filed Date <=	Enter a date range to search for E-Files 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. CTR searches for the E-File with filed date lesser than or equal to the entered date.
Status	Select the required statuses from the options listed in the drop-down. The options listed in the status drop-down are as follows: ● E-File Generated ● Filed - Transmitted ● Filed - Transmitted w/Warnings ● Filed - Rejected ● Filed - Ack Received ● Filed - Ack Processed ● E-File Regenerated
Created Date <=	Enter the date range for when the E-File was generated. This field defaults to the current date. CTR searches for an E-File with a created date lesser than or equal to the entered date.
Created Date >=	Enter the date range for when the E-File was generated. This field defaults to the current date. CTR searches for an E-File with a created date more than or equal to the entered date.
Acknowledgment Date >=	Enter the date range for acknowledgment from FinCEN that was received. This field searches for E-File based on the action date of user action *Ack Rcvd.* CTR searches for an E-File with an Acknowledgment date more than or equal to the entered date.
Acknowledgment Date <=	Enter the date range for acknowledgment from FinCEN that was received. This field searches for an E-File based on action date for user action of *Ack Rcvd*. CTR searches for an E-File with an Acknowledgment date lesser than or equal to the entered date.

Table 16: E-File Search Field Descriptions

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.
Or Search by E-File ID	Search by E-File ID is mutually exclusive of other search filters. Searching by ID will ignore other filters.

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

4.2.3.2 Searching Using Pre-defined Views

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

To filter E-Files using pre-defined views, follow these steps:

1. Go to the Search and List page.

2. Select any pre-defined views from the **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 their description.

Table 17: 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 default search criteria. If there are more than 10 E-Files for a search criterion, the CTR will automatically display pagination options.

4.3 Managing E-File Details Page

Topics:

- Accessing E-File Details Page
- E-File Details Section
- E-File CTR Tab
- E-File Error Tab
- Evidence Tab
- Audit Tab
- Sending an E-mail
- Downloading an E-File
- Acting on E-File

4.3.1 Accessing E-File Details Page

An E-File Details page displays detailed information about an E-File.

To access the E-File page, follow these steps:

1. Navigate to the Currency Transaction Reports LHS menu.

2. Click the **E-File** sub-menu and then select **Search and List** in the LHS menu. The Search and List page displays.

3. Click the required **E-File ID**. The E-File Details page is displayed.

4.3.2 E-File Details Section

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 **Expand** 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

4.3.3 E-File CTR 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 CTR Summary
- E-File CTR Acknowledgment Summary
- Included CTRs

4.3.3.1 E-File CTR 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

4.3.3.2 E-File CTR 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

4.3.3.3 Included CTRs

This section provides the list of CTRs included in the selected E-File. Click **CTR ID** to view the details of the selected currency transaction report.

4.3.4 E-File Error Tab

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

The E-File Error Tab displays the following information:

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

4.3.4.1 E-File Fatal & Validation Error(s)

This section displays information about E-File Fatal and Validation errors. Fatal and Validation errors result 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.

4.3.4.2 E-File CTR 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 a subset of fields from the 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.

4.3.5 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 Tabs has the following sections:

- Comments
- Adding Attachments
- Removing Attachments
- Viewing Attachments

4.3.5.1 Adding Comments

Use this section to add comments to the evidence record.

To add a comment to an E-File, follow these steps:

1. On the Evidence page, click **Add** to add a comment. The Add Comment window displays.
2. Enter comments in the comments field and click **Save**. A confirmation window displays.
3. Click **OK** to confirm the addition of comments to the selected evidence record.

4.3.5.2 Adding Attachments

Use this section to add an attachment for the evidence record.

To add an attachment to an E-File, follow these steps:

1. On the Evidence page, click **Attachment** to add an attachment. The Add Attachment window displays.
2. Enter the comments in the Comment box.
3. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the evidence record and the user returns to the Add Attachments window.

> **NOTE**   You can attach only .text, .doc, and .xml files.

4.3.5.3 Removing Attachments

To remove an attachment from an E-File, follow these steps:

1. To remove attachment, go to the Attachment list and click **Attachment** link in the attachment column to view the required attachment. An Attachment List window displays.
2. Select the required attachment and click **Remove**. The Attachment page displays the updated list of attachments.

4.3.5.4 Viewing Attachments

To view an attachment of an E-File, follow these steps:

1. To view the attachment, go to the Attachment list and click Attachment link in the attachment column. An Attachment List window displays.
2. Select the required attachment and click **Download**. The file downloads.
3. Click **Open** to view the attachment. You can also choose to **Save** the attachment in your local machine.

4.3.6 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.

You can also download the attachments that are listed.

- **Actions Taken:** The Actions Taken section displays details of all actions that have been taken on this E-File. The following details display:
  - Date and Time
  - Action
  - By
  - Status
  - Comments
  - Attachment Name
  - Attachment

4.3.7 Sending an E-mail

To send an E-mail, follow these steps:

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

Figure 17: E-File E-mail Window

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

Table 18: E-File E-Mail Window Field Descriptions

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

Table 18: E-File E-Mail Window Field Descriptions

Message	Enter a message for the email recipients.
Standard Comments	Select the standard comments from the list.
Comments	Enter comments in this field.

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

4.3.8 Downloading an E-File

To download an E-File, follow these steps:

1. On 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 on your local machine.

> **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.

4.3.9 Acting on E-File

This section covers the following topics:

- 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

4.3.9.1 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 you are using SDTM batch e-file submission.

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

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

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

Table 19: E-File E-Transmitted Window Field Descriptions

Field	Description
E-File ID	This field pre-populates the selected E-File ID. This field is not editable.
BSA Tracking ID	Enter the BSA Tracking ID exactly as it appears on the BSA filing website.

Table 19: E-File E-Transmitted Window Field Descriptions

Standard Comments	Select the standard comments from the list.
Comments	Enter comments in this field.

3. Click **Save**. A confirmation window appears.

4. Click **OK**. The status of the E-File is changed to E-File Transmitted.

5. If you click **Save and Attach**, a confirmation window appears. Click **OK**. An Actions window displays.

6. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the record.

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

4.3.9.2   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.

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

Table 20: E-Transmitted w/Warnings Window Field Descriptions

Field	Description
E-File ID	This field pre-populates the selected E-File ID. This field is not editable.
BSA Tracking ID	Enter the BSA Tracking ID exactly as it appears on the BSA filing website.
Standard Comments	Select the standard comments from the list.
Comments	Enter comments in this field.

3. Click **Save**. A confirmation window appears.

4. Click **OK**. The status of the E-File is changed to E-File Transmitted w/Warnings.

5. If you click **Save and Attach**, a confirmation window appears. Click **OK**. An Actions window displays.

6. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the record.

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

4.3.9.3   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.
2. Enter the required fields as explained in the following table:

Table 21: E-File Rejected Window Field Descriptions

Field	Description
E-File ID	This field pre-populates the selected E-File ID. This field is not editable.
BSA Tracking ID	Enter the BSA Tracking ID exactly as it appears on the BSA filing website.
Standard Comments	Select the standard comments from the list.
Comments	Enter comments in this field.

3. Click **Save**. A confirmation window appears.
4. Click **OK**. The status of the E-File is changed to E-File Rejected.
5. If you click **Save and Attach**, a confirmation window appears. Click **OK**. An Actions window displays.
6. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the record.
7. Click **OK**. The status of E-File is changed to Filed - E-File Rejected.

4.3.9.4 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 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.
2. Enter the required fields as explained in the following table.

Table 22: Acknowledgment Received Window Field Descriptions

Field	Description
E-File ID	This field pre-populates the selected E-File ID. This field is not editable.
Standard Comments	Select the standard comments from the list.
Comments	Enter comments in this field.

3. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the record.
4. Click **OK**. The status of the 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.

4.3.9.5 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.

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.

4.4   Creating an E-File
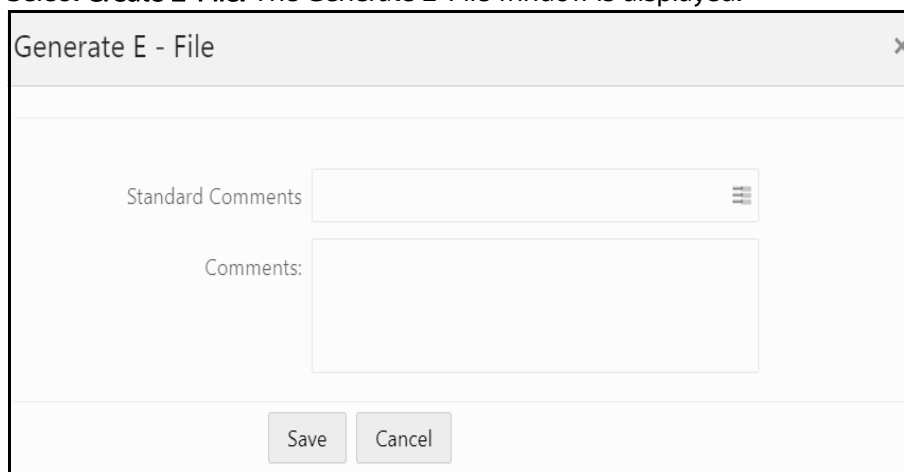
To create an E-File, follow these steps:

1. Select **Create E-File** from the E-File LHS menu. The Create E-File page is displayed.

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.

4. In the search section, enter the Created Date From and Created Date To range or Due Date From and Due Date To 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 on the Search and List page.

6. Select **Create E-File.** The Generate E-File window is displayed.

Figure 18: Generate E-File Window

7. Select the standard comments from the Standard Comments box.

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

4.4.0.1   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.*

4.5   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*.

5   Managing Exemptions

This chapter outlines 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 Exemption List
- Managing Exemption Details Page
- Creating an Exemption

5.1 Exemption Workflow

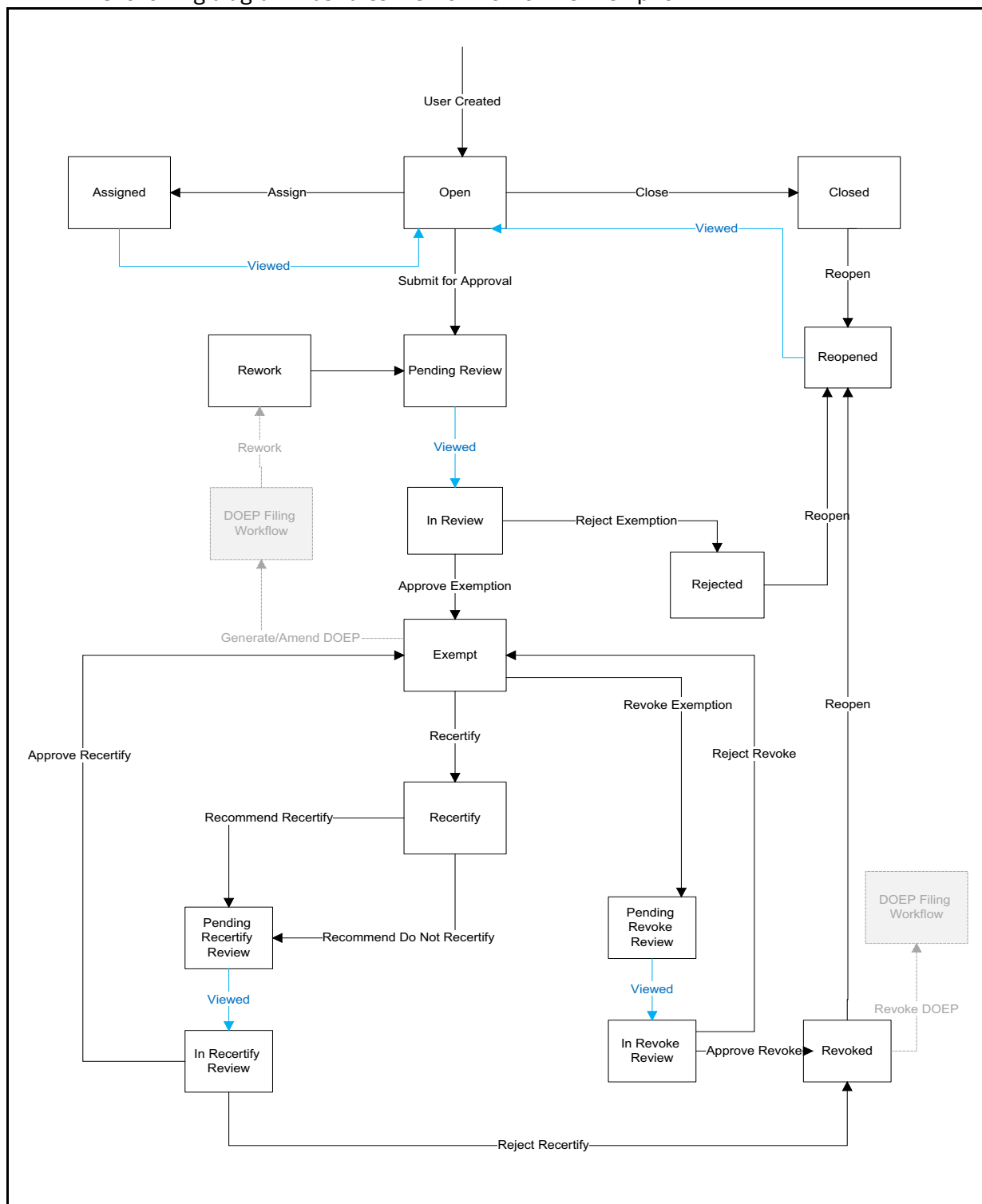The following diagram illustrates the workflow of the Exemption:

Figure 19: Exemption Workflow

5.1.1 Life Cycle of an Exemption

The following sections describe the life cycle of an Exemption.

5.1.1.1 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.

5.1.1.2 Closed

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

5.1.1.3 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

5.1.1.4 In-review

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

5.1.1.5 Rejected

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

5.1.1.6 Reopen

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

5.1.1.7 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.

5.1.1.8 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.

5.1.1.9 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 the current day + 320 calendar days (45 days prior to the 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) 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.

5.1.1.10 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

5.1.1.11 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.

5.1.1.12 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 that 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.

- When the Exemptions that 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.

5.1.1.13 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 that 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's 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.

5.1.1.14 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 that is in Pending Recertify Review, the status changes to In Recertify Review.

- A supervisor can take Approve Recertify action which changes the Exemption status to Exempt and can extend the expiry date to next one year from the date of Approve Recertify action.

5.1.1.15 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.

5.1.1.16 Pending Recertify Review

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

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.

5.2 Managing Exemption List

This chapter discusses the following topics:

- Accessing Exemption List

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

5.2.1 Accessing Exemption List

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

To access the Exemption List, follow these steps:

1. On the Currency Transaction Reporting LHS menu, click **Exemptions**. The Exemptions sub menu is displayed.

2. Select **Search and List**. The Exemption List page is displayed.

Figure 20. Exemption Search and List page

5.2.2 Components of Exemption List Page

The Exemption List page is composed of the following components:

- Search Components
- Check Boxes
- Actions
- Column Headings

5.2.2.1 Search Components

This section allows you to filter the Exemption List using the search components. For more information, see Searching and Viewing Search and List.

5.2.2.2 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 the Search and List page and take action.

5.2.2.3 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.

5.2.2.4 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. 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 Type
- Entity Name
- Entity ID
- TIN
- Exemption Date
- Recertification Start Date
- Last Certified Date
- Expire Date
- Exemption Status
- DOEP Status
- Owner

5.2.3 Searching and Viewing Search and List

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

This section details the following topics:

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

5.2.3.1 Searching Exemptions Using Simple Search/Advanced Components

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

To search Exemptions using simple search components, follow these steps:

1. Go to the **Search and List** page. Click **Search/Advanced Search**. The search components page displays.

Figure 21: Search Fields

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

Table 23: Simple Search Field Descriptions

Field	Description
Exemption ID	Select the exemption ID from the drop-down list.
Entity Type	Select the entity type from the drop-down list.
Entity Name	Enter the entity name.
Exemption Status	Select the exemption status.
Entity Identifier	Enter the identifier.
Exemption Class	Select the exemption class.
DOEP Status	Select the DOEP status.

3. Click **Go**. The filtered list is displayed.

Figure 22: Search and List Search Components

Figure 23: Advanced Search fields

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

Table 24: Advanced Search Field Descriptions

Field	Description
Exemption ID	Select the exemption ID from the drop-down list.

Table 24: Advanced Search Field Descriptions

Entity Type	Select the entity type from the drop-down list.
TIN Format	Select the TIN format from the drop-down list.
Expiration Date >=	Select the expiration date from the calendar. The date greater than or equal to the entered date.
Expiration Date <=	Select the expiration date from the calendar. The date lesser than or equal to the entered date.
Entity Name	Enter the entity name.
Jurisdiction	Select the jurisdiction from the drop-down list.
Last Renewal Date >=	Select the last renewal date from the calendar. The date greater than or equal to the entered date.
Last Renewal Date <=	Select the last renewal date from the calendar. The date lesser than or equal to the entered date.
Exemption Status	Select the exemption status.
Entity Identifier	Enter the identifier.
Exemption Class	Select the exemption class.
DOEP Status	Select the DOEP status.
DOEP Due Date <=	Select the DOEP due date from the calendar. The date lesser than or equal to the entered date.
DOEP Due Date >=	Select the DOEP due date from the calendar. The date greater than or equal to the entered date.
Initiate Recertify Start Date >=	Select the Initiate Recertify Start Date from the calendar. The date greater than or equal to the entered date.
Initiate Recertify Start Date <=	Select the Initiate Recertify Start Date from the calendar. The date lesser than or equal to the entered date.
Exemption Date >=	Select the Initiate exemption date from the calendar. The date greater than or equal to the entered date.
Exemption Start Date <=	Select the Initiate exemption Start Date from the calendar. The date lesser than or equal to the entered date.
DOEP BSA ID	Enter the DOEP BSA ID.
Revoked Date >=	Select the revoked date from the calendar. The date greater than or equal to the entered date.
Revoked Date <=	Select the revoked date from the calendar. The date lesser than or equal to the entered date.

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

5.2.3.2 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. Go to the Search and List page.

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 the pagination options.

Views are pre-defined searches available to a user with access to the 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 25: Pre-Defined Exemption Views Table

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

In Revoke Review	Displays all Exemptions that are owned by the current user and whose status is in In Revoke Review	All Exemptions that are in In Revoke Review status
In Recertify Review	Displays all Exemptions that are owned by the current user and whose status is in In Recertify Review	Displays all Exemptions that are in In Recertify Review status
DOEP Not Filed Exemptions	All Exemptions that are owned by the current user and where the DOEP Status is 'DOEP Not Required'	All Exemptions that are owned by the current user and where the DOEP Status is DOEP Not Required
My Filed DOEPs	All Exemptions that 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 that 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 that 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 that are owned by the current user and where the DOEP Status in (DOEP Filed - Rejected, Amended DOEP Filed – Rejected, Revoked DOEP Filed – Rejected)

5.3   Managing Exemption Details Page

This section focuses on the following topics:

- Exemption Details
- Exemption Details Tabs
- Performing Actions on Exemptions
- E-mailing an Exemption
- Editing Exemption Details
- Creating Exemption on Customer/Account
- Creating Exemption on TIN

5.3.1   Exemption Details

The Exemption Details section displays detailed information about an Exemption. By default, Exemption ID, Expire Date, and Entity Name details are displayed. Click **Expand** the Exemption Details to display the following details:

- Exemption ID
- Entity Name
- Entity ID
- Recertification Start Date
- Last Recertified Date
- TIN
- Exempt Class
- Exemption status
- Exempt Date: An Exempt Date is the date on which the entity is exempted for filing the 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
- DOEP Status
- DOEP Subject
- DOEP Due Date
- DOEP BSA ID
- Prior DOEP BSA ID

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

Table 26: Exemption Details

Field	Description
Exemption ID	The ID generated for the Exemption.
Entity Name	Entity type concatenated with the 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	The expiry date of Exemption.
Exemption Status	Exemption Status.
Recertification Start Date	Recertification Start Date.
Last Recertified Date	Last Recertified Date.
Exempt Class	Class of Exempt.
Jurisdiction	Jurisdiction.
Business Domain	Business Domain.
DOEP Status	DOEP Status.
DOEP Subject	DOEP Subject.
DOEP Due Date	DOEP Due Date.
DOEP BSA ID	DOEP BSA ID.
Prior DOEP BSA ID	Prior DOEP BSA ID.
Owner	Name of Owner
Initiate Recert Date	Initiate Recertify start date is the date by which the recertification process for the entity's Exemption renewal must begin.
Last Recertify Date	The date on which the Recertify was last renewed. This field is blank for Recertify which is newly created or Recertify which did not go through a single recertify cycle.
Exemption Status	The current status of the Exemption.
DOEP Status	The current status of the DOEP.

5.3.2 Exemption Details Tabs

The Exemption Details page displays the following Exemption Details tabs:

- Transactions
- Related CTRs
- Accounts
- Customer
- Evidence
- Audit
- Validation Results

5.3.2.1 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 appear 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.

To filter the transaction details, select Lookback Period and Accounts.

The following field details are displayed.

- Account ID
- Transaction Reference ID
- Transaction Date
- Transaction Amount - Base
- Conductor Name
- Conductor ID
- Conductor ID Type
- Location ID
- Exempt Flag
- Business Reason

5.3.2.2 Related CTRs

The Related CTRs tab displays all Currency Transaction Reports and Audit Currency Transaction Reports where the exempt entity appears as an 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 exists 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.

To filter the related CTR details, select Lookback Period.

The following field details are displayed:

- 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 the business domain and jurisdiction similar to the CTR ID. A user with no access to the business domain and jurisdiction of the selected Currency Transaction Report cannot view the hyperlink on the CTR IDs in the Related CTRs list page.

5.3.2.3 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 with 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 on the Account List page.

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

- Person Involved Details
- Attachment

- Comments

The Person Involved Details menu option displays the following fields:

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

Topics:

- Adding Comments to an Account
- Adding Attachments to an Account Record
- Removing Attachments to an Account Record
- Viewing Attachments of an Account Record
- Excluding Accounts from Exemption
- Including Accounts for Exemption

5.3.2.3.1 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.
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.

5.3.2.3.2 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. Click **Attachment** to add an attachment. The Add Attachment window displays.

4. Enter the comments in the Comment box.

5. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the selected persons involved record and the user returns to Add Attachments window.

> **NOTE**   You can attach only .text, .doc, and .xml files.

5.3.2.3.3 Removing Attachments to an Account Record

To remove an attachment from the an account record, follow these steps:

1. To remove attachment, go to the Attachment list and click **Attachment** link in the attachment column to view the required attachment. An Attachment List window displays.

2. Select the required attachment and click **Remove**. The Attachment page displays the updated list of attachments.

5.3.2.3.4 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.

5.3.2.3.5 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 exluded accounts.*

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

5.3.2.3.6   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.

5.3.2.4   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 sections:

- Customer
- Address
- Phone
- Email
- Accounts
- Adding Comments to Customer

5.3.2.4.1   Customer

This section displays the customer Details.

Select the required customer from the list to view the following details.

- 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 customers 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
- Suffix Name
- Alternate 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

- Registration Type

- ID Issuing Country

- TIN concatenate format code + Customer Tax Identifier

- Status

- Affiliated Institution

5.3.2.4.1.1 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.

Figure 24: Edit Customer Details Window

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

5.3.2.4.2 Address

Use this section to add a new customer address, and modify and remove existing customer address.

To add the customer's address, follow these steps:

1. On the Customer page, go to the Address section.

2. Click **Add**. The Add Customer Address window is displayed.

3. Enter the required information and click **Save**. A confirmation message is displayed.

4. Click **OK**. The new address is added to the Customer Address list.

5. To modify the existing address, select the required address from the list and click **Edit**. Modify the required information and click **Save**.

6. To remove the existing address, select the required address from the list and click **Remove**.

5.3.2.4.3 Phone

Use this section to add a new customer phone and modify and remove an existing customer phone.

To add a customer phone, follow these steps:

1. On the Customer page, go to the Phone section.

2. Click **Add**. The Add Customer Phone window is displayed.

3. Enter the required information and click **Save**. A confirmation message is displayed.

4. Click **OK**. The new phone is added to the Customer phone list.

5. To modify the existing phone, select the required phone from the list and click **Edit**. Modify the required information and click **Save**.

6. To remove the existing phone, select the required phone from the list and click **Remove**.

5.3.2.4.4 Email

Use this section to add a new customer email and modify and remove existing customer email.

To add customer email, follow these steps:

1. On the Customer page, go to the Email section.

2. Click **Add**. The Add Email window is displayed.

3. Enter the required information and click **Save**. A confirmation message is displayed.

4. Click **OK**. The new email is added to the Customer email list.

5. To modify the existing email, select the required email from the list and click **Edit**. Modify the required information and click **Save**.

6. To remove the existing email, select the required email from the list and click **Remove**.

5.3.2.4.5 Accounts

Use this section to view all the accounts that are mapped to the selected Customer ID where a customer has owning role.

5.3.2.4.6 Adding Comments to Customer

Use this section to add comments to the customer record.

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

1. On the Customer page, go to the Comments section and click **Add** to add a comment. The Add Comment window displays.

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

3. Click **OK** to confirm the addition of comments to the selected customer record.

5.3.2.4.7 Adding, Removing, and Viewing Attachments

Use this section to add an attachment for the customer record. You can also remove existing attachment from the record.

To add an attachment to a customer record, follow these steps:

1. On the Customer page, click **Attachment** to add an attachment. The Add Attachment window displays.

2. Enter the comments in the Comment box.

3. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the customer record and the user returns to the Add Attachments window.

> **NOTE**   You can attach only .text, .doc, and .xml files.

4. To remove an attachment, go to the Attachment list and click the Attachment link in the attachment column. An Attachment List window displays.

5. Select the required attachment and click **Remove**. The Attachment page displays the updated list of attachments.

6. To view the attachment, go to the Attachment list and click the Attachment link in the attachment column. An Attachment List window displays.

7. Select the required attachment and click **Download**. The file downloads.

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

5.3.2.5 Evidence

The Evidence tab displays the comments and attachments associated with the Exemption. It allows a user to add comments and documents. The records are displayed in reverse chronological order.

The Evidence Tabs has the following sections:

- Adding Comments to Exemption
- Adding Attachments to Exemption
- Removing an Attachment from Exemption
- Viewing an Attachment in Exemption

5.3.2.5.1 Adding Comments to Exemption

Use this section to add comments to the evidence record.

To add a comment to an evidence record, follow these steps:

1. On the Evidence page, click **Add** to add a comment. The Add Comment window displays.

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

3. Click **OK** to confirm the addition of comments to the selected evidence record.

5.3.2.5.2 Adding Attachments to Exemption

Use this section to add an attachment for the evidence record.

To add an attachment to an evidence record, follow these steps:

1. On the Evidence page, click **Attachment** to add an attachment. The Add Attachment window displays.

2. Enter the comments in the Comment box.

3. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the evidence record and the user returns to the Add Attachments window.

> **NOTE**   You can attach only .text, .doc, and .xml files.

5.3.2.5.3   Removing an Attachment from Exemption

To remove an attachment from exemption, follow these steps:

1. To remove the attachment, go to the Attachment list and click the Attachment link in the attachment column to view the required attachment. An Attachment List window displays.

2. Select the required attachment and click **Remove**. The Attachment page displays the updated list of attachments.

5.3.2.5.4   Viewing an Attachment in Exemption

To view an attachment in exemption, follow these steps

1. To view the attachment, go to the Attachment list and click the Attachment link in the attachment column. An Attachment List window displays.

2. Select the required attachment and click **Download**. The file downloads.

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

5.3.2.6   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 acknowledgment.

5.3.2.7   Validation Results

The Validation Results tab displays the following validation details.

- Validation Errors
- Validation Warnings
- XSD Validation Errors
- FinCEN Ack-Primary Errors
- FinCEN Ack-Secondary Errors

5.4 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 25: Actions Window

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

Table 27: 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 27: Exemptions Action Window Field Description

Select Action	The action allows you to take the following actions on Exemptions depending upon the user role and the current status.
	The following Actions are available for the Exemption Supervisor Role:
	• Reassign
	• Submit for Approval
	• Close
	• Recommend Recertify
	• Recommend Do Not Recertify
	• Approve Recertify
	• Reject Recertify
	• Approve Exemption
	• Reject Exemption
	• Revoke Exemption
	• Approve Revoke
	• Reject Revoke
	• Generate DOEP
	• Recertify
	• Reopen
	The following Actions are available for the Exemption Analyst Role:
	• Reassign
	• Submit for Approval
	• Close
	• Recommend Recertify
	• Recommend Do Not Recertify
	• Recertify
	• Reopen
	• Revoke Exemption
Assign To	This option is a single selectable drop-down field displaying the users to whom the Exemption can be assigned to. This field is enabled only when a user selects any of the following actions in the Select action field:
	• Reassign
	• Submit for approval
	• Recommend Recertify
	• Recommend Do Not Recertify
	• Revoke Exemption
	• Reopen
	• Recertify
Standard Comments	Select the standard comments from the list.
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.

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

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

Table 28: Exemption E-mail Window Field Descriptions

Field	Description
Selected IDs	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 is 150 characters.
Message	Enter the message for the email recipients.
Standard Comments	Select the standard comments in this field.
Comments	Enter comments in this field.

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

5.5 Creating an Exemption

A user can designate a particular account or customer as an Exempt Person from filing the 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.

This section covers the following topics:

- Creating Exemption on Customer/Account
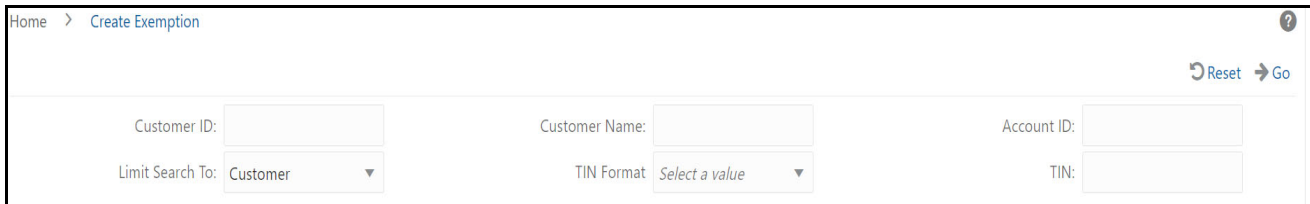- Creating Exemption on TIN

5.5.1 Creating Exemption on Customer/Account

You can create Exemptions either on a customer or on an account through the CTR.

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

1. Select Create Exemptions from the Exemptions LHS menu. The Create Exemption page is displayed.

Figure 26: Create Exemption Search Page

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

Table 29: 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.
TIN Format	Select any TIN format from the following options: ● EIN ● Foreign ● ITIN ● SSN ● Tax ID **Note:** TIN Format, TIN, and Limit Search To fields are dependent on each other while performing search. When searching through Tax Identifier, the TIN Format, TIN and Limit Search To fields are mandatory.
TIN	Enter the TIN Identifier in this field along with Limit Search To and TIN Format when performing a Tax Identifier search. This field supports comma separated search with a maximum of 50 characters.

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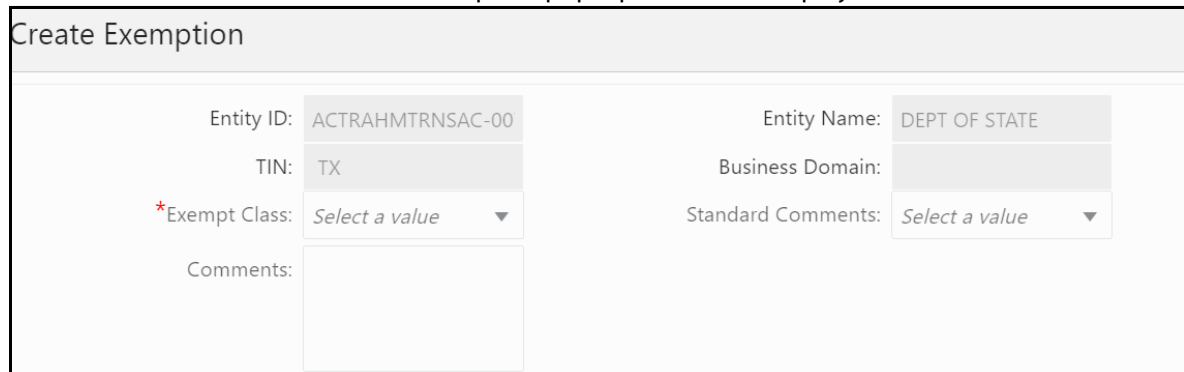
    Or

    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 get 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.

Create Exemption

Entity ID:	ACTRAHMTRNSAC-00	Entity Name:	DEPT OF STATE
TIN:	TX	Business Domain:	
*Exempt Class:	*Select a value* ▼	Standard Comments:	*Select a value* ▼
Comments:			

Figure 27: 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.

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.*

5.5.2 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 LHS menu.

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

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

4. Click **Go**. The Create Exemption Search page refreshes with the customers that are associated with the TIN on which the search was conducted.

5. Click **Exempt All by TIN**. A Create Exemption pop-up window is displayed.

Figure 28: Create Exemption

6. Select the Exempt Class from the drop-down list and update the required details.

7. Select the standard comments and enter the comments. In this pop-up window, you can enter a single entity name and contact details for all customers using this TIN.

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

9. 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.*

6   Managing DOEP E-File

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

- DOEP E-File Workflow
- Managing DOEP E-File List
- Managing E-File Details Page
- Creating a DOEP E-File
- Sending Batch DOEP E-files Using SDTM

6.1   DOEP E-File Workflow

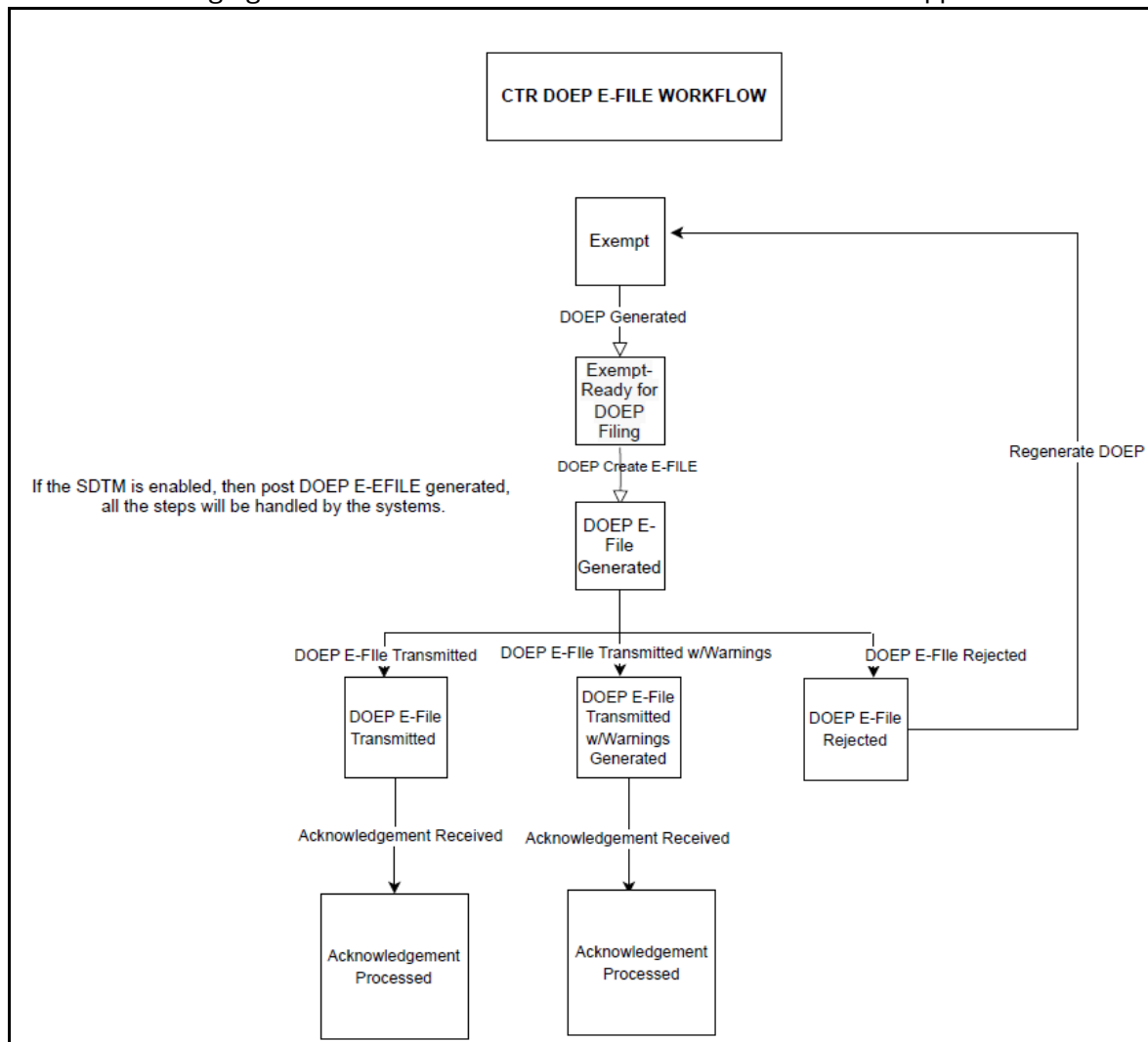The following figure illustrates the workflow of a DOEP E-File in the CTR application:

Figure 29: DOEP E-File Workflow

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

Table 30: Action-Status Mapping Table

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

E-File Details	DOEP E-File Regenerated	DOEP E-File Generated Revoked DOEP E-File Generated	DOEP E-File Transmitted	DOEP E-File Supervisor
E-File Details	DOEP E-File Regenerated	DOEP E-File Generated Revoked DOEP E-File Generated	DOEP E-File Transmitted w/ Warnings	DOEP E-File Supervisor
E-File Details	DOEP E-File Regenerated	DOEP E-File Generated Revoked DOEP E-File Generated	DOEP E-File Rejected	DOEP E-File Supervisor
E-File Details	All Statuses	DOEP All Statuses	Download DOEP E-File	DOEP E-File Supervisor
E-File Details	All Statuses	DOEP All Statuses	E-mail	DOEP E-File Supervisor
E-File Details	All Statuses	DOEP All Statuses	Add Comment	DOEP E-File Supervisor
E-File Details	All Statuses	DOEP All Statuses	Attach Document	DOEP E-File Supervisor

6.2 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

6.2.1 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, follow these steps:

1. On the Currency Transaction Reporting LHS menu. Click **E-File**. The E-File list is displayed.

2. Click **DOEP E-File List**. The DOEP E-File List page displays.

Figure 30: DOEP E-File List

6.2.2 Components of DOEP E-File List

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

- Searching and Viewing DOEP E-File List
- Actions
- Column Headings

6.2.2.1 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.

This section contains the following topics:

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

6.2.2.1.1 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. On the **DOEP E-File List**, click **Search**. The Search Components page displays.

Figure 31: DOEP E-File Search Components

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

Table 31: DOEP E-File Search Field Descriptions

Column Name	Description
DOEP E-File Name	This field displays the name of the created batch file. The entered name must be the file name when it is submitted to FinCEN. This field supports wildcard.
Status	Select the required statuses from the options listed in the drop-down. The options listed in the status drop-down are as follows: ● DOEP E-File Generated ● DOEP Filed - Transmitted ● DOEP Filed - Transmitted w/Warnings ● DOEP Filed - Rejected ● DOEP Filed - Ack Received ● DOEP Filed - Ack Processed ● DOEP E-File Regenerated
Created Date >=	Enter the date range for when the DOEP E-File was generated. This field defaults to the current date.
Created Date <=	Enter the date range for when the DOEP E-File was generated. This field defaults to the current date.
Acknowledgment Date >=	Enter the date range for acknowledgment from FinCEN that was received. This field searches for DOEP E-File based on the action date of user action *Ack Rcvd.*
Acknowledgment Date <=	Enter the date range for acknowledgment from FinCEN that was received. This field searches for a DOEP E-File based on the action date for user action of *Ack Rcvd*.
Filed Date >=	Enter the date range for when submitted to FinCEN and submission tracked. This field searches for a 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 a 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 Tracking ID	Enter the DOEP BSA tracking 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 was 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.
Or Search by DOEP E-File ID	Search by the DOEP E-File ID is mutually exclusive of other search filters. Note: Searching by ID will ignore other filters.

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

6.2.2.1.2 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. On the **DOEP E-File List**, select any pre-defined views from the 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 thier description:

   Table 32: 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.

6.2.2.2   Actions

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

- **Export to Excel and CSV**: This option [icon] allows you to export the Search and List records to a spreadsheet.

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 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 Tracking ID
- E-File

6.3 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

6.3.1 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.

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

- Actions
- E-File Details
- DOEP E-File Details Tabs

6.3.1.1 Actions

DOEP E-File Details page displays the different actions that can be performed based on the E-File status. The following are the actions:

- Email
- Download E-File
- DOEP E-File Transmitted
- DOEP E-File Transmitted w/Warnings
- DOEP E-File Rejected
- Acknowledgment Received
- Regenerate DOEP E-File

6.3.1.2 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 **Expand** to expand the E-File Details to display the following details:

- DOEP E-File ID
- DOEP E-File Name
- 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 Tracking ID
- DOEP E-File Status
- Error Count

6.3.1.3 DOEP E-File Details Tabs

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

- DOEP E-File Tab
- E-File Error Tab
- Evidence Tab
- Audit Tab

6.3.1.3.1 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 Acknowledgment Summary
- Included Exemptions

6.3.1.3.1.1 *DOEP E-File Acknowledgment Summary*

This tab displays the summary of the 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

6.3.1.3.1.2 *Included Exemptions*

This section provides the list of exemptions included in the selected DOEP E-File. Click **Exempt ID** to view the details of the selected exemption.

6.3.1.3.2 E-File Error Tab

The E-File Error(s) tab 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)

6.3.1.3.2.1 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.

6.3.1.3.2.2 DOEP E-File File Error(s)

This section displays individual DOEPs 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 a subset of fields from the 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.

6.3.1.3.3 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 Tabs has the following sections:

6.3.1.3.3.1 Adding Comments

Use this section to add comments to the evidence record.

To add a comment to an evidence record, follow these steps:

1. On the Evidence page, click **Add** to add a comment. The Add Comment window displays.
2. Enter comments in the comments field and click **Save**. A confirmation window displays.
3. Click **OK** to confirm the addition of comments to the selected evidence record.

6.3.1.3.3.2 Adding Attachments

Use this section to add an attachment for the evidence record.

To add an attachment to an evidence record, follow these steps:

1. On the Evidence page, click **Attachment** to add an attachment. The Add Attachment window displays.
2. Enter the comments in the Comment box.

3. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the evidence record and the user returns to the Add Attachments window.

> **NOTE**   You can attach only .text, .doc, and .xml files.

4. To remove attachment, go to the Attachment list and click Attachment link in the attachment column. An Attachment List window displays.

5. Select the required attachment and click **Remove**. The Attachment page displays the updated list of attachments.

6. To view the attachment, go to the Attachment list and click Attachment link in the attachment column. An Attachment List window displays.

7. Select the required attachment and click **Download**. The file downloads.

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

6.3.1.3.4   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.

6.3.2   Sending an E-mail

To send an E-mail, follow these steps:

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

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

Table 33: 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.
Standard Comments	Select the standard comments.
Comments	Enter the comments in this field.

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

6.3.3   Downloading an E-File

To download an E-File, follow these steps:

1. On 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 on your local machine.

6.3.4 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. |

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

1. In the DOEP E-File Details page, click **DOEP E-File Transmitted**. The Actions window displays.
2. Enter the required fields as explained in the following table.

Table 34: Action Window Field Descriptions

Field	Description
E-File ID	This field pre-populates the selected E-File ID. This field is not editable.
BSA Tracking ID	Enter the BSA Tracking ID exactly as it appears on the BSA filing website.
Standard Comments	Select the standard comments from the list.
Comments	Enter comments in this field.

3. Click **Save**. A confirmation window appears.
4. Click **OK**. The status of the E-File is changed to E-File Transmitted.
5. If you click **Save and Attach**, a confirmation window appears. Click **OK**. An Actions window displays.
6. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the record.

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

6.3.5 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.

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

Table 35: Action Window Field Descriptions

Field	Description
E-File ID	This field pre-populates the selected E-File ID. This field is not editable.
BSA Tracking ID	Enter the BSA Tracking ID exactly as it appears on the BSA filing website.
Standard Comments	Select the standard comments from the list.
Comments	Enter comments in this field.

3. Click **Save**. A confirmation window appears.

4. Click **OK**. The status of the E-File is changed to E-File Transmitted.

5. If you click **Save and Attach**, a confirmation window appears. Click **OK**. An Actions window displays.

6. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the record.

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

6.3.6 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.

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

Table 36: Action Window Field Descriptions

Field	Description
E-File ID	This field pre-populates the selected E-File ID. This field is not editable.
BSA Tracking ID	Enter the BSA Tracking ID exactly as it appears on the BSA filing website.
Standard Comments	Select the standard comments from the list.
Comments	Enter comments in this field.

3. Click **Save**. A confirmation window appears.

4. Click **OK**. The status of the E-File is changed to E-File Transmitted.

5. If you click **Save and Attach**, a confirmation window appears. Click **OK**. An Actions window displays.

6. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the record.

7. Click **Save and Parse**. A confirmation window appears.

8. Click **OK**. The status of the DOEP E-File is changed to DOEP Filed - E-File Rejected.

6.3.7 Changing the DOEP E-File Status to Acknowledgment Received

When a DOEP E-File status is in DOEP E-File Transmitted or DOEP E-File Transmitted w/Warnings, you can change the status to Acknowledgment Received once you receive the acknowledgment file for the submission from FinCEN. This acknowledgment file 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.

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

Table 37: Action Window Field Descriptions

Field	Description
E-File ID	This field pre-populates the selected E-File ID. This field is not editable.
Standard Comments	Select the standard comments from the list.
Comments	Enter comments in this field.

3. Click **Attach File**. Select a file to attach. Click **Upload**. The attachment is added to the record.

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

6.3.8 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.

2. Enter standard comments in the Standard Comments field

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

4. 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.

6.4 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 **DOEP Create E-File** from the E-File LHS menu. The **DOEP Create E-File** window is displayed.

2. If there are any Exemptions listed in the DOEP List for the default *All Approved DOEPs* View option, you can click **DOEP Create 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.
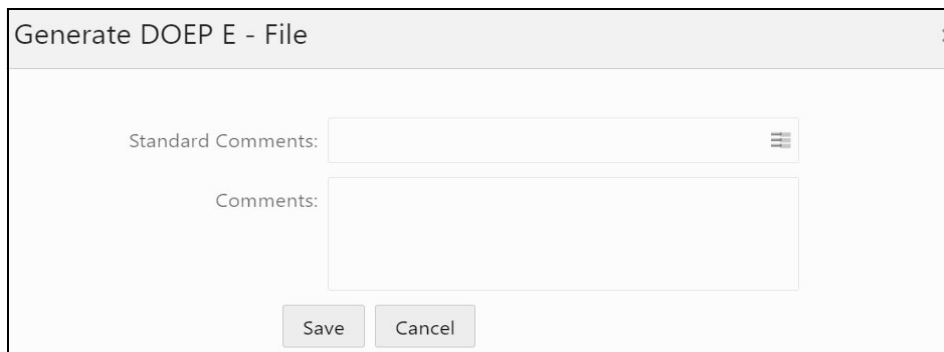
NOTE	When the search by date filter is used, the Exemption Status should be Exempt, Revoked and the DOEP Status in Exempt - Ready for DOEP Filing, Exempted Ready for DOEP Filing, and Revoked - Ready for DOEP Filing.

The following window displays.

Figure 32: Create DOEP E-File Search Fields

4. In the search section, enter the Created Date >=, Created Date <=, Due Date >=, and Due Date <=, 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. Click **Create DOEP E-File.** The Generate DOEP E-File window is displayed.

Figure 33: Generate DOEP E-File Window

7. Select the standard comments from the Standard Comments field and enter comments in the Comments field.

8. Click **Save.** All the Exemptions displayed in the DOEP E-File List results are E-Filed.

6.4.0.1   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.*

6.5   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*.

7 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 auditors to verify compliance. A financial institution must maintain a Monetary Instrument Log for five years. Oracle creates the MI log based on the logic that can be found in the CTR TSD, but clients must review the data and possibly add or remove records as well as edit them.

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

7.1 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

7.1.1 Accessing Search and List

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

To access Search and List, follow these steps:

3. Click **Monetary Instrument Transaction Log** in the Currency Transaction Reporting LHS menu. The Monetary Instrument Transaction Log Search and List page is displayed.

Figure 34: Search and List

7.1.2 Components of Search and List Page

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

- Check Boxes

- Actions
- Column Headings

7.1.2.1 Search Components

Use this section to filter the MIT Log List. For more information, see Searching MIT Log Data Using Search Components.

7.1.2.2 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 the Search and List page and take actions.

7.1.2.3 Actions

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

- **Export to Excel and CSV**: This option allows you to export the Search and List records into an Excel template.

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

- **Edit**: This option allows you to modify monetary instrument log data.

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

7.1.2.4 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:

- Monetary Instrument 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
- Modified Date

- Modified By
- Status
- Location ID
- Location Name
- Exempt Transaction
- Adjusted Transaction
- Transaction Address
- Transaction City
- Transaction State
- Transaction Country
- Conductor Address
- Conductor Date of Birth

7.1.3   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. On the **Monetary Instrument Transaction Log** Search and List page, enter the search components.

   The following table provides the description of the search components that are displayed in the Search bar:

   Table 38: Search Components

Fields	Description
Transaction Date <= or >= Range	Enter the transaction date range on which the transaction was conducted.
Transaction ID	Enter the transaction ID associated with the transaction.
Transaction Amount <= or >= Range	Enter the monetary value of the funds transferred via this transaction denominated in the base currency in which this transaction was conducted.
Conductor Name	Enter the name of the conductor.
Conductor ID	Enter the ID of the Conductor.
Conductor ID Type	Select the type of the Conductor ID from the drop-down.
Conductor TIN	Enter the Taxpayer Identification Number (TIN) of the conductor in the transaction.
Conductor TIN Type	Select the type of the Taxpayer Identification Number (TIN) of the conductor in the transaction.

Account ID	Enter the account ID.
Customer ID	Enter the Customer ID.
Customer Name	Enter the Customer name.
Customer TIN	Enter the Taxpayer Identification Number (TIN) of the Customer in the transaction.
Customer TIN Type	Select the Taxpayer Identification Number (TIN) of the Customer from the drop-down list.
Modified Date >= or Modified Date <=	Enter the modified date range
Modified By	Select the name of the person who last modified the record.
Transaction Record Status	Select the transaction record in any of the following statuses: • 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 *Add* button after saving the transactions details. • Deleted - This status displays the transaction records which are deleted but not removed from the database.

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

7.2 Managing MIT Details Page

This chapter focuses on the following topics:

- Adding MIT Log Data
- Editing MIT Log Data
- Deleting MIT Log Data

7.2.0.1 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 35: Add Monetary Instrument log

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

Table 39: Adding MIT Log Data Components

Fields	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 transaction ID.

Instrument Description	Enter the serial number of the monetary instrument associated with this transaction.
Debit/Credit	Select the type of transaction as either Debit or Credit.
Account ID	Enter the Account ID in which the transaction was conducted.
Instrument Number	Enter the serial number of the monetary instrument associated with this transaction.
Conductor ID	Enter the ID of the conductor.
Conductor ID Type	Select the Verification ID Type of the conductor from the following options available: ● Unknown ● Driver's license/State ID ● Passport ● Alien registration ● Customer ● Other
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: ● 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.
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: • 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.
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.
Transaction Amount - Base	Enter the amount of fees paid on this account expressed in base currency.
Comments	Enter the comments in the text box.

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

7.2.0.2   Editing MIT Log Data

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.

To edit MIT Log data, follow these steps:

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

2. Click the **Edit** button. The Edit Monetary Instrument Log window is displayed. Modify the required information and click **Save**. The transaction record is updated.

7.2.0.2.1 Sorting

You can sort column grid using the sort option. Select the options from the Sort drop-down list.

7.2.0.3 Deleting MIT Log Data

With this action, the record is not deleted from the database. But only marked with the 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 from the list.

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