

U.S. Department of the Treasury - Financial Crimes Enforcement Network



BSA E-Filing User Test System

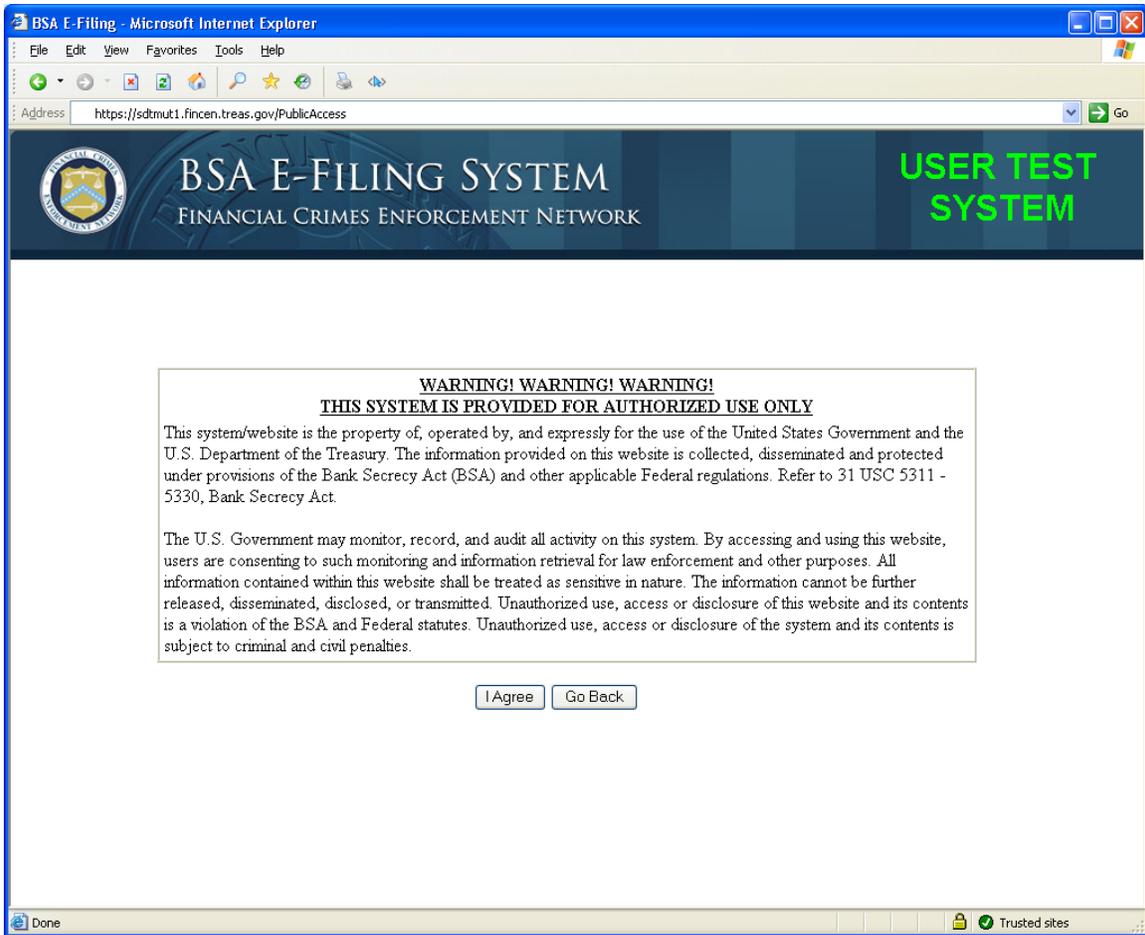
User ID/Password Instructions

If you have any problems or need assistance with this process, please contact the BSA E-Filing Help Desk at 1-866-346-9478 (option 1) or BSAEFilingHelp@fincen.gov.

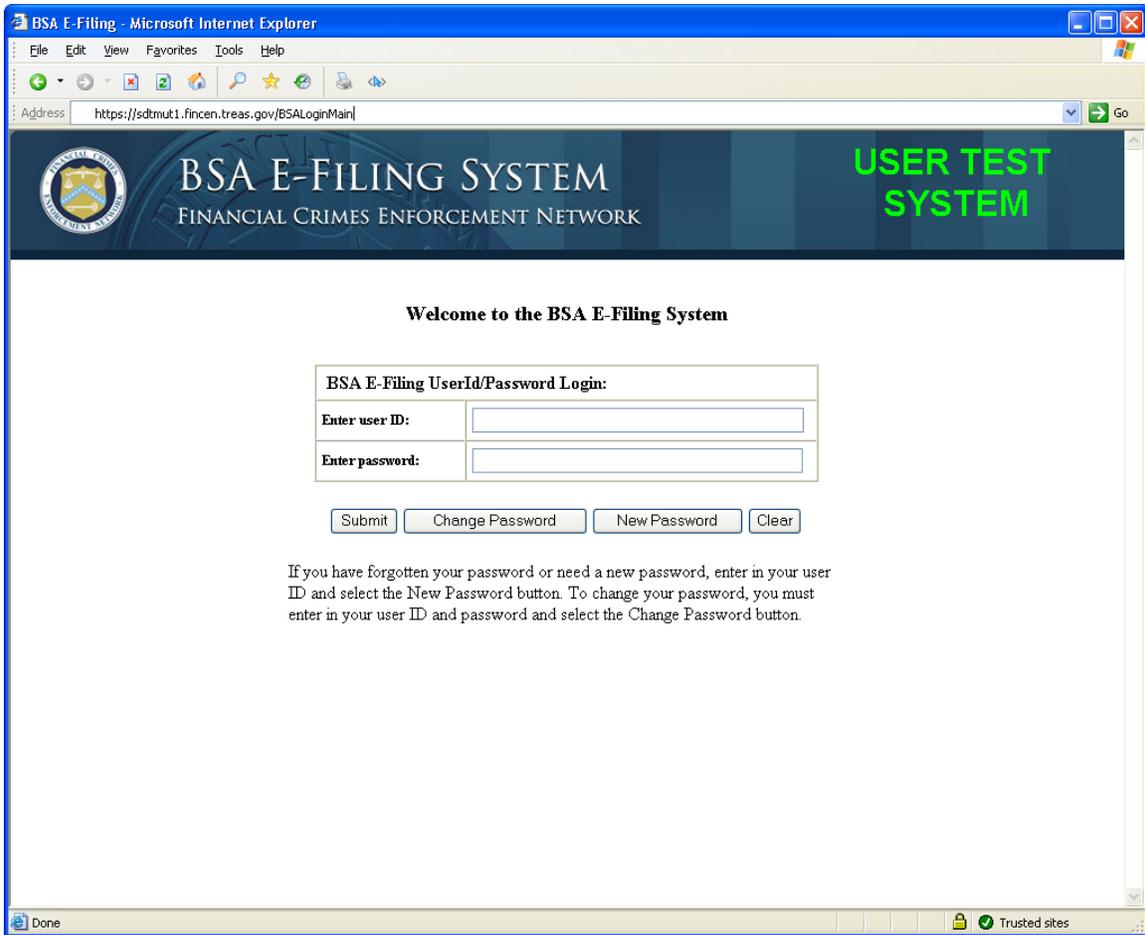
Please note, before you login into the BSA E-Filing User Test System, a Supervisory User (SU) within your organization MUST assign your system roles. At a minimum, you must have the Secure Messenger role. The SU will already have this role. Please check with your SU to verify your system roles have been setup before proceeding.

Your new user ID (also your email address) to login into the BSA E-Filing User Test System is listed in the attached e-mail. To activate your new user Id, please go to the BSA E-Filing User Test System main page (<http://sdtmut.fincen.treas.gov>) and click on the **E-Filing System Login** link:

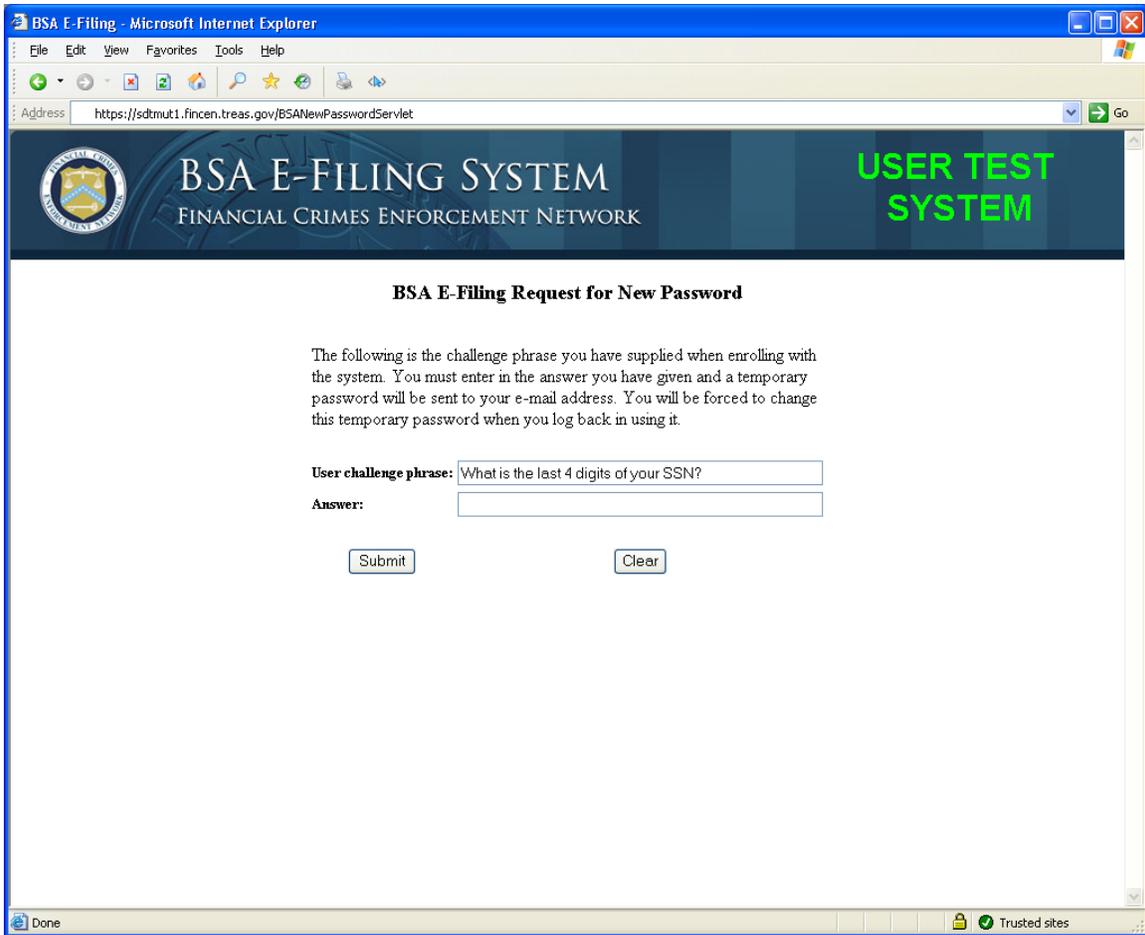




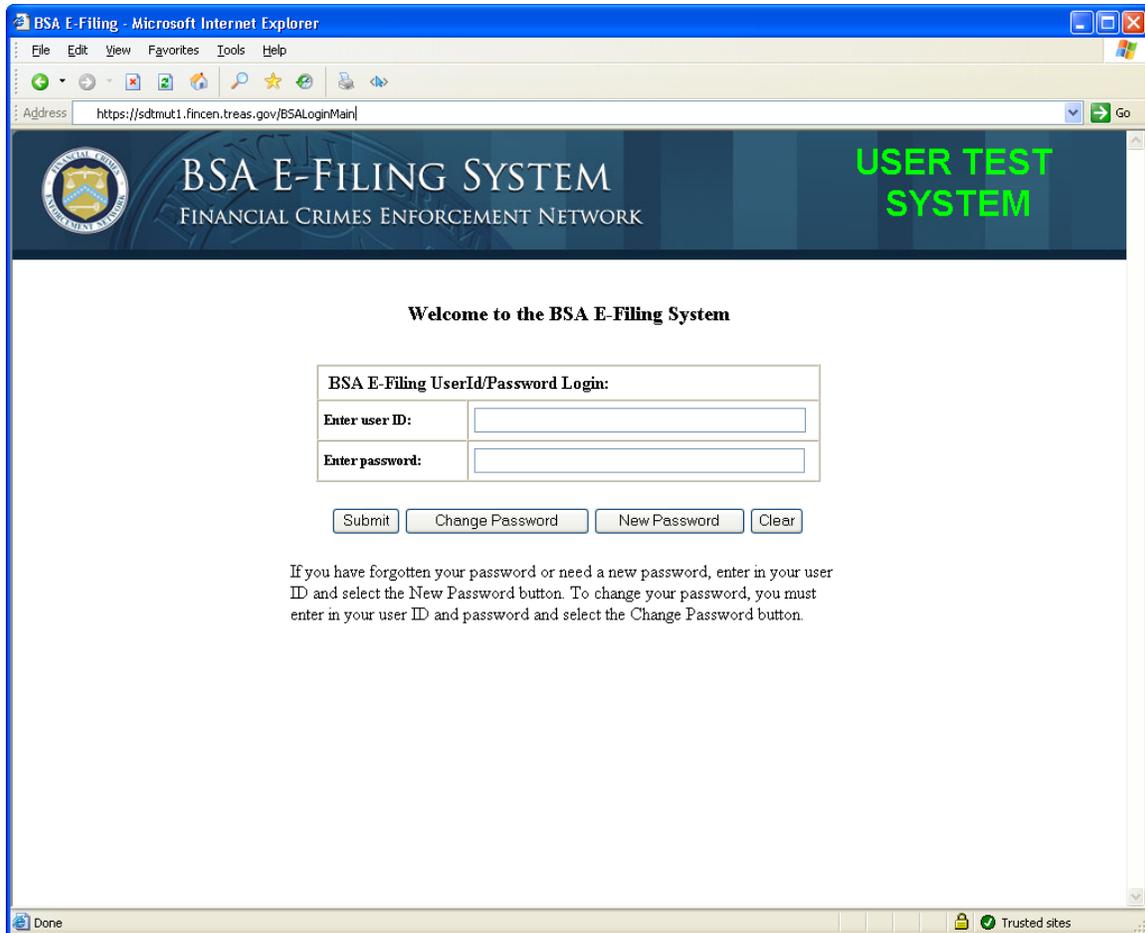
Click on the **I Agree** button:



Enter your login id into the **Enter user ID** field and then click on the **New Password** button:



The system will prompt you with the challenge phrase you or your SU entered when registering with the BSA E-Filing User Test System. If you do not remember your challenge phrase, you will need to contact the BSA E-Filing Help Desk at 1-866-346-9478 (option 1) or BSAEFilingHelp@fincen.gov. Once you respond to the challenge question, click on the **Submit** button. The system will return you to the login screen and you will receive an e-mail to the e-mail address you previously provided. This e-mail will contain the temporary password to access the BSA E-Filing User Test System. Your temporary password is your email address or a portion of your email address along with a set of numbers. After you receive your temporary password, return to the BSA E-Filing User Test System login screen. (<http://sdtmut.fincen.treas.gov/>).



Enter your user ID and temporary password into the login screen and click on the **Submit** button. You will now be forced to change your temporary password to a password of your choice.

Enter your temporary password in the **Current Password** field and then select a new password. When you are prompted to create a new password, a list of password requirements will be displayed. Please review the password requirements **thoroughly** before creating a new password. Once you have created a new password, click on **Submit** to enter the BSA E-Filing User Test System.

Once you have entered the system, you will need to obtain your PIN from your mailbox (**View Inbox**). This mailbox can be accessed within the BSA E-filing User Test System by clicking on the **View Inbox** link under the Secure Messaging section in the left hand frame. This PIN will be used to digitally sign documents. Please use the **Sign with PIN of approving official** button when digitally signing new forms when you have entered the system using your user ID and Password. This button is available on all new forms created using the BSA E-filing User Test System.

Please note: If you do **NOT** have a View Inbox, your SU will need to assign the proper roles to you. You will need to logout and log back-in for the changes to take affect.

If you have any problems or need assistance with this process, please contact the BSA E-Filing Help Desk at 1-866-346-9478 (option 1) or BSAEFilingHelp@fincen.gov.

Testing your batch file(s) on the BSA E-Filing User Test System:

Batch file testing is a two step process. The first step is to upload and pass the validation rules the BSA E-Filing System performs on all batch files submitted to the system. These validation rules include verifying record lengths, sequencing of the file, and summary totals in the file. The second step is to transfer the validated file to the Enterprise Computing Center in Detroit (ECC-D) for an actual load into the test database. A test acknowledgment file is generated for CTR, CTRC and DEP filings. For SAR filings, additional file integrity checks are made.

To upload a test file for the BSA E-Filing User Test System go to the following link and click on **Log Into BSA E-Filing**:

<http://sdtmut.fincen.treas.gov/>

Click on the **Login with user ID** button and use the user ID provided and password you created to Login to the User Test System.

Please let us know when you upload a test file so we can coordinate the testing with the -ECC-D. The file must contain the following test Transmitter Control Code: TBSATEST. Please work with your software vendor or service provider to ensure the test TCC is placed in the proper location within the file. The file specifications for each form type provide the exact location where the TCC code should be entered.

ECC-Detroit requests a minimum of 50 test records for CTRs and 25 for SARs. These files should contain test data only, please do not actual customer data such as name, address, SSN, or account numbers. Also, the BSA E-Filing User Test System performs the following basic file format validation on batch submissions:

1. Every line must end with a CRLF (hex 0d0a).
2. Every line must be the correct length. Please refer to the electronic file specifications for the exact line length requirements of the file as each form type is different.
3. Every line must be the same length.
4. The 9Z (CTR/SAR)/8Z (CTRC) counts must match the actual number of records.
5. There must be no blank lines after the 9Z (CTR/SAR)/8Z (CTRC) line.
6. There must be no characters after the 9Z (CTR/SAR)/8Z (CTRC) line.
7. CTR and SAR-DI batch files can be submitted in either ASCII or EBCDIC format. All other form types (CTRC, SARC, SARSF, and SARMSB) require the batch file to be submitted in ASCII format only.

In addition, files are validated against the formatting and sequencing instructions documented in the electronic file specifications. Once you have your file ready to upload, please login to the BSA E-Filing User Test System and perform the following steps to upload your file. **To ensure you are accessing the BSA E-Filing User Test System and not the production site, please verify that the text "User Test System" is shown in green in the upper right corner of the web page before proceeding. It is critical that test files are only loaded onto the User Test System. The following steps describe the process for uploading your test file:**

1. On the left hand part of the screen, under Filing, please select the appropriate link for the type of filing you will be submitting. (i.e. File Batch CTR/DEP for a CTR test batch, File Batch SAR for a SAR batch)
2. Click on the **Open New Form** button to open up a new batch submission form. Please note, if you have not installed the forms viewer, you will need to install this in order to

- open and view the batch submission form. The forms viewer can be downloaded by going to the Links section in the left hand frame and clicking on the **Forms Viewer Download** link. Download this software and install using the default settings.
3. Once the Batch Submission Form opens, the first field to populate is the Filing Name field. This field is used to identify the batch after submission. It is recommended you use a name that is unique for the filing such as TEST CTR BATCH BANK NAME and the Date. For example, TEST CTR BATCH ACME BANK 10102007.
 4. The next step is to select the Batch File Format. In most cases, this should be set to ASCII. This is the standard MS Windows format. If you have a mainframe system, it is possible the file format is EBCDIC. Please check with your IT staff if you are unsure.
 5. To attach your batch file, click on the **Add Attachment** button, then click Attach again to open up a browse for file option. Browse on your PC or network to locate the file to upload. Once you locate the file, select it, and then click on Open and then the Done button. The batch submission form should state, "The number of attachments on this form is: 1". Please note, you can only attach one file per submission, you cannot upload multiple files.
 6. The next step is to enter a Title in the Title field at the bottom of the form. For testing purposes, you can use any Title in this field, but in production you should use the actual title of the person submitting the file.
 7. The next steps involve signing the document digitally with your PIN number so it cannot be altered. Click on the **Sign with Pin of Approving Official** button to open a screen to enter your PIN number. In the yellow field next to the **Sign with PIN** button, enter your PIN number.. Please note: your PIN number is available as a secure message in your BSA E-filing View Inbox. Click on the **View Inbox** link to view this secure message if necessary. Once you enter your PIN, click on the **Sign with PIN** button, the Digital Signature Viewer will appear and display No Signature. Click on the **Sign** button, and then Accept to sign the document. The display should now list Signature Is Valid. Click **OK** to close this window. Click on the Return to CTR/DEP Batch form (or whatever type of form you submitted) to return to the batch submission form.
 8. You now must save the batch submission form as all information has been entered. Click on the **Save** button at the top of the form to Save the batch submission form. In the Save Form dialog box, enter a name for the batch submission form. This can be the same name as the filing name or any other name to clearly identify the file. You can save this file anywhere on your local PC or network. It is recommended you save these batch submissions in the same place for record keeping purposes. Click the **Save** button in the Dialog Box to save the form.

Once the **Save** button is selected, the **Submit** button should be available at the top of the screen. Click on the **Submit** button to submit the batch submission. Once the form is submitted, you will receive a confirmation page which provides the BSA Tracking ID number for your submission. Please print the confirmation page for your records and to obtain the BSA Tracking ID number. It is then recommended you close this window and go to the **Track Status** view within the BSA E-filing User Test System. This link should be available under the Filing section on the left hand part of the screen. Please click on this link to review your submission and verify the status is Accepted. If the status is Rejected, the file did not pass one of the validation rules. Click on the **Rejected** link to view the Submission Errors page which will contain the details on why the file did not pass validation. If the status is Accepted, please forward the tracking number to the BSA E-Filing Help Desk at BSAEFilingHelp@fincen.gov for review and subsequent transfer to ECC-D. These numbers are usually in the format of T_E_S_T_SB07-0000000XX). If the file is Rejected, please review the file to determine what validation rule was not followed. The BSA E-Filing Electronic specifications contain more information on the formatting and validation rules that must be followed. Your software vendor or service provider may have to be provided these error codes to allow them to fix any file errors. Your software vendor or service provider can obtain the description of the error codes to allow them to fix any file errors from the File Error Codes manual which is located in the Documentation section on the navigation column. If you need additional

assistance with determining why the file was rejected, please contact the BSA E-Filing Help Desk at 1-866-346-9478 (option 1) or BSAEFilingHelp@fincen.gov

Please notify the BSA E-Filing Help Desk and provide the tracking ID number of any test submission you wish to be forwarded to ECC-D for validation. Unlike the production BSA E-filing System, the User Test System does not automatically forward submissions to ECC-D. Once we forward the file to ECC-D for validation, ECC-D has 10 business days to respond with the test results and will provide test acknowledgment files for CTR, CTRC and DEP files. Acknowledgment files are currently not created for SAR filings. If the file passes validation, a production TCC code will be provided via e-mail and you can then begin filing BSA E-filing production data on the BSA E-Filing Production System. Any test acknowledgment files for CTR, CTRC and DEP test files will be provided in the e-mail and also uploaded back into the User Test System for download. If you do not already have an account on the production BSA E-Filing System, please complete the Supervisory User Enrollment application at the following link:

<http://bsaefiling.fincen.treas.gov/>

FinCEN will review and approve these requests and a user ID/Password/PIN for the production BSA E-Filing system will be issued within 5 business days.

If you need assistance with uploading your file, please contact the BSA E-Filing Help Desk at 1-866-346-9478 (option 1) or BSAEFilingHelp@fincen.gov. The Help Desk regular hours of operation are 8:00 am - 6:00 pm East Coast Time, Monday - Friday. Please note that the Help Desk is closed on Federal holidays.