Downloading OFAC File Lists for the CU*BASE Data Match System

For Self-Processing Credit Unions ONLY

INTRODUCTION

This booklet describes how self-processing credit unions can download the "Specially Designated Nationals & Blocked Persons" (SDN), "Foreign Sanctions Evaders" (FSE) list, and "Palestinian Liberation Council" (PLC) list published by the Office of Foreign Asset Control (OFAC).

Repeat this procedure every time you wish to refresh the OFAC files. This can be done using any schedule you wish (such as once a month), according to your internal policies and examiner requirements.

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TASK 1: DOWNLOAD FIELD DEFINITION FILES (*.FDFX)

This task needs to be completed only once.

In order for you to upload files from the PC to the iSeries, six "field definition file" (*.FDFX) text files are required to define the exact field lengths in the files to be uploaded:

- SDN.FDFX
- ♦ ALT.FDFX
- CONS_PRIM.FDFX
- CONS_ALT.FDFX

The files can be downloaded on the Reference Materials page of our website (look under "O" for OFAC Configuration Files for Self-Processors): https://www.cuanswers.com/resources/doc/cubase-reference/#O

IMPORTANT: These files need to be saved in the same location where the files downloaded from the OFAC web site will be stored in Tasks 2 – 3, described below. This must be C:\OFAC.

TASK 2: DOWNLOAD THE SDN LIST TO A PC

This task pulls the most recent SDN list from the OFAC web site to your local PC. (These instructions should be completed by someone comfortable using an Internet connection as well as using Windows Explorer to locate and launch files.)

- 1. Launch an Internet session and go to the following address: <u>https://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx</u>
- 2. In the Data Center area, click on the SDALL.ZIP file to download it.

Windows Internet Explorer	
What do you want to do with sdall.zip?	
Size: 6.72 MB From: www.treasury.gov	
 Open The file won't be saved automatically. 	
Save	
Save as	
	Cancel

- 3. When the dialog box appears, click Save As.
- Navigate to C:\OFAC and click Save again to begin the download. (If you have performed this same download before, you will be asked if you wish to replace the existing file; choose Yes.)
- 5. You have downloaded a zipped folder. Navigate to your C:\ drive and unzip (extract) the contents of the SDALL.ZIP folder you just downloaded to your computer.

TASK 3: DOWNLOAD THE NON-SDN LISTS TO A PC

This task pulls the most recent consolidated non-SDN lists from the OFAC web site to your local PC. (These instructions should be completed by someone comfortable using an Internet connection as well as using Windows Explorer to locate and launch files.)

- 1. Launch an Internet session and go to the following address: <u>https://www.treasury.gov/resource-center/sanctions/SDN-</u> <u>List/Pages/consolidated.aspx</u>
- 2. In the Data Center area, click on the CONSALL.ZIP file to download it.

Internet Explorer	—
What do you want to do with consall.zip?	
Size: 60.7 KB From: www.treasury.gov	
 Open The file won't be saved automatically. 	
→ Save	
➔ Save as	
	Cancel

- 3. When the dialog box appears, click Save As.
- Navigate to C:\OFAC and click Save again to begin the download. (If you have performed this same download before, you will be asked if you wish to replace the existing file; choose Yes.)
- 5. You have downloaded a zipped folder. Navigate to your C:\ drive and unzip (extract) the contents of the CONSALL.ZIP folder you just downloaded to your computer.

TASK 4: UPLOAD THE PC FILES TO **YOUR ISERIES**

This task takes all the files created in Tasks 2 – 3 and moves them from your PC to the proper location on your iSeries.

1. Log in to CU*BASE and use Tool #1375 Data Transfers (Upload or Download)

SDN Primary Names

2. In the Data Transfer dialog box, enter the following settings:

Data Transfer File View Actions Help		- 0	×
 ▲ To IBM i - 1 × ▲ From IBM 	i - 2 🗙		3
	File Input device: File Name: C:\OFAN\SDN.FF	 ✓ Browse 	
	IBM i System: Your System Name Library/file (member):	~	
	CUBASEFILE/OFACSDN Details	✓ Browse	
	Start Transfer Stop Transfer Prope	erties	

Option	Instructions
File name	Enter the complete path where the downloaded files were extracted (step 5 of Task 2) and the following file name: SDN.FF
iSeries System	Enter your iSeries name
Library/File(Member)	Enter the following: CUBASEFILE/OFACSDN

- 3. Click the **Details** button.
- 4. In the iSeries File Details dialog box, enter the following selections:

Enter your credit union's specific iSeries name or IP address here as you would for any other data transfer.

(File Details			×
	Client file description	n		
	☑ Use client file d	escript	ion	
	File name:	C:\OF	AC\SDN.FDFX v	Browse
	File type:	Tab D	elimited Text (.txt) 🗸	
	Translate from:	Use fil	e description 🗸 🗸	
	Advanced			
	IBM i file			
	Create IBM i object	:	No, replace member only $\qquad \checkmark$	
	Member text:			
	IBM i file type:		Data O Source	
	Field reference file	name:		Browse
	Record length:		92 🚖	
	Authority:		Read/write 🗸	
	File text:			
[OK Cance	el		2

Option	Instructions
Use PC file description	☑ (checked)
File name	Enter the complete path where the downloaded files were extracted and the following file name: SDN.FDFX
Translate from	ASCII
Create iSeries object	No, replace member only

- 5. Then click OK to save the settings and return to the previous dialog box.
- 6. Click **Start Transfer** to begin the upload.
- 7. When the upload has completed, a confirmation box will appear showing the number of records transferred. Click OK to return to the Data Transfer dialog box.

HINT: You can save this transfer request so that you do not need to enter all of the specifications the next time an upload is performed. In the Data Transfer dialog box, choose **<u>File</u>**, **Save** <u>**As**</u>... and specify a name and location for the transfer request. Next time, simply use <u>**File**</u>, <u>**Open**</u> and select the saved request to use the same settings again.

SDN Alternate Names

8. Return to the Data Transfer dialog box and enter the following settings:

💷 Data Transfer		_		\times
File View Actions Help				
🕍 🗒 🖻 🛧 🛃				3
🟦 To IBM i - 1 🗶 👲 From IBI	Mi-2 🗙			
	File Input device: File	~		
	Name: C:\OFAN\ALT.FF	~	Browse	
	IBM i System: Your System Name	~		
101 110 0101 1101	Library/file (member): CUBASEFILE/OFACALT	~	Browse	
	Details			
	Start Transfer Stop Transfer	Properties		
۲				

Option	Instructions	
PC File name	Enter the complete path where the downloaded files were extracted (step 5 of Task 2) and the following file name: ALT.FF	
iSeries System	Choose your iSeries name	
Library/File(Member)	Enter the following: CUBASEFILE/OFACALT	

9. Click the **Details** button.

10. In the iSeries Details dialog box, enter the following selections:

File Details		×
Client file description	1	
Use client file d	escription	
File name:	C:\OFAC\ALT.FDFX ~	Browse
File type:	Tab Delimited Text (.txt) \lor	
Translate from:	Use file description	
Advanced		
IBM i file		
Create IBM i object	No, replace member only \sim	
Member text:]
IBM i file type:	Data Source	
Field reference file I	name:	Browse
Record length:	92 🜲	
Authority:	Read/write \lor	
File text:]
OK Cance	ł	0

Option	Instructions
Use PC file description	☑ (checked)
File name	Enter the complete path where the downloaded files were extracted and the following file name: ALT.FDFX
Translate from	ASCII
Create iSeries object	No, replace member only

- 11. Then click OK to save the settings and return to the previous dialog box.
- 12. Click Start Transfer to begin the upload.
- 13. When the upload has completed, a confirmation box will appear showing the number of records transferred. Click OK to return to the Data Transfer dialog box.

HINT: Remember that you can also save this transfer request so that you do not need to enter all of the specifications the next time this particular upload is performed.

Consolidated Non-SDN Primary Names

14. In the Data Transfer dialog box, enter the following settings:

💷 Data Transfer		_		\times
File View Actions Help				
🕍 🗒 🖻 🚖 🛃				3
🕭 To IBM i - 1 🗶 👲 From IB	Mi-2 🗙			
	File Input device: File	~		
	Name: C:\OFAN\cons_prim.FF	~	Browse	
	IBM i			
101	System: Your System Name	~		
0101	Library/file (member):			_
0011	CUBASEFILE/OPLCP	~	Browse	
	Details			
	Start Transfer Stop Transfer Pro	perties		
۲				

Option	Instructions
PC File name	Enter the complete path where the downloaded files were extracted (step 5 of Task 3) and the following file name: cons_prim.FF
iSeries System	Choose your iSeries name
Library/File(Member)	Enter the following: CUBASEFILE/OPLCP

15. Click the **Details** button.

16. In the iSeries File Details dialog box, enter the following selections:

(File Details				Х
	Client file description	٦			
	Use dient file de	escript	ion		
	File name:	C:\OF	AC\cons_prim.FDFX ~	Browse	
	File type:	Tab D	elimited Text (.txt) 🗸 🗸		
	Translate from:	Use fil	e description 🗸 🗸		
	Advanced				
	IBM i file				
	Create IBM i object:	:	No, replace member only \sim		
	Member text:				
	IBM i file type:		● Data ○ Source		
	Field reference file r	name:		Browse	
	Record length:		92 🔺		
	Authority:		Read/write 🗸		
	File text:				
	OK Cance	el		(?

Option	Instructions
Use PC file description	☑ (checked)
File name	Enter the complete path where the downloaded files were extracted and the following file name: cons_prim.FDFX
Translate from	ASCII
Create iSeries object	No, replace member only

- 17. Then click OK to save the settings and return to the previous dialog box.
- 18. Click Start Transfer to begin the upload.
- 19. When the upload has completed, a confirmation box will appear showing the number of records transferred. Click OK to return to the Data Transfer dialog box.

HINT: You can save this transfer request so that you do not need to enter all of the specifications the next time an upload is performed. In the Data Transfer dialog box, choose **<u>File</u>**, **Save** <u>**As...**</u> and specify a name and location for the transfer request. Next time, simply use <u>**File**</u>, <u>**Open**</u> and select the saved request to use the same settings again.

Consolidated Non-SDN Alternate Names

20. Return to the Data Transfer dialog box and enter the following settings:

💷 Data Transfer		_		\times
File View Actions Help				
🕍 🗒 Fi 🏦 🛃				3
🛧 To IBM i - 1 🗶 🛃 From IBI	1 i - 2 🗙			
	File Input device: File	~		
	Name: C:\OFAN\cons_alt.FF	~	Browse	
	IBM i System: Your System Name	~		
101 110 0101 1101	Library/file (member):	~	Browse	
	Details			
	Start Transfer Stop Transfer Proper	rties		
•				

Option	Instructions
PC File name	Enter the complete path where the downloaded files were extracted (step 5 of Task 3) and the following file name: cons_alt.FF
iSeries System	Choose your iSeries name
Library/File(Member)	Enter the following: CUBASEFILE/OPLCA

21. Click the **Details** button.

22. In the iSeries Details dialog box, enter the following selections:

(File Details				×
	Client file description	1			
	Use dient file d	escript	ion		
	File name:	C:\OF	AC\cons_alt.FDFX ~	Browse	
	File type:	Tab D	elimited Text (.txt) 🗸		
	Translate from:	Use fi	e description		
	Advanced				
	IBM i file				
	Create IBM i object		No, replace member only $\qquad \checkmark$		
	Member text:				
	IBM i file type:		Data OSource		
	Field reference file I	name:		Browse	I.
	Record length:		92 🔺		
	Authority:		Read/write 🗸		
	File text:				
	OK Cance	ł			?

Option	Instructions
Use PC file description	☑ (checked)
File name	Enter the complete path where the downloaded files were extracted and the following file name: cons_alt.FDFX
Translate from	ASCII
Create iSeries object	No, replace member only

- 23. Then click OK to save the settings and return to the previous dialog box.
- 24. Click Start Transfer to begin the upload.
- 25. When the upload has completed, a confirmation box will appear showing the number of records transferred. Click OK to return to the Data Transfer dialog box.

HINT: Remember that you can also save this transfer request so that you do not need to enter all the specifications the next time this particular upload is performed.

26. When the final upload is complete, close the Data Transfer dialog box.

You are now ready to run the data match report, as described in the separate booklet, "<u>Using the CU*BASE Data Match System for OFAC</u> <u>Compliance</u>."