



FinCEN Patriot Program Help Files

What is the FinCEN Patriot program?

The FinCEN Patriot™ is an application that is designed to help financial institutions in the U.S. to be in compliance with the regulations of FinCEN 314(a), the USA PATRIOT Act, and other governmental regulations.

These laws require that all U.S. financial institutions must monitor all financial transactions performed by or through them to detect those that involve any entity or person subject to the FinCEN 314(a) laws and regulations.

The FinCEN Patriot provides the ability to be in compliance with these regulations in the most cost-effective and least time consuming manner.

The FinCEN Patriot is based on the .NET technology and is a database-matching engine that compares existing customer/new applicant databases against the U.S. Department of Treasury's FinCEN provided files.

Basic functions of the FinCEN Patriot program

The FinCEN Patriot program provides you with the ability to perform the following functions in a Windows-based version, a Multi-Batch version or a .dll (dynamic link library) version:

Update the latest FinCEN files with a simple click of the Update FinCEN Files button

Create custom accept lists to prevent false positive name matches

Share common member/customer files, accept lists, updated FinCEN files, and output search result report files across a network environment

Search single name entries and transactions against the FinCEN files Search an entire database of member/customer information files against the FinCEN files by simply uploading a file

Provide comprehensive search result reports to assist with the compliance of the laws which can be printed or archived electronically

Schedule a date and time to schedule automated batch file processing. (Multi-Batch and .dll versions)

Using FinCEN Patriot covers the following Topics:

FinCEN Patriot program file sharing setup over a network

How would we change the Input File delimiter to default to the delimiter type our file utilizes?



How do we setup the program to use a specific Input File format?

What is the Update FinCEN Files function used for?

What is the Single Search function used for?

What is the Batch Search function used for?

What is the Consolidate Reports function used for?

The Accept List

FinCEN Patriot program Network Sharing Topics

The FinCEN Patriot program is designed so that it can also be installed over a network providing for common file sharing for multiple users and workstations for the following functions:

Sharing a common updated FinCEN file

Sharing a common Accept List

Sharing a common Single Search Output Folder (result reports of searches)

Sharing a common Batch Input File (member/customer name list)

Sharing a common Batch Output Folder (result reports of searches)

Sharing a common updated FinCEN file

Sharing a common updated FinCEN file makes it necessary for only one user to perform the Update FinCEN Files function to retrieve the FinCEN files. This allows all users to have their workstation programs access the updated FinCEN files eliminating the need for multiple users to perform the Update FinCEN Files function.

Please refer to the following instructions:

Before or after (it does not matter when) installing the FinCEN Patriot program on the different workstations, setup a folder (you can name it anything you want) on a server network drive that is shared

** Please note: the workstation that is acting as the main server for the program (program which will be performing the Import FinCEN 314(a) List Files Process), must have the program and the shared FinCEN Data folder on the same drive. ****



After installing the FinCEN Patriot program on the workstations open the program and select the Setup tab on the program toolbar, under System Info go to the FinCEN Data Folder Name and then click Browse to change the path to point to that shared folder that was setup on the server network drive and click Save

By changing that path only that one workstation is responsible to perform the Update FinCEN Files function as the updated FinCEN files will be placed into that shared folder and all programs installed will automatically default to that location to access the updated FinCEN files. That eliminates more than one person having to perform the Update FinCEN Files function.

Sharing a common Accept List

If you choose, you can utilize the following process to Setup a common shared Accept List so that all programs share the same Accept List (list of your member/customer names that is saved that are known not to be positive matches that may have similar names in the FinCEN files). This prevents the names from showing up as matches in future searches and the results report will indicate that these names are in the Accept List.

To setup and use this function follow these steps:

After installing the FinCEN Patriot program on the different workstations, setup a folder (you can name it anything you want) on a server network drive that is shared

After installing the FinCEN Patriot program on the desired workstations open the program and select the Setup tab on the program toolbar, under System Info go to Accept List File Name and then click Browse to change the path to point to that shared folder that was setup on the server network drive and click Save

Sharing a common Single Search Output Folder (result reports of searches)

In some cases an organization may want to have a centralized location to electronically save the result reports of conducted searches. You can utilize the following process to Setup a common shared Single Search Output Folder so that all programs will save their search result reports to a common Single Search Output Report Folder.

To setup and use this function follow these steps:

After installing the FinCEN Patriot program on the desired workstations open the program and select the Setup tab on the program toolbar

Under Single Search Files go to Single Search Output Folder Name path field and click Browse to change the path to the shared folder that was setup on the server network drive in order to have a centralized folder containing the reports of the search results, and click Save.



Note: If you choose to save search result reports to a centralized folder and desire having the user to be identified on the search result report, each person conducting the search will need to enter a unique identifier for a file name when saving the search result report file as the program defaults the search result report file name to the name searched, date and time the search was conducted. Default file name Eg: Smith 2015-07-01 1005PM.rtf

Sharing a common Batch Input File (member/customer name list)

Although it is not necessary to utilize more than one user to conduct Batch searches, you can utilize the following process to Setup a common shared Batch Input File so that all programs share the same Batch Input File (list of your member/customer names). This would allow more than one user to run Batch searches of your member/customer names against the FinCEN files.

To setup and use this function follow these steps:

After installing the FinCEN Patriot program on the desired workstations open the program and select the Setup tab on the program toolbar

Under Batch Files go to Batch Input File Name field and then click Browse to change the path to point to the shared folder that was setup on the server network drive that contains your member/customer name data list, and click Save

Sharing a common Batch Output Folder (result reports of searches)

In some cases an organization may want to have a centralized location to electronically save the result reports of conducted searches. You can utilize the following process to Setup a common shared Batch Output Folder so that all users will save their search result reports to a common Batch Output Report Folder.

To setup and use this function follow these steps:

After installing the FinCEN Patriot program on the desired workstations open the program and select the Setup tab on the program

Under Batch Files go to Batch Output Folder Name field and then click Browse to change the path to point to the shared folder that was setup on the server network drive in order to have a centralized folder containing the reports of the search results, and click Save.

Note: If you choose to save search result reports to a centralized folder and desire having the user to be identified on the search result report, each person conducting the search will need to enter a unique identifier for a file name when saving the search result report file as the program defaults the search result report file name to the date and time the search was conducted. Default file name Eg: 2015-07-01 1005PM.rtf



Input File Delimiter

How would we change the Input File delimiter to default to the delimiter type our file utilizes?

The program is setup to use a Tab or a Semicolon as the delimiter for the Input File to conduct Batch Searches.

The program default will Auto Detect if your Input File is setup with a Tab or a Semicolon.

The program is designed to recognize different delimiters providing they are single characters.

If you would like to setup the program to recognize a different delimiter as in what your Input File may be setup with, follow these instructions:

Go to the Batch Search or Batch Input Search tab

Go to the Input Delimiter field

Highlight the current delimiter and replace it with any single character that your Input File is setup with

Click Batch Search and when finished running the delimiter will be saved.

From that point on the program will default to the particular delimiter character that you have input and saved.

Input File Format

How do we setup the program to use a specific Input File format?

In order to setup the program to use a specific File Format of your data file that differs from what the program default is setup to search against, follow these instructions:

On the top left corner of the program click on File and then click on Advanced Options.

The Search Options popup window appears and you will see: Select Columns for Batch File Input

To change column selections to recognize the specific File Format your data file is in you will find nine fields with drop down menus as listed:

1st: Name or First Name 2nd: Last Name 3rd: Street Address 4th: City, State 5th: Country 6th: Customer ID 7th: ID Number/Tax ID 8th: Phone 9th: DOB

Each field has a drop down menu that provides for the selection ranging from None to 9. These numbers indicate which column the particular data in your Input File of data is located in.



Please note that the 3rd field; (Street Address) will contain all data from that set which includes street number, street name, avenue, street or place, etc. and suite or unit number. This information will represent one column.

Also the 4th field; (City, State) will contain all data from that set which includes the name of the city and state. This information will represent one column.

Eg: File Format of your data file

12345; Jones Kevin; 312 Lake Street; Norcross GA; 12345 represents the Customer ID and is in column 1 of your Input File data so then you would proceed to the 6th field; (Customer ID) and select 1 from the drop down menu. Then Norcross GA represents data for the 4th field; (City, State) and since it is located in column 5 of your Input File data you would select number 5 and so on.

Please note: The 1st field, Name or First Name, does not provide the selection option of "None" and must have a number between 1 and 9 selected as at a minimum there will be one name to search if no last name is present.**

Once you have identified each column of data from your Input File and have selected the appropriate number that represents that column, then click "Save" and that will become your new program default to recognize and search against your specific Input File format.

To change the program default delimiter from a Tab or Semicolon to recognize a specific delimiter in your Input File, please refer to the subject that explains how to change the Input File delimiter to default to the delimiter type your file utilizes.

Update FinCEN Files Function

What is the Update FinCEN Files function used for?

The first option allows you to import FinCEN List Files via being directed to the FinCEN website login and completing the download process.

The second option allows you to display FinCEN List Files in the appropriate windows.

Single Searching Topics

What is the Single Search function used for?

How do we save a Single Name Search Result Report?

How do we view saved Single Name Search Result Reports?

How do we print a Single Name Search Result Report?



What is the Single Search function used for?

The Single Search function is used for FinCEN single name and input searches.

Search options are:

Name Only, SSN/EIN Only, Name and DOB Name and Address and SSN/EIN and DOB, Name or Address or SSN/EIN or DOB

How do we save a Single Name Search Result Report?

Once you have conducted a search of an entry click on the Save button under Report Options.

A Save As dialogue box will open which should default to the Single Search Output folder in the Save In box. To save the search result report in a shared folder on a network, please go to the Setup tab to designate where that folder is located and be sure to click Save.

The program default is setup to name the search result file by the name searched, date and time search was completed so no extra steps are necessary by the user to name the files. Eg: Smith 2015-07-01 1005PM.rtf

Users can name the saved file by another file name by typing in that data and clicking Save. In either case simply click the Save button and the window will close.

How do we view saved Single Name Search Result Reports?

Under the Single Name Search tab, click the View button under Report Options. A Look in dialogue box will open which should default to the Single Search Output folder in the Look in box. If it has been changed please be sure to use the drop down menu to select Single Search Output folder in that box.

Look through the saved reports and select the one you would like to view and then double click that report file.

You can also click the Print button under Report Options if you choose to print the report you are viewing.

How do we Print a Single Name Search Result Report?

Upon completion of a Single Name Search click the Print button under Report Options.

You will be prompted to choose to save the report and if you choose to only print the report, simply select No and the current open report will print.

****Please note that the data you enter in the Report Entry Fields will be saved and will populate the corresponding fields on the report after you click the Save button under Report Options******



Batch Searching Topics

What is the Batch Search function used for and how do we set it up?

What are the Input File formats used in a batch search?

What if we receive a "Parse Error" message in Batch Search Report Results?

How would we use the Batch Search function to conduct a one-time file search?

How would we print the one time file search Batch Search Result Report?

How do we save a Batch Search Result Report?

How do we view saved Batch Search Result Reports?

How do we print a Batch Search Results Report?

What is the Batch Search function used for and how do we set it up?

The Batch Search function is used for searching an entire database against the FinCEN files by simply uploading a text file.

Batch Search Function Setup

Please refer to the following steps in order to perform a batch search:

You will first need to setup your data Input File. See the question on what Input File formats are used in a batch search.

Then proceed to the Setup tab and go down to Batch Files and in the Input Batch File Name field select Browse and locate your data Input File and be sure to click Save. This path will always be the default if you have saved it.

If you are setting up the program to share common member/customer files, accept lists, updated FinCEN files, and output search result report files across a network environment, please refer to the subject that explains file sharing setup over a network.

Batch Search options are:

Name Only, Name and Address, Name or Address

What are the Input File formats used in a batch search?

Name Only

Example: Bin Laden Charles Taylor AGUIAR Raul



Or in some cases there is a single name:

Example: Abdullah

Name; Address; City; Country; Member/Customer#

Example: Charles Taylor; Avenida de Concha, Espina;;;1000 John; Avenida de Concha, Espina;;;2001 Bin Laden;;;5000 Airway;Avenida de Concha, Espina;;;3000 AGUIAR Raul;Avenida de Concha, Espina;Madrid;Spain;70

Please note: The program default delimiter provides for a Tab or a Semicolon and both are Auto Detected by the program.**

You can setup the program to recognize a specific delimiter that your Input Files are using.

To change the program default delimiter from a Tab or Semicolon to recognize a specific delimiter in your Input File, please refer to the subject that explains how to change an Input File delimiter. The program does not support multi-parameter text files such as "csv" files.

Batch Search Report Results - Parse Error

What if we receive a "Parse Error" message in Batch Search Report Results?

If your Input Files, (data files) are not properly setup for the program to process you may find this message in Report display: "Parse errors in the Input Batch File that were not processed." If you select "Full Report" under the Display Options and process a Batch Search then the Report will provide details on the Error, the line of information it is on and also a description of what has caused the Error message.

There are three possible Error messages:

Too many columns – if this Error message appears in the Report display than the line of information, (from your Input File), that the Error is indicated on has more columns of information than the rest of your file is setup with Eg: your Input File is setup with six columns of information however that particular line of information has seven or more columns

Too few columns – if this Error message appears in the Report display than the line of information, (from your Input File), that the Error is indicated on has fewer columns of information than the rest of your file is setup with Eg: your Input File is setup with six columns of information however that particular line of information has five or less columns

Needs the name column – if this Error message appears in the Report display than the line of information, (from your Input File), that the Error is indicated on is missing the Name column Eg: your Input File is setup with column five being your Name column however that particular line of information only lists four columns of information which indicates that the column five for the Name is missing



How would we use the Batch Search function to conduct a one-time file search?

One-time Batch Search of a specific file

Click on Batch Search tab and then refer to the section named Batch Search File Options and click the Browse button next to the Input File field and locate the file that you would like to conduct a one time file search on.

Once the path to that file is in the Input File field you can then click the Batch Search button and the search will commence.

If you choose to save that results report, upon completion of the Batch Search click the Save Output File button.

The Save As dialogue box will open with a prompt to save the search results in the file folder named Batch Output.

If the Batch Output file folder is not in the Save in field due to a previously saved folder path, simply go to the Setup tab and select it or any folder you wish to save the report to and click Save and once the program is closed it will default to that folder each time the program is opened for use. You will need to conduct the search again if you change the folder path under the Setup tab.

The program default is setup to name the search result file by the date and time search was completed so no extra steps are necessary by the user to name the files. Default file name Eg: 2011-07-01 1005PM.rtf

Users can name the saved file by another file name by typing in that data and clicking "Save". In either case simply click the Save button and the window will close.

Once you close the program this one time file search path will be deleted and opening the program again your previously saved Input Batch File path will once again be in place.

****Please note: performing one time file searches will not change any previously saved paths to files you would routinely search.******

How would we print the one time file search Batch Search Result Report?

Upon completion of the batch search, simply click the Print Output File button and the Batch Search Result report will be printed.

How do we save a Batch Search Result Report?

Upon completion of a Batch Search click the Save Output File button under Report options which will open the Save As dialogue box which will open with a prompt to save the search results in the file folder Batch Output.



If the Batch Output file folder is not in the Save in field due to a previously saved folder path, simply go to the Setup tab and select it or any folder you wish to save the report to and click Save and once the program is closed it will default to that folder each time the program is opened for use. You will need to conduct the search again if you change the folder path under the Setup tab.

The program default is setup to name the search result file by the date and time search was completed so no extra steps are necessary by the user to name the files. Default file name Eg: 2015-07-01 1005PM.rtf

Users can name the saved file by another file name by typing in that data and clicking Save.

In either case simply click the Save button and the window will close.

How do we view saved Batch Search Result Reports?

Under the Batch Search tab click on the View Output File button.

A Look in dialogue box will open which should default to the Batch Output folder in the Look in box. If it has been changed please be sure to use the drop down menu to select the Batch Output folder in that box.

Look through the saved reports and select the one you would like to view and then double click that report file and the report will populate the Report field. You can also click the Print button under Report Options if you choose to print the report you are viewing.

How do we print a Batch Search Results Report?

Upon completion of a batch search you have the option to immediately print that search result report by clicking on the Print Output File button.

If you would like to view archived search result reports in order to select one for printing, refer to the following:

Under the Batch Search tab click on the View Output File button under Report Options.

A Look in dialogue box will open which should default to the Batch Output folder in the Look in box. If it has been changed please be sure to use the drop down menu to select the Batch Output folder in that box.

Look through the saved reports and select the one you would like to view and then double click that report file and the report will populate the Report field.

Once you have the desired report open, click the Print Output File button and the report you are viewing will be printed.



Consolidated Report Topics

How do we consolidate search result reports from multiple dates into one report?

How do we save a Consolidated Report?

How do we view a Consolidated Report?

How do we print a Consolidated Report?

How do we consolidate search result reports from multiple dates into one report?

In order to compile a consolidated search result report consisting of reports from multiple dates, go to the toolbar and click "Consolidate Reports".

A "Consolidated Report Options" prompt will appear. Specify the date range you would like the reports to be consolidated from and to and click "OK" and the report consolidation process will take place.

If the date range is not what you desire, simply click "Cancel" and you will be taken back to the "Consolidated Report Options" prompt to adjust the desired date range.

The resulting Consolidated Report will populate the "Report" field.

How do we save a Consolidated Report?

Once the desired Consolidated Report processing has completed, click the "Save" button under Report Options. A "Save As" dialogue box will open which should default to the Single Search Output folder in the Save In box.

To save the search result report in a shared folder on a network, please go to the Setup tab to designate where that folder is located and be sure to click "Save".

The program default is setup to name the Consolidated Report as such along with the date and time the report processing was completed so no extra steps are necessary by the user to name the files. Eg: Consolidated Report 2015-03-01 1005PM.rtf

Users can name the saved file by another file name by typing in that data and clicking "Save".

In either case simply click the "Save" button and the window will close.

How do we view a Consolidated Report?

Under the Single Name Search tab, click the "View" button under Report Options.



A Look in dialogue box will open which should default to the Single Search Output folder in the Look in box. If it has been changed please be sure to use the drop down menu to select Single Search Output folder in that box.

Under the Batch Search tab, click the “View Output File” button under Report Options.

A Look in dialogue box will open which should default to the Batch Output folder in the Look in box. If it has been changed please be sure to use the drop down menu to select the Batch Output folder in that box.

Look through the saved reports and select the one you would like to view and then double click that report file.

You can also click the “Print” button under Report Options if you choose to print the report you are viewing in the “Report” field.

How do we print a Consolidated Report?

Upon processing completion of a Consolidated Report, click the “Print” button under Report Options.

You will be prompted to choose to save the report and if you choose to only print the report, simply select

No and the current open report will print.

The Accept List

The Accept List is used to add and store names so that the names added will not show up as matches in future searches which will prevent false positive name matches from occurring.

How to Add Names to the Accept List

This function must be accessed under the Accept List Options button and entries can be made on a single input basis by entering the name in the Accept List field and then clicking the Add Name to List button.

Additionally, if you have a name entered into the Single Name Search field you can click the Accept List Options button and that name will appear in Accept list field and you can then click the Add Name to List button.

To add a list of names click the Accept List Options button and then click the Edit Accept List button and then enter the names in the exact format they showed up as matches in the Report field under the Batch Search tab. Then click the Save Accept List button and the names will be added to the Accept List.



Once names are added to the Accept List those names will no longer show up as matches to the FinCEN list but will be reported as being on the Accept List in the search results report.

It is recommended that you periodically search the Accept List names against the FinCEN list to ensure that they have not been included in updated FinCEN lists.

****Please note: to properly setup the Accept List you must enter the names that show up as matches from the FinCEN list in the exact format as they are listed in as matches.******

Eg: if the Search Report under Batch Search shows: john a smith or smith john a as being a FinCEN match then you must enter the exact name match from the report in the Accept List. Any variation on how the names are entered will preclude the names from showing up as being on the Accept List in future searches and will result in indicating them as a FinCEN match.

How do we print the Accept List?

Click the Accept List Options button and then click the Edit Accept List button and the Accept List will populate the Accept List field.

You can make additions or deletions to the Accept List or simply keep the current Accept List as is.

In either case click the Save Accept List button and then click OK on the message prompt.

The Print Accept List button will become active and you can now click the Print Accept List button to perform the function.

Once clicked a Print prompt will popup which will enable you to select an option from the Name drop down menu