



OFAC PatriotT program Help Files

What is the OFAC Patriot program and what is it designed for?

The OFAC Patriot program is an application that is designed to help financial institutions and other government mandated industries in the U.S. and across the globe, to be in compliance with the regulations of 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 OFAC laws and regulations.

The OFAC division of the U.S. Department of Treasury also requires that other listed industries routinely check their customer information against the OFAC provided OFAC Data files.

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

The OFAC 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 OFAC provided OFAC Data Files.

What are the basic functions of the OFAC Patriot program?

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

☑ Update the latest OFAC Data files with a simple click of the Live Update button or use the Setup function on the toolbar to setup the program to automatically download the OFAC Data files each time the program is opened for use (allows you to select from; Download and Index OFAC Data files, or Build OFAC Data file Indexes Only, and if check mark is applied to Download and Index OFAC Data files the program will automatically download the OFAC Data files and build the indexes each time the program is opened for use)

Create custom accept lists to prevent false positive name matches

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

Search single name entries and transactions against the OFAC Data files (Windows, Server and .dll versions)

Search an entire database of member/customer information files against the OFAC Data 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

Using OFAC Patriot program covers the following Topics:

OFAC 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 Live Update function used for?

What is the Single Search function used for?

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

The Accept List

OFAC Patriot program Network Sharing Topics

The OFAC 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 OFAC Data file Folder

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 OFAC Data file Folder

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

Please refer to the following instructions:

Before or after (it does not matter when) installing the OFAC 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 Live Updates), must have the program and the shared OFAC Data folder on the same drive.

After installing the OFAC Patriot program on the workstations open the program and select the Setup tab on the program, under System Info go to OFAC 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 use the Live Update as the updated OFAC Data files will be placed into that shared folder and all programs installed will automatically default to that location to access the updated OFAC Data files. That eliminates more than one person having to do a Live Update.

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 OFAC Data files.

To setup and use this function follow these steps:

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

Under Batch Files go to Batch Output Folder Name path field and the 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



**Please 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 1110AM.rtf

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 OFAC 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

**Please 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 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 OFAC Data 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 OFAC 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 OFAC Patriot program on the desired workstations open the program and select the Setup tab on the program, under System Info go to Accept List File Name path field 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

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 six 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

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.

Live Update Function

What is the Live Update Function used for?

This function allows you to obtain the most recent OFAC Data files as provided by the OFAC division of the U.S. Department of Treasury.

The functions to select from are:

Download and Index OFAC Data files (Upon initial program installation, a popup message will appear the first time the program is opened which will ask if you would like to automatically Download and Index OFAC Data files each time the program is opened for use. The process of connecting to the OFAC server to Download the OFAC Data files will only take place one time in a 24 hour period. This is setup so that in the event the program is opened a number of times in a 24 hour period time will not be wasted by duplicating the process upon each program start up. Select the choice that will enable this to take place.



To turn this feature off, simply go to the Setup tab and remove the existing check mark next to: Run Live Update automatically upon starting program. By turning off this feature you will need to click the Live Update button on the toolbar and click Download and Index OFAC Data files.)

Build OFAC Data file Indexes Only

In the event that you need to obtain the OFAC Data files manually, e.g. via email.

Manually copy the OFAC Data files to the folder holding the OFAC Data files and run the "Build OFAC Data file Indexes Only."

You can also wait and try to run the update at a later time after OFAC has had time to get the servers back online.

Single Searching Topics

What is the Single Search function used for?

How to save a Single Name Search Result Report

How to view saved Single Name Search Result Reports

How to print a Single Name Search Result Report

What is the Single Search function used for?

The Single Search function is used for OFAC Data file single name and input searches.

Search options are:

Name Only, Name and Address, Name or Address

How to 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 to 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 to 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 the Batch Search function is used for and how to 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 to save a Batch Search Result Report

How to view saved Batch Search Result Reports

How to print Batch Search Results Reports

What the Batch Search function is used for and how to set it up

The Batch Search function is used for searching an entire database against the OFAC Data 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 click on the Setup tab on the toolbar and go down to the Batch Files section and in the Input Batch File Name field select Browse and locate your data Input File and be sure to click Save once your file has appeared in the path field. This path will always be the default if you have saved it.

If you are setting up the program to share common member/client files, accept lists, updated OFAC Data 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

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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 to 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: 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.

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 to print a 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 to 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 to 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 to print Batch Search Results Reports

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.

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 OFAC Data files 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 OFAC Data files to ensure that they have not been included in updated OFAC Data files.

****Please note:** to properly setup the Accept List you must enter the names that show up as matches from the OFAC Data files 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 an OFAC Data file 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 an OFAC Data file match.

How to 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

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