
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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For an updated copy of this booklet, check out the Reference Materials page of our website:
http://www.cuanswers.com/client_reference.php
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TASK 1 - DOWNLOAD FIELD DEFINITION FILES (*.FDF)

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” (*.FDF) text files are required to define the exact field lengths in the files to be uploaded:

- ◆ SDN.FDF
- ◆ ALT.FDF
- ◆ CONS_PRIM.FDF
- ◆ CONS_ALT.FDF

The files can be downloaded on the Reference Materials page of our website (look under “O”): http://www.cuanswers.com/client_reference.php

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.*

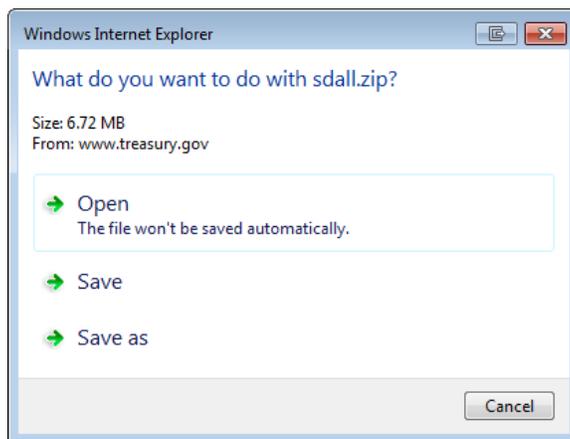
TASK 2 - DOWNLOAD THE SDN LIST TO A PC

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:

<https://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx>

2. In the Data Center area, click on the SDALL.ZIP file to download it.



3. When the dialog box appears, click Save As.
4. 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.

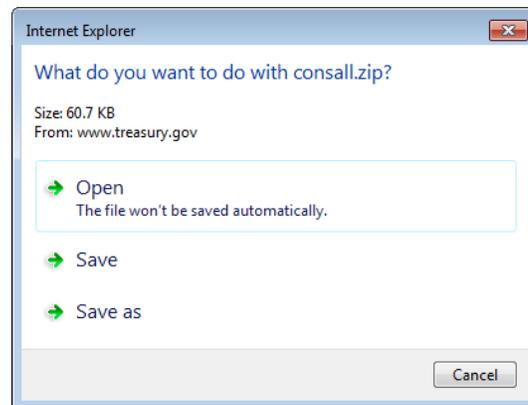
TASK 3 - DOWNLOAD THE NON-SDN LISTS TO A PC

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:

<https://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/consolidated.aspx>

2. In the Data Center area, click on the CONSALL.ZIP file to download it.



3. When the dialog box appears, click Save As.
4. 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.

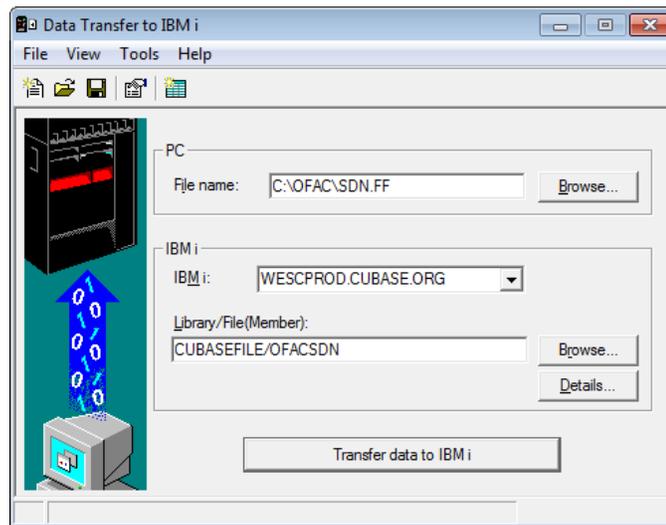
TASK 4 - UPLOAD THE PC FILES TO YOUR I SERIES

This task takes all of 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 navigate to the File Transfer/Audit Functions (MNFILE) menu.
2. Choose **File Upload (PC to iSeries)**.

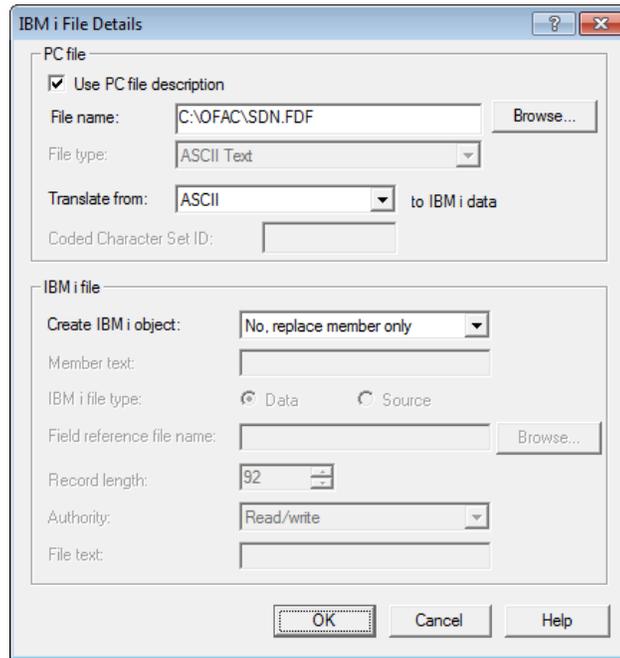
SDN Primary Names

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



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: SDN.FF
iSeries System	Choose your iSeries name
Library/File(Member)	Enter the following: CUBASEFILE/OFACSDN

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



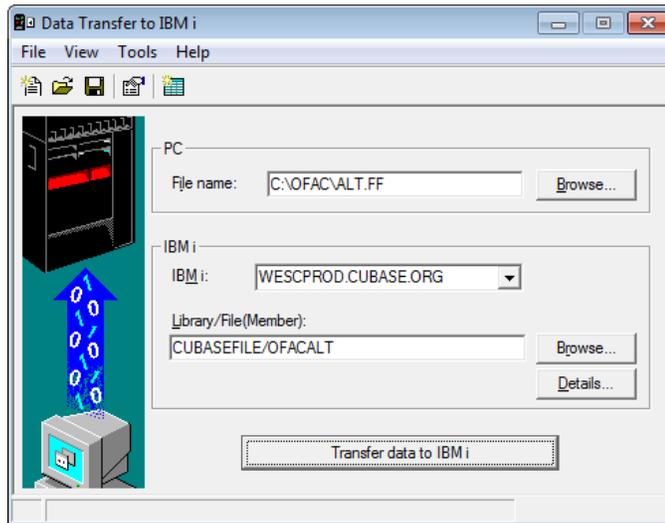
<i>Option</i>	<i>Instructions</i>
Use PC file description	<input checked="" type="checkbox"/> (checked)
File name	Enter the complete path where the downloaded files were extracted and the following file name: SDN.FDF
Translate from	ASCII
Create iSeries object	No, replace member only

6. Then click OK to save the settings and return to the previous dialog box.
7. Click **Transfer data to iSeries** to begin the upload.
8. 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 **File, Save As...** and specify a name and location for the transfer request. Next time, simply use **File, Open** and select the saved request to use the same settings again.*

SDN Alternate Names

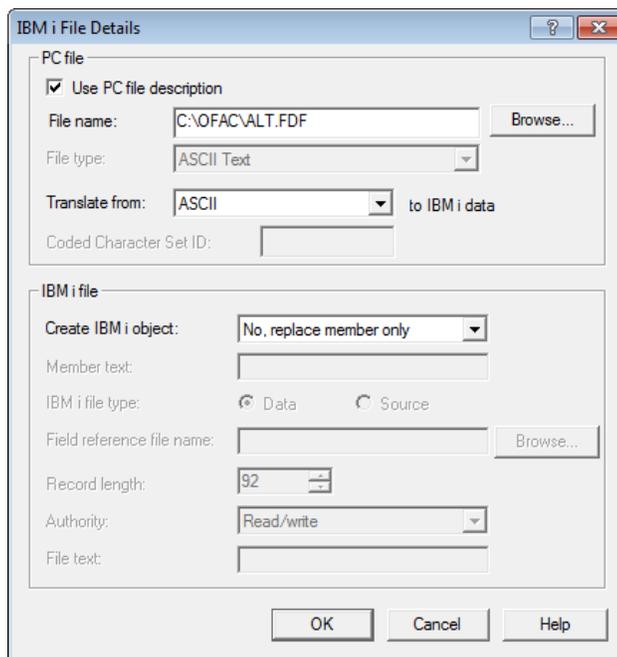
9. Return to the Data Transfer dialog box and enter the following settings:



<i>Option</i>	<i>Instructions</i>
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

10. Click the **Details** button.

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



<i>Option</i>	<i>Instructions</i>
Use PC file description	<input checked="" type="checkbox"/> (checked)

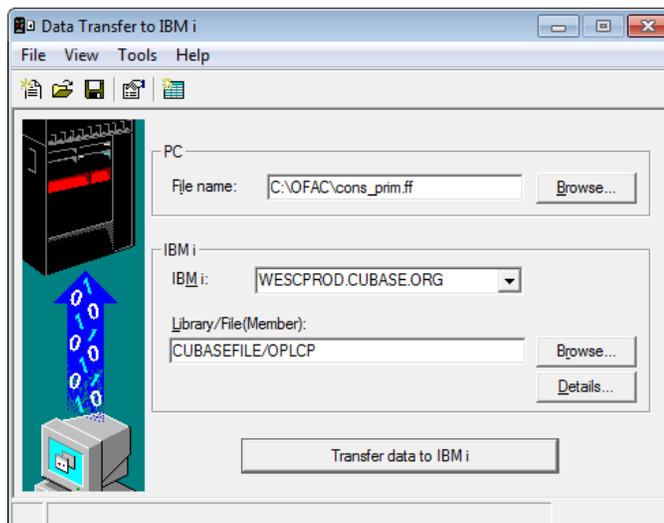
<i>Option</i>	<i>Instructions</i>
File name	Enter the complete path where the downloaded files were extracted and the following file name: ALT.FDF
Translate from	ASCII
Create iSeries object	No, replace member only

12. Then click OK to save the settings and return to the previous dialog box.
13. Click **Transfer data to iSeries** to begin the upload.
14. 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.

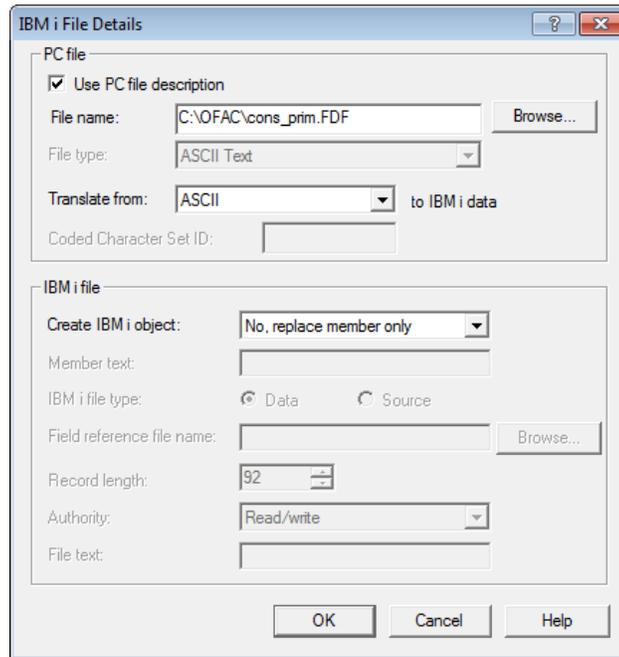
Consolidated Non-SDN Primary Names

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



<i>Option</i>	<i>Instructions</i>
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

16. Click the **Details** button.
17. In the iSeries File Details dialog box, enter the following selections:



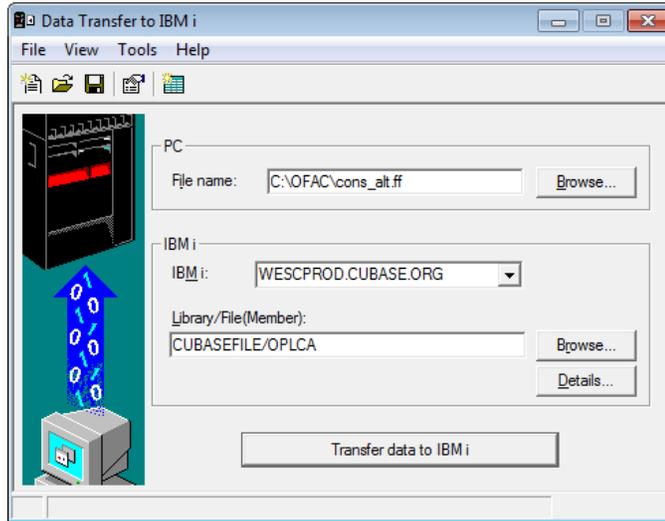
<i>Option</i>	<i>Instructions</i>
Use PC file description	<input checked="" type="checkbox"/> (checked)
File name	Enter the complete path where the downloaded files were extracted and the following file name: cons_prim.FDF
Translate from	ASCII
Create iSeries object	No, replace member only

18. Then click OK to save the settings and return to the previous dialog box.
19. Click **Transfer data to iSeries** to begin the upload.
20. 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 **File, Save As...** and specify a name and location for the transfer request. Next time, simply use **File, Open** and select the saved request to use the same settings again.*

Consolidated Non-SDN Alternate Names

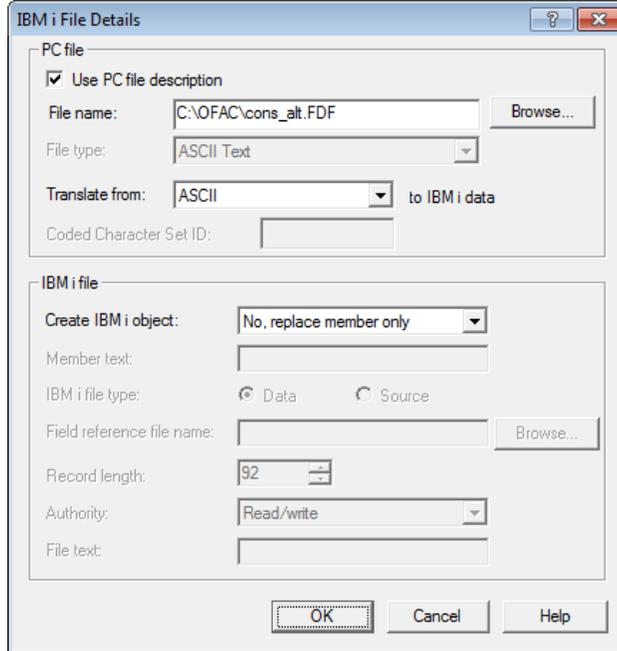
21. Return to the Data Transfer dialog box and enter the following settings:



<i>Option</i>	<i>Instructions</i>
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

22. Click the **Details** button.

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



<i>Option</i>	<i>Instructions</i>
Use PC file description	<input checked="" type="checkbox"/> (checked)

<i>Option</i>	<i>Instructions</i>
File name	Enter the complete path where the downloaded files were extracted and the following file name: cons_alt.FDF
Translate from	ASCII
Create iSeries object	No, replace member only

24. Then click OK to save the settings and return to the previous dialog box.
25. Click ***Transfer data to iSeries*** to begin the upload.
26. 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.

27. 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, “Using the CU*BASE Data Match System for OFAC Compliance.”