

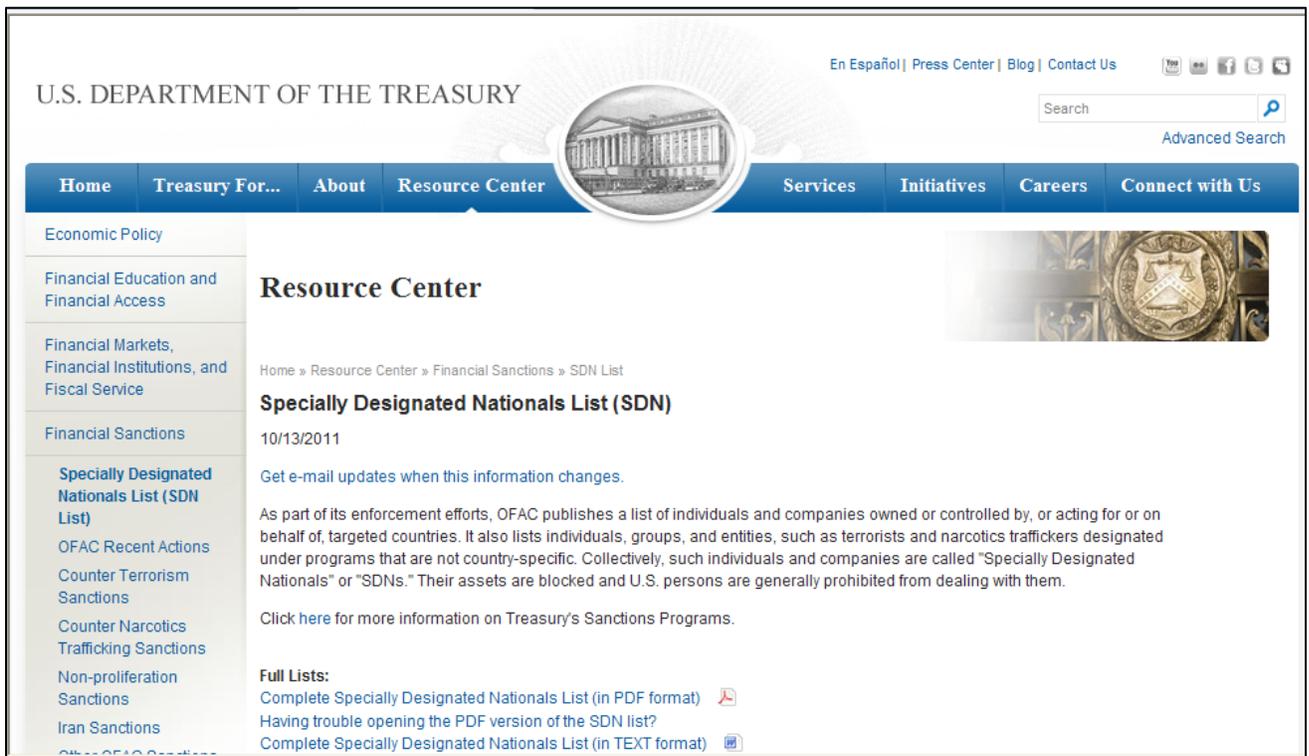
### Financial Sanctions Process

Cardinal Financial Sanctions processing allows you to identify, review and update Commonwealth vendors on the federal Financial Sanctions List using a two-step process:

1. Load the updated U.S. Department of Treasury Financial Sanctions List
2. Review vendors on the report and update

### Loading new Financial Sanctions List:

As indicated on the website, individuals can sign up to be notified when the list is updated.



The screenshot shows the U.S. Department of the Treasury website. The header includes the text "U.S. DEPARTMENT OF THE TREASURY" and a search bar. The navigation menu includes "Home", "Treasury For...", "About", "Resource Center", "Services", "Initiatives", "Careers", and "Connect with Us". The "Resource Center" is selected, and the page displays the "Specially Designated Nationals List (SDN)" page. The page content includes a breadcrumb trail: "Home » Resource Center » Financial Sanctions » SDN List". The main heading is "Specially Designated Nationals List (SDN)" with a date of "10/13/2011". Below the heading, there is a link to "Get e-mail updates when this information changes." and a paragraph explaining that OFAC publishes a list of individuals and companies owned or controlled by, or acting for or on behalf of, targeted countries. It also lists individuals, groups, and entities, such as terrorists and narcotics traffickers designated under programs that are not country-specific. Collectively, such individuals and companies are called "Specially Designated Nationals" or "SDNs." Their assets are blocked and U.S. persons are generally prohibited from dealing with them. There is a link "Click here for more information on Treasury's Sanctions Programs." and a section titled "Full Lists:" with two links: "Complete Specially Designated Nationals List (in PDF format)" and "Complete Specially Designated Nationals List (in TEXT format)".

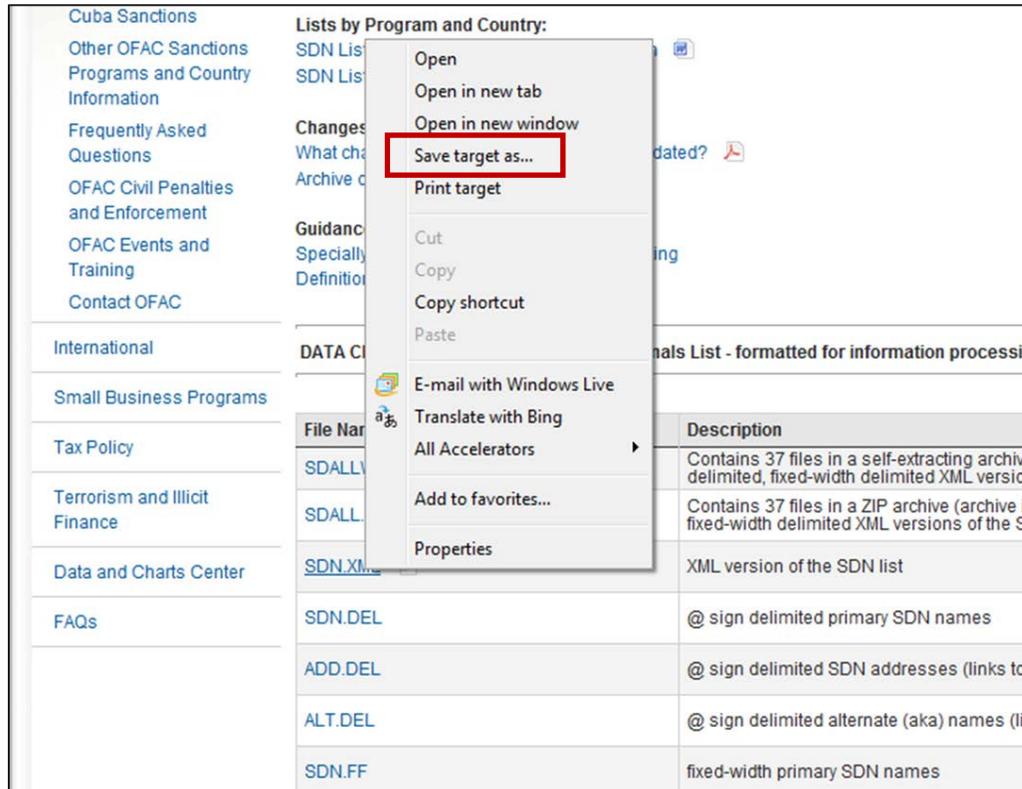
1. Navigate to <http://www.ustreas.gov/offices/enforcement/ofac/sdn/>.

Programs and Country Information	SDN List Sorted by Country
Frequently Asked Questions	Changes to the SDN List: What changed on the list when it was last updated? Archive of changes to the SDN list
OFAC Civil Penalties and Enforcement	Guidance: Specially Designated Nationals Alias Screening Definition of SDN List program tags
OFAC Events and Training	
Contact OFAC	
International	DATA CENTER - Specially Designated Nationals List - formatted for information processing
Small Business Programs	
Tax Policy	
Terrorism and Illicit Finance	
Data and Charts Center	
FAQs	

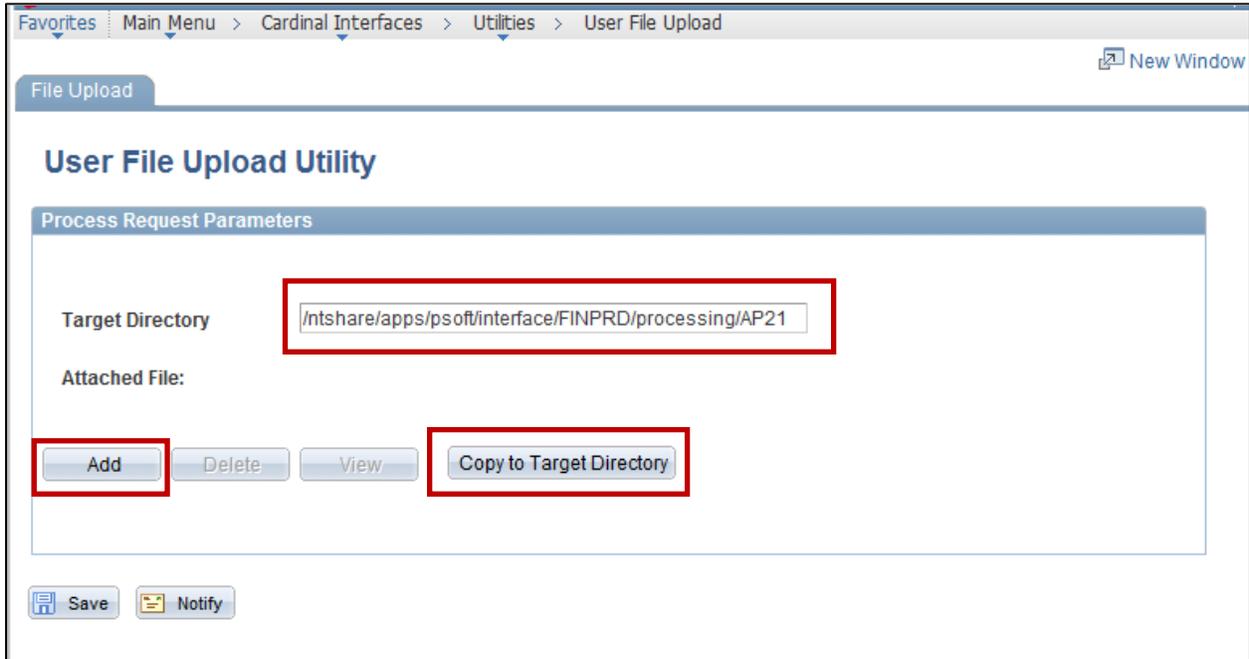
  

File Name	Description
SDALLW32.EXE	Contains 37 files in a self-extracting archive (archive includes CSV, @ sign delimited, fixed-width delimited XML versions of the SDN list)
SDALL.ZIP	Contains 37 files in a ZIP archive (archive includes CSV, @ sign delimited, fixed-width delimited XML versions of the SDN list)
SDN.XML	XML version of the SDN list
SDN.DEL	@ sign delimited primary SDN names
ADD.DEL	@ sign delimited SDN addresses (links to SDN.DEL and ALT.DEL)
ALT.DEL	@ sign delimited alternate (aka) names (links to ADD.DEL and SDN.DEL)
SDN.FF	fixed-width primary SDN names

- 2 Scroll down the page. Right click on the **SDN.XML** file from the list.



- 3 Select **Save Target As** and place the file on your computer. Do not change the file name.



File Upload

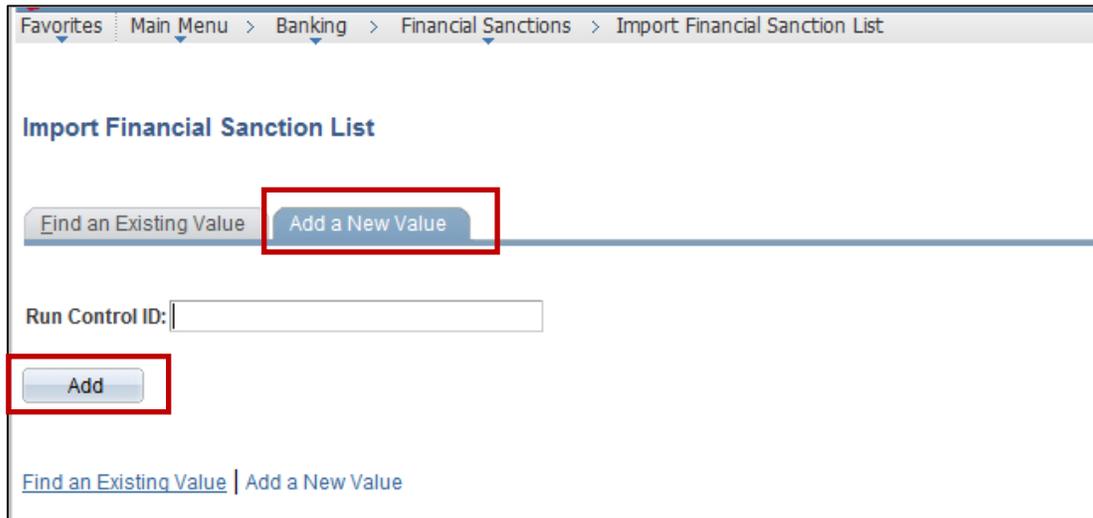
### User File Upload Utility

Process Request Parameters

Target Directory:

Attached File:

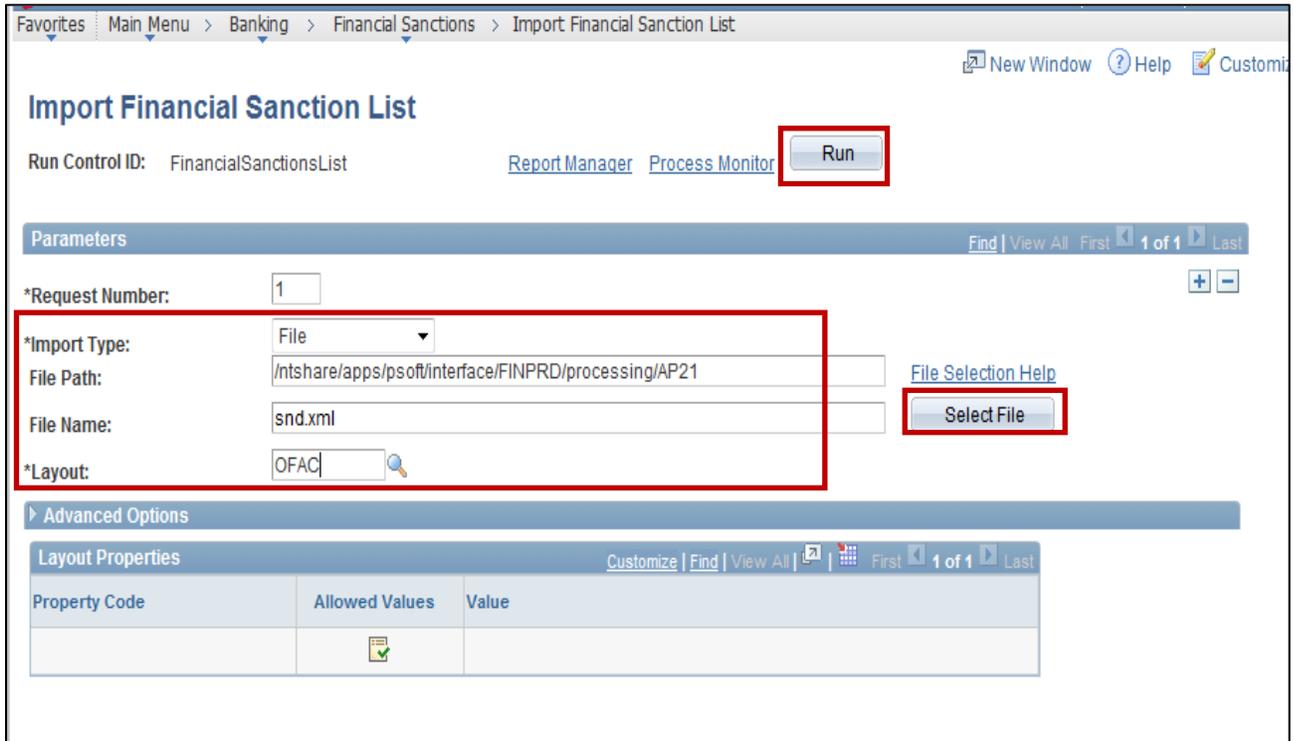
- 4 Log into Cardinal and navigate to **Cardinal Interfaces > Utilities > User File Upload**.
- 5 Enter the path and folder information in the Target Directory box:  
**/ntshare/apps/psoft/interface/FINPRD/processing/AP21**
- 6 Click the **Add** button
- 7 Browse to select the financial sanctions file (SDN.XML) that you saved to your computer and click the **Upload** button.
- 8 Once the file has been selected, select the **Copy to Target Directory** button to save file in the Cardinal folder.
- 9 Navigate to **Banking > Financial Sanctions > Import Financial Sanctions List**.



- 10 If you have never run this before, enter **Run Control ID** (FinancialSanctionsList) on the **Add a New Value** tab. Once you create a **Run Control ID**, it can never be deleted.

You can use the same Run Control ID for whenever you run the Financial Sanctions List. Always use the original **Run Control ID** after the initial creation. **Search** for and select the **Run Control ID** on the **Find an Existing Value** tab.

- 11 Click the **Add** button when initially creating the **Run Control ID** on the **Add a New Value** tab.  
Click the **Run Control ID** from the **Search** list on the **Find an Existing Value** tab.



Favorites | Main Menu > Banking > Financial Sanctions > Import Financial Sanction List
 New Window | Help | Custom

### Import Financial Sanction List

Run Control ID: FinancialSanctionsList
 [Report Manager](#)
[Process Monitor](#)
Run

**Parameters** Find | View All | First 1 of 1 Last

\*Request Number:  + -

\*Import Type:

File Path:  [File Selection Help](#)

File Name:  Select File

\*Layout:  

**Advanced Options**

**Layout Properties** Customize | Find | View All | First 1 of 1 Last

Property Code	Allowed Values	Value
		

**12** Verify the **Import Type** is **File**.

**13** Enter **File Path** to the financial sanctions file (i.e., **/ntshare/apps/psoft/interface/FINPRD/processing/AP21**).

**14** Click the **Select File** button.

**15** Choose the **snd.xml** file.

**16** Enter **OFAC** as **Layout**.

**Note for steps 12-16:** You will not need to repeat these steps after these have been initially completed. You will only need to review the data after that point to confirm accuracy.

**17** Click the **Run** button. This opens the **Process Scheduler** page.

**18** Click **Ok**.

**19** Click the **Process Monitor** hyperlink and verify the process has run successfully with a **Run Status** of **Success** and **Distribution Status** of **Posted**.

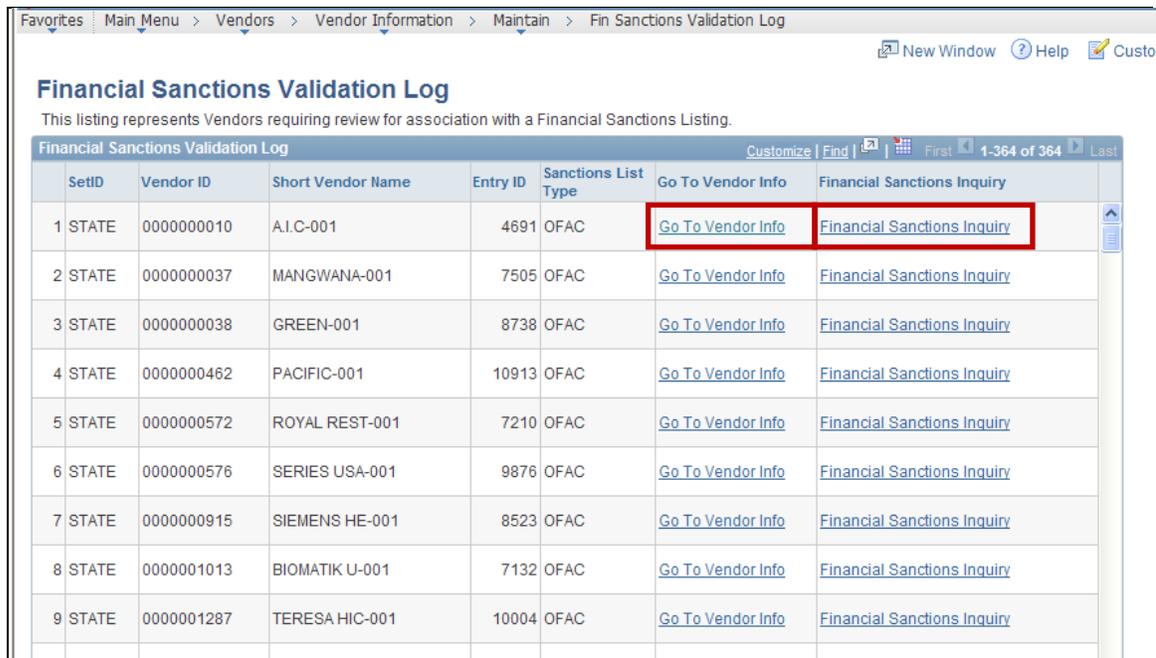
**20** For full Quarterly Financial Sanctions processing:

- a. Submit a request to the Help Desk (by Monday)
- b. Request that the full Financial Sanctions validation process be run the upcoming weekend

We recommend that this process be run over the weekend because of the resources required. It compares every Cardinal vendor to those on the Financial Sanctions List.

### Financial Sanctions Review:

- 1 Navigate to **Vendor > Vendor Information > Maintain > Financial Sanctions Validation Log** to view vendors that are in Financial Sanctions Review status.

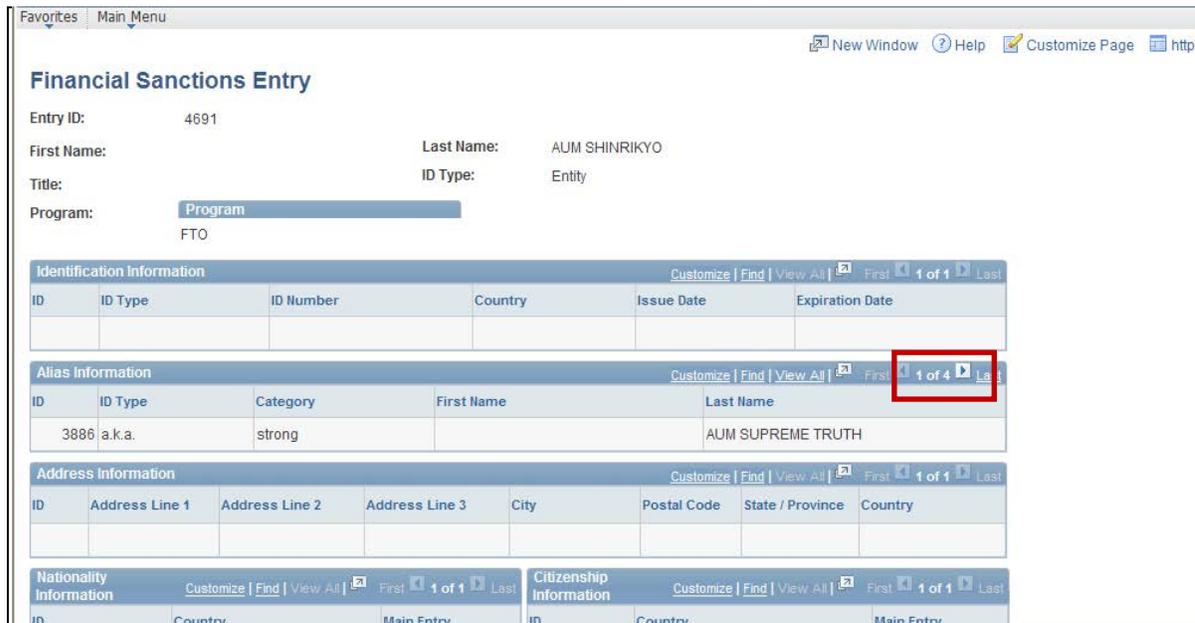


Financial Sanctions Validation Log

This listing represents Vendors requiring review for association with a Financial Sanctions Listing.

SetID	Vendor ID	Short Vendor Name	Entry ID	Sanctions List Type	Go To Vendor Info	Financial Sanctions Inquiry
1 STATE	0000000010	A.I.C-001	4691	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>
2 STATE	0000000037	MANGWANA-001	7505	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>
3 STATE	0000000038	GREEN-001	8738	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>
4 STATE	0000000462	PACIFIC-001	10913	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>
5 STATE	0000000572	ROYAL REST-001	7210	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>
6 STATE	0000000576	SERIES USA-001	9876	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>
7 STATE	0000000915	SIEMENS HE-001	8523	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>
8 STATE	0000001013	BIOMATIK U-001	7132	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>
9 STATE	0000001287	TERESA HIC-001	10004	OFAC	<a href="#">Go To Vendor Info</a>	<a href="#">Financial Sanctions Inquiry</a>

- 2 Click both the **Go to Vendor Info** and **Financial Sanctions Inquiry** hyperlinks to review information on the vendor and on the Specially Designated Nationals (SDN) list.



Financial Sanctions Entry

Entry ID: 4691

First Name: Last Name: AUM SHINRIKYO

Title: ID Type: Entity

Program: Program  
FTO

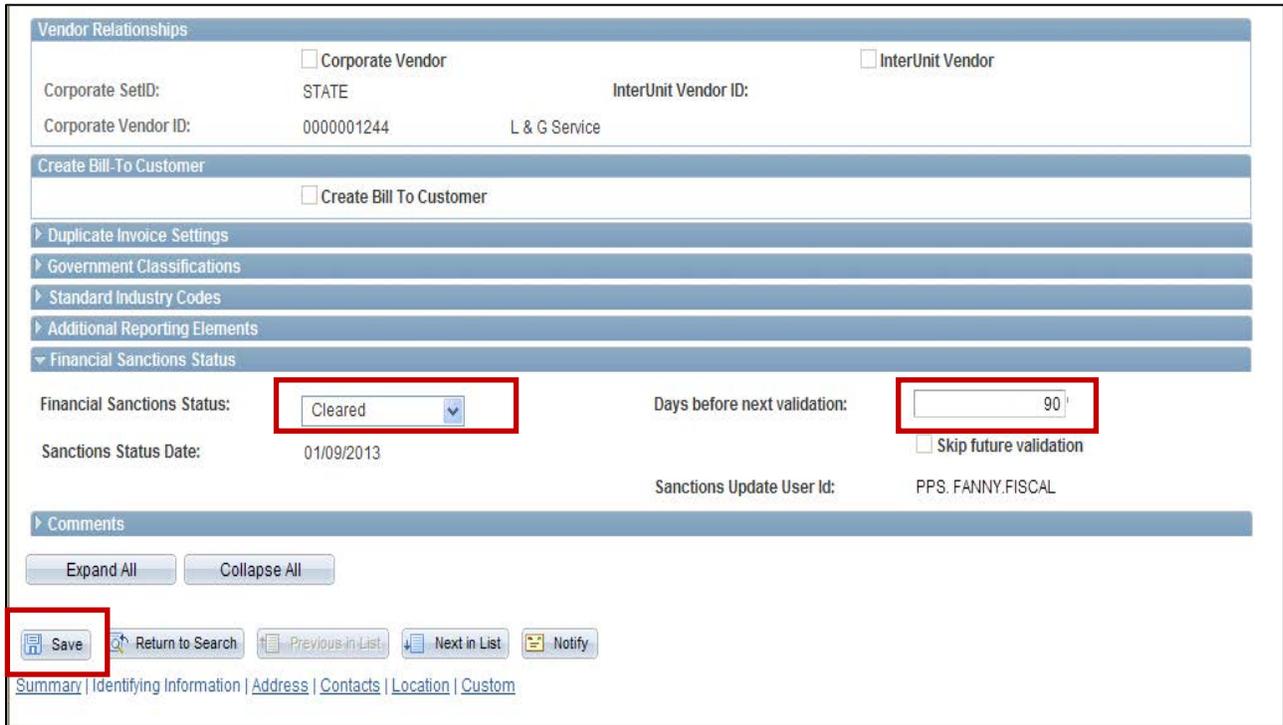
Identification Information					
ID	ID Type	ID Number	Country	Issue Date	Expiration Date

Alias Information				
ID	ID Type	Category	First Name	Last Name
3886	a.k.a.	strong		AUM SUPREME TRUTH

Address Information							
ID	Address Line 1	Address Line 2	Address Line 3	City	Postal Code	State / Province	Country

Nationality Information		Citizenship Information	
ID	Country	ID	Country

- 3 Be sure to review all the information on the SDN list. For example, the above screenshot indicates this is just one of four records. Pay close attention to this and review all the records.



Vendor Relationships

Corporate Vendor  InterUnit Vendor

Corporate SetID: STATE InterUnit Vendor ID:

Corporate Vendor ID: 0000001244 L & G Service

Create Bill-To Customer

Create Bill To Customer

▶ Duplicate Invoice Settings

▶ Government Classifications

▶ Standard Industry Codes

▶ Additional Reporting Elements

▼ Financial Sanctions Status

Financial Sanctions Status:  Days before next validation:

Sanctions Status Date: 01/09/2013  Skip future validation

Sanctions Update User Id: PPS.FANNY.FISCAL

▶ Comments

Expand All Collapse All

[Summary](#) | [Identifying Information](#) | [Address](#) | [Contacts](#) | [Location](#) | [Custom](#)

- 4 If information is not an exact match, then the hit can qualify as a non-match and the vendor's Financial Sanction status should be changed to **Cleared**.
- 5 Enter **90** as **Days before next validation**.
- 6 Click the **Save** button.
- 7 If the information is an exact match, then contact the Office of Foreign Assets control (OFAC) to confirm if the vendor status should be changed to **Blocked**.
  - a. Call OFAC hotline at 1-800-540-6322. Check online to confirm the number has not changed.
  - b. If OFAC agrees, it is recommended by the US Treasury to always contact OFAC prior to blocking a vendor, change status to **Blocked**.
  - c. Click the **Save** button.