

ANNEX - IV

ELECTRONIC DATA STRUCTURE

Report | COUNTERFEIT CURRENCY REPORT
Version | 1.0

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Appendix

Counterfeit Currency Report Summary of Counterfeit Currency Report

1. Introduction

The Prevention of Money Laundering Act, 2002 (PMLA) forms the core of the legal framework put in place by India to combat money laundering. PMLA and the Rules notified thereunder came into force with effect from July 1, 2005. Director, FIU-IND and Director (Enforcement) have been conferred with exclusive and concurrent powers under relevant Sections of the Act to implement the provisions of the Act.

2. Counterfeit Currency Report

The PMLA and Rules notified thereunder impose an obligation on banks, financial institutions and intermediaries of the securities market (reporting entity) to furnish details of all cash transactions where forged or counterfeit currency notes of bank notes have been used as genuine to the Director, FIU-IND.

A separate Counterfeit Currency Report (CCR) should be filed for each incident of detection of counterfeit Indian currency. If the detected counterfeit currency notes can be segregated on the basis of tendering person, a separate CCR should be filed for each such incident.

3. Due Date

These transactions should be reported to Director, Financial Intelligence Unit, India not later than seven working days from the date of occurrence of such transactions.

4. Methods of filing

The CCR should be submitted to the Financial Intelligence Unit – India (FIU-IND) at the following address:

Director, FIU-IND
Financial Intelligence Unit-India
6th Floor, Hotel Samrat
Chanakyapuri, New Delhi -110021, India
(Visit <http://fiuindia.gov.in> for more details)

Counterfeit Currency Reports can be filed either in manual or electronic format. However, the reporting entity must submit all reports to FIU-IND in electronic format if it has the technical capability to do so.

For reporting entities, which do not have technical capacity to generate report in electronic form, a report preparation utility for preparation of electronic Counterfeit Currency Report (CCRRPU.xls) can be downloaded from the website of the FIU-IND at <http://fiuindia.gov.in>

5. Manual format

Counterfeit Currency Reports in manual format consists of following forms:

| Form | Information | Completed by |
|---|---|---|
| Summary of Counterfeit Currency Reports | Contains summary of enclosed CCRs | Principal officer of the reporting entity |
| Counterfeit Currency Report | Details of branch and counterfeit currency. | Reporting branch/office |

The above forms are given in the Appendix.

6. Electronic format

FIU-IND is in the process of developing technological infrastructure to enable submission of electronic return over a secure gateway. In the interim, the reporting entities should submit the following to Director, FIU-IND:

- i) One CD containing three data files in prescribed data structure. A label mentioning name of the reporting entity, Unique code, type of report (CCR), report dated should be affixed on each CD for the purpose of identification.
- ii) Each CD should be accompanied by Summary of Counterfeit Currency Report for Reporting entity (same form should be used for both manual as well as electronic format) in physical form duly signed by the principal officer. This summary should match with the data in Control File (CCRCTL.txt).

Important:

- i) In case the size of data files exceeds the capacity of one CD, the data files should be compressed by using Winzip 8.1 or ZipltFast 3.0 (or higher version) compression utility only to ensure quick and smooth acceptance of the file.
- ii) The CD should be virus free.

7. Description of Data Files

In case of electronic filing, the consolidated CCR data should have following three data files:

| S No. | Filename | Description |
|-------|------------|------------------|
| 1 | CCRCTL.txt | Control File |
| 2 | CCRBRC.txt | Branch File |
| 3 | CCRTRN.txt | Transaction File |

8. Steps in preparation of data files

- i) The details of counterfeit currency should be captured in the Transaction File (CCRTRN.txt).
- ii) The details of branches should be captured in the Branch File (CCRBRC.txt).
- iii) The report level details and summary should be captured in the Control file. (CCRCTL.txt)

9. Steps in validation /sufficiency of data files

- i) There should be three data files with appropriate naming convention.
- ii) The data files should be as per specified data structure and business rules.
- iii) None of the mandatory fields should be left blank.
- iv) All dates should be entered in YYYYMMDD format.
- v) The summary figures in control file should match with the totals in other data files.
- vi) [Branch Reference Number] should be unique in Branch Data File (CCRBRC.txt)
- vii) All values of [Branch Reference Number] in Transaction Data File (CCRTRN.txt) should have matching [Branch Reference Number] value in Branch Data File (CCRBRC.txt)

10. General notes for all Data Files

- i) All Data Files should be generated in ASCII Format with ".txt" as filename extension.
- ii) Each Record (including last record) must start on new line and must end with a newline character. Hex Values: "0D" & "0A".
- iii) All CHAR fields must be left justified.
- iv) If CHAR field has no data or less data with respect to defined length, then the entire field (in case of no data) or the remaining field (in case of less data) has to be filled with right justified blank characters (Spaces).
- v) All NUM fields must be right justified.
- vi) If NUM field has no data or less data with respect to defined length, then the entire field (in case of no data) or the remaining field (in case of less data) has to be filled with left justified zeroes.
- vii) If DATE field has no data then the entire field has to be filled with blank characters (Spaces).
- viii) Fields with an asterisk (*) have to be compulsorily filled up.

- ix) For fields that do not have an asterisk (*), reasonable efforts have to be made to get the information. Enter "N/A" to indicate that the field is not applicable. Do not substitute any other abbreviations or special characters (e.g., "x", "-" or "**").

11. Data structure of Control File (CCRCTL.txt)

| S. No | Field | Type | Size | From | To | Remarks |
|-------|--------------------------------------|------|------|------|-----|---|
| 1. | Report Name* | CHAR | 3 | 1 | 3 | Value should be "CCR" signifying Counterfeit Currency Report |
| 2. | Serial Number of Report* | NUM | 8 | 4 | 11 | Indicates the running sequence number of CCR for the reporting entity starting from 1 |
| 3. | Record Type* | CHAR | 3 | 12 | 14 | Value should be "CTL" signifying Control file |
| 4. | Report Date* | NUM | 8 | 15 | 22 | Date of sending report to FIU-IND in YYYYMMDD format |
| 5. | Reporting Entity Name* | CHAR | 80 | 23 | 102 | Complete name of the reporting entity (Bank, financial institution, intermediary) |
| 6. | Reporting Entity Category* | CHAR | 1 | 103 | 103 | "A"-Public Sector Bank "B"-Private Sector Bank "C"-Foreign Bank "D"-Co-operative Bank "E"-Regional Rural Bank "F"-Local Area Bank "Z"-Other |
| 7. | Unique code of the Reporting Entity* | CHAR | 12 | 104 | 115 | Unique code issued by the regulator, if applicable |
| 8. | Unique ID issued by FIU* | CHAR | 10 | 116 | 125 | Use XXXXXXXXXXXX till the ID is communicated |
| 9. | Principal Officer's Name* | CHAR | 80 | 126 | 205 | Field + filler spaces = 80 |
| 10. | Principal Officer's Designation* | CHAR | 80 | 206 | 285 | Field + filler spaces = 80 |
| 11. | Principal Officer's Address1* | CHAR | 45 | 286 | 330 | No., Building Field + filler spaces = 45 |
| 12. | Principal Officer's Address2 | CHAR | 45 | 331 | 375 | Street/Road Field + filler spaces = 45 |
| 13. | Principal Officer's Address3 | CHAR | 45 | 376 | 420 | Locality Field + filler spaces = 45 |
| 14. | Principal Officer's Address4 | CHAR | 45 | 421 | 465 | City/Town, District Field + filler spaces = 45 |
| 15. | Principal Officer's Address5 | CHAR | 45 | 466 | 510 | State, Country Field + filler spaces = 45 |

| | | | | | | |
|-----|---|------|----|-----|-----|---|
| 16. | Principal Officer's Pin code* | NUM | 6 | 511 | 516 | Pin code without "-" or space |
| 17. | Principal Officer's Telephone | CHAR | 30 | 517 | 546 | Telephone in format STD Code-Telephone number |
| 18. | Principal Officer's FAX | CHAR | 30 | 547 | 576 | Fax number in format STD Code-Telephone number |
| 19. | Principal Officer's E-mail | CHAR | 50 | 577 | 626 | E-mail address |
| 20. | Report Type* | CHAR | 1 | 627 | 627 | "N"- New Report "R"- Replacement to earlier submitted report |
| 21. | Reason for Replacement* | CHAR | 1 | 628 | 628 | "A" – Acknowledgement of Original Report had many warnings or error messages. "B" – Operational error, data omitted in Original Report. "C" – Operational error, wrong data submitted in Original Report. "N"- Not Applicable as this is a new report "Z"- Other Reason |
| 22. | Serial Number of Original Report * | NUM | 8 | 629 | 636 | Serial Number of the Original Report which is being replaced. Mention 0 if Report Type is "N" |
| 23. | Operational Mode* | CHAR | 1 | 637 | 637 | "P"- Actual/ Production mode "T"- Test / Trial mode |
| 24. | Data Structure Version* | CHAR | 1 | 638 | 638 | Value should be 1 to indicate Version 1.0 |
| 25. | Number of Counterfeit Currency Reports* | NUM | 8 | 639 | 646 | Number of CCRs enclosed in this summary. This figure should match with the number of records in CCRTRN.txt |
| 26. | Total Value of Counterfeit Currency* | NUM | 12 | 647 | 658 | Total Value of Counterfeit Currency reported in enclosed CCRs. This figure should match with the sum of the Field Total Counterfeit Currency (S. No. 11) in CCRTRN.txt |

12. Data structure of Branch File (CCRBRC.txt)

| S. No. | Field | Type | Size | From | To | Remarks |
|--------|--------------------------|------|------|------|-----|---|
| 1. | Record Type | CHAR | 3 | 1 | 3 | Value should be "BRC" signifying Control file |
| 2. | Line Number* | NUM | 6 | 4 | 9 | Running Sequence Number for each line in the file starting from 1. This Number will be used during validation checks. |
| 3. | Name of Branch* | CHAR | 80 | 10 | 89 | Name of branch/location where the counterfeit currency was tendered Field + filler spaces = 80 |
| 4. | Branch Reference Number* | CHAR | 12 | 90 | 101 | Unique Code issued by the regulator or any temporary code to uniquely identify each branch/office |
| 5. | Unique ID issued by FIU* | CHAR | 10 | 102 | 111 | Use XXXXXXXXXXXX till the ID is communicated |
| 6. | Branch Address1* | CHAR | 45 | 112 | 156 | No., Building Field + filler spaces = 45 |
| 7. | Branch Address2* | CHAR | 45 | 157 | 201 | Street/Road Field + filler spaces = 45 |
| 8. | Branch Address3 | CHAR | 45 | 202 | 246 | Locality Field + filler spaces = 45 |
| 9. | Branch Address4 | CHAR | 45 | 247 | 291 | City/Town, District Field + filler spaces = 45 |
| 10. | Branch Address5 | CHAR | 45 | 292 | 336 | State, Country Field + filler spaces = 45 |
| 11. | Branch Pin code* | NUM | 6 | 337 | 342 | Pin code without "-" or space |
| 12. | Branch Telephone | CHAR | 30 | 343 | 372 | Telephone number in format STD Code-Telephone number |
| 13. | Branch Fax | CHAR | 30 | 373 | 402 | Fax number in format STD Code-Telephone number |
| 14. | Branch E-mail | CHAR | 50 | 403 | 452 | E-mail address |

13. Data structure of Transaction File (CCRTRN.txt)

| S. No. | Field | Type | Size | From | To | Remarks |
|--------|----------------------------|------|------|------|-----|--|
| 1. | Record Type* | CHAR | 3 | 1 | 3 | Value should be "TRN" signifying Transaction data file |
| 2. | Line Number* | NUM | 6 | 4 | 9 | Running Sequence Number for each line in the file starting from 1. This Number will be used during validation checks. |
| 3. | Branch Reference Number* | CHAR | 12 | 10 | 21 | Branch Reference Number of branch/location where counterfeit currency was tendered. Use any unique number issued by the regulator or any temporary code to uniquely identify each branch/ location |
| 4. | Denomination1000 | NUM | 10 | 22 | 31 | Number of counterfeit currency notes of Rs. 1000/- each |
| 5. | Denomination500 | NUM | 10 | 32 | 41 | Number of counterfeit currency notes of Rs. 500/- each |
| 6. | Denomination100 | NUM | 10 | 42 | 51 | Number of counterfeit currency notes of Rs. 100/- each |
| 7. | Denomination50 | NUM | 10 | 52 | 61 | Number of counterfeit currency notes of Rs. 50/- each |
| 8. | Denomination20 | NUM | 10 | 62 | 71 | Number of counterfeit currency notes of Rs. 20/- each |
| 9. | Denomination10 | NUM | 10 | 72 | 81 | Number of counterfeit currency notes of Rs. 10/- each |
| 10. | Denomination5 | NUM | 10 | 82 | 91 | Number of counterfeit currency notes of Rs. 5/- each |
| 11. | Total Counterfeit Currency | NUM | 10 | 92 | 101 | Value of counterfeit currency detected. This value should match with the value derived from the number of notes mentioned in S. No. 4 to 10 above. |
| 12. | Tendering Date | NUM | 8 | 102 | 109 | Date of tendering counterfeit currency in YYYYMMDD format, if available. E.g.: 2 nd May 2007 should be written as 20070502 |
| 13. | Total Cash Tendered | NUM | 20 | 110 | 129 | Total Cash tendered by the tenderer including the counterfeit currency, if available |
| 14. | Detection Date* | NUM | 8 | 130 | 137 | In YYYYMMDD format E.g.: 2 nd May 2007 should be written as 20070502 |
| 15. | Detected At* | CHAR | 1 | 138 | 138 | "A"- Cash Counter "B"- Branch Level "C"- Currency Chest "D"- RBI's CVPS "Z"- Other |

| | | | | | | |
|-----|--------------------------|------|----|-----|---------|---|
| 16. | Police Informed | CHAR | 1 | 139 | 13 9 | Y – for Yes, N – for No |
| 17. | FIR Detail | CHAR | 80 | 140 | 21 9 | FIR, Police Station details etc., if available |
| 18. | Additional Information | CHAR | 80 | 220 | 29 9 | Additional Information such as quality of counterfeit currency, sequence of events, if available |
| 19. | Name of Tendering Person | CHAR | 80 | 300 | 37 9 | Person who tendered the counterfeit currency, if available. |
| 20. | Name of Account Holder | CHAR | 80 | 380 | 45 9 | Name of the Sole/First account holder in whose account the counterfeit currency was tendered, if available. |
| 21. | Account Number | CHAR | 20 | 460 | 47 9 | Account/Card Number of the person in whose account the counterfeit currency was tendered, if available. |