



Australian Government

**Australian Transaction Reports
and Analysis Centre**

Report file transmission specification

Version 1.0B

May 2017

Table of contents

1	Introduction.....	3
1.1	Background	3
1.1.1	About AUSTRAC	3
1.1.2	Reporting obligations	3
1.1.3	Reporting methods	3
1.2	Purpose of document.....	4
1.3	Reference material and source code library files	4
1.4	Enquiries about this specification	6
2	XML data structure overview	7
2.1	Data presence and occurrences	7
2.1.1	Presence annotation.....	7
2.1.2	Occurrence annotation	7
3	Report file transmission overview	9
3.1	Report file generation.....	9
3.2	Report file compression	9
3.3	File transmission connectivity.....	10
4	HTTP file transmission request	11
4.1	HTTP request format.....	11
4.2	Initiating, sending and managing a HTTP request.....	12
5	Response and error handling	13
5.1	Response handling	13
5.2	Error handling	16
5.2.1	Communication and resource errors	16
5.2.2	Report file transmission administration and content validation errors.....	16
Appendix A	Glossary of terms and abbreviations.....	17
Appendix B	User access functions	19
Appendix C	Sample response XML documents	20
C.1	Successful file transmission response	20
C.2	Failed file transmission responses.....	20
C.2.1	Logon failed – invalid AUSTRAC Online user ID, password or reporting entity number	20
C.2.2	Report file content validation errors.....	21
Appendix D	Document revision history	22

1 Introduction

1.1 Background

1.1.1 About AUSTRAC

The Australian Transaction Reports and Analysis Centre (AUSTRAC) is a Commonwealth government agency that was established in 1989. AUSTRAC plays an important role in the global fight against crime and works to support an Australian community that is hostile to money laundering and the financing of terrorism.

AUSTRAC is Australia's financial intelligence unit, and one of the first such units to be established in the world. AUSTRAC collects financial transaction reports, analyses the information and disseminates financial intelligence which is used in the investigation of major crime and tax evasion.

AUSTRAC is also Australia's anti-money laundering and counter-terrorism financing (AML/CTF) regulator. AUSTRAC regulates businesses which provide financial, gambling and other services specified under legislation.

AUSTRAC administers the *Financial Transaction Reports Act 1988* (FTR Act) and the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act).

1.1.2 Reporting obligations

Businesses which have reporting obligations to AUSTRAC are known as 'reporting entities' under the AML/CTF Act and as 'cash dealers' under the FTR Act.

Reporting entities are required to report:

1. Suspicious matters under section 41 of the AML/CTF Act;
2. Threshold transactions under section 43 of the AML/CTF Act; and
3. International funds transfer instructions under section 45 of the AML/CTF Act.

Cash dealers are required to report:

1. Significant cash transactions under section 7 of the FTR Act;
2. Suspect transactions under section 16 of the FTR Act; and
3. International funds transfer instructions under section 17B of the FTR Act.

The FTR Act also requires solicitors to report significant cash transactions under section 15A of the FTR Act.

1.1.3 Reporting methods

Currently, there are five (5) reporting methods which cash dealers or reporting entities can use to meet their reporting obligations to AUSTRAC:

1. By paper, using the approved printed report forms available from AUSTRAC; and
2. Electronically via AUSTRAC's internet based application, AUSTRAC Online, by:

- a. Data entry of a single report; and
- b. Data entry of multiple reports via a spreadsheet for AML/CTF Act reporting; or
- c. File upload of a comma delimited file, based on an AUSTRAC supplied Excel template of multiple reports of the same type, for FTR Act reporting; and
- d. File submission/transmission of multiple reports of the same type.

1.2 Purpose of document

This document specifies how reporting entities or cash dealers, once the required information has been extracted and formatted per the electronic report file format specifications into report files, can electronically transmit these report files to AUSTRAC.

1.3 Reference material and source code library files

This specification is dependent on the generation of report files based on one or more of the following report file format specifications:

Document	Description	Available from
Electronic report file format specification – international electronic funds transfer instruction	AML/CTF Act report file format specification for the international electronic funds transfer instruction report type	Resources section of AUSTRAC Online – online.austrac.gov.au
Electronic report file format specification – international funds transfer instruction under a designated remittance arrangement	AML/CTF Act report file format specification for the international funds transfer instructions under a designated remittance arrangement report type	Resources section of AUSTRAC Online – online.austrac.gov.au
Electronic report file format specification – suspicious matter report	AML/CTF Act report file format specification for the suspicious matter report type	Resources section of AUSTRAC Online – online.austrac.gov.au
Electronic report file format specification – threshold transaction report (financial and bullion services)	AML/CTF Act report file format specification for the threshold transaction report type for financial and bullion services	Resources section of AUSTRAC Online – online.austrac.gov.au
Electronic report file format specification – threshold transaction report (gambling services)	AML/CTF Act report file format specification for the threshold transaction report type for gambling services	Resources section of AUSTRAC Online – online.austrac.gov.au
Electronic report file format specification – threshold transaction report (investment / superannuation / insurance)	AML/CTF Act report file format specification for the threshold transaction report type for investment, superannuation and insurance services	Resources section of AUSTRAC Online – online.austrac.gov.au

Document	Description	Available from
Electronic report file format specification – threshold transaction report (money services businesses)	AML/CTF report file format specification for the threshold transaction report type for money services businesses	Resources section of AUSTRAC Online – online.austrac.gov.au
Electronic IFTI reporting format specification	FTR Act report file format specification for the international funds transfer instruction report type	Contact Centre, AUSTRAC – contact@austrac.gov.au
Electronic SBTR betting reporting format specification	FTR Act report file format specification for the significant cash transaction report type for betting services	Contact Centre, AUSTRAC – contact@austrac.gov.au
Electronic SBTR casino reporting format specification	FTR Act report file format specification for the significant cash transaction report type for casinos	Contact Centre, AUSTRAC – contact@austrac.gov.au
Electronic SCTR (variable length) reporting format specification	FTR Act report file format specification for the significant cash transaction report type for cash dealers	Contact Centre, AUSTRAC – contact@austrac.gov.au
Electronic SUSTR reporting format specification	FTR Act report file format specification for the suspect transaction report type	Contact Centre, AUSTRAC – contact@austrac.gov.au
ZIP compression software from PKWARE; or application note on the .ZIP file format	File compression software and/or application note on the .ZIP file format from PKWARE, Inc.	PKWARE, Inc. - www.pkware.com

This specification and any computer software created to produce a report file transmission process between a reporting entity or cash dealer and AUSTRAC is dependent on the following source code/schema library file and internet protocol specification:

Schema/specification	Version	Description	Available from
file-transmit.xsd	v1.0	An XML schema outlining the structure and type of information to expect from AUSTRAC in response to a report file transmission to AUSTRAC.	Resources section of AUSTRAC Online – online.austrac.gov.au
RFC 1867	-	Request For Comments, No. 1867 – form-based file upload in HTML A specification for an internet based protocol used for transferring files between computer systems.	FAQS.ORG – www.faqs.org/rfcs/rfc1867.html

1.4 Enquiries about this specification

Where clarification is sought on any matter in relation to this document, enquiries should be directed to:

Contact Centre
AUSTRAC
PO Box 5516
West Chatswood NSW 1515

Phone: 1300 021 037
International: +61 2 9950 0055

TTY access (within Australia):

National Relay Service

- TTY/voice: 133 677 and ask for 1300 021 037
- Speak and listen (SSR): 1300 555 727 and ask for 1300 021 037

Email: contact@austrac.gov.au

2 XML data structure overview

The AUSTRAC supplied XML schema for a file transmission response from AUSTRAC describes the data elements and/or groups of data elements (i.e. data structures), and associated formats and occurrences thereof.

Each XML schema name tag of file-transmit.xsd is a data element. It may describe a single simple element (herein referred to as a tag element) or a complex data structure (herein referred to as a tag block).

For each name tag block and element there is a matching start and end indicator. The tag itself is denoted by an opening and closing angle bracket (i.e. < >). The start indicator is the name of the tag and the end indicator contains a forward slash (/) as a prefix to the name of the tag.

For example:

```
<nameTagBlock>
  <nameTagElement>Contents of 1st element</nameTagElement>
  <nameTagElement>Contents of 2nd element</nameTagElement>
  <nameTagSubBlock>
    <nameTagSubElement>Contents of 1st sub element</nameTagSubElement>
    ...
    <nameTagSubElement>Contents of nth sub element</nameTagSubElement>
  </nameTagSubBlock>
</nameTagBlock>
```

2.1 Data presence and occurrences

Each tag block has rules defining its presence and the number of occurrences permitted. Similarly, each tag block subgroup has the same rules, and so on all the way down the hierarchy to the lowest level tag element.

2.1.1 Presence annotation

Throughout this specification, the following annotation is used to define the presence of each tag block and element:

Annotation	Definition
M	The presence of the tag block or element is mandatory.
O	The presence of the tag block or element is optional.
C	The presence of the tag block or element is conditional based on the context of its use.

2.1.2 Occurrence annotation

Throughout this specification, the following annotation is used to define how many occurrences of each tag block and element are expected:

Annotation	Definition
x	x represents the absolute number of occurrences expected for this tag block or element. For example, 3 indicates exactly three (3) occurrences of the tag block or element are expected.
x-y	x represents the minimum number of occurrences and y represents the maximum number of occurrences (i.e. upper limit) expected for this tag block or data element.

Annotation	Definition
	For example, 1-5 indicates at least 1 but no more than 5 occurrences of this tag block or element are expected.
x-n	x represents the minimum number of occurrences and n indicates there is no upper limit of occurrences (i.e. unlimited) expected for this tag block or data element. For example, 0-n indicates zero (0) or more occurrences of this tag block or element are expected with no upper limit.

Notes:

1. Optional tag blocks may contain mandatory tag block subgroups or tag elements. If the grouping name tag (i.e. the optional tag block name) is provided then any mandatory tag blocks or elements within it must be provided.
2. With the exception of mandatory data, if data is not available for a tag block or element then the tag itself will not be present. That is, there are to be no empty tags.

For example:

`<noContentTag></noContentTag>`

3 Report file transmission overview

File transmission is one (1) reporting method available to reporting entities and cash dealers alike, which allows for automation of AML/CTF Act and FTR Act report file submissions to AUSTRAC. For this to occur, a reporting entity/cash dealer needs to:

1. Generate a report file containing one (1) or more reports of the same report type;
2. Optionally compress the generated report file into a ZIP file;
3. Initiate, send and manage a HTTP request conforming to RFC 1867; and
4. Handle any communication errors and the response from AUSTRAC.

3.1 Report file generation

For each report type to be reported to AUSTRAC, a report file needs to be generated programmatically by extracting the required information and formatting that information into a file, based on the relevant report file format specification. Refer to section 1.3 above for details of available report file format specifications under the AML/CTF and FTR Acts.

The generated report file must contain one (1) or more reports of the same report type and must use the specified file naming convention for that report type.

There is no need to encrypt the report file, as it will be transmitted over a secure socket layer (refer to section 3.3 below for details).

3.2 Report file compression

Reports file may be compressed into a ZIP file prior to transmission to AUSTRAC. This is recommended for large files.

The ZIP file must conform to the following:

1. Can only contain one (1) report file;
2. The name of the ZIP file must match the name of the report file contained within it, with a file extension of “.zip”. For example, a ZIP file containing a:
 - a. AML/CTF Act suspicious matter report file (SMR2009043001.xml), the ZIP file name would be SMR2009043001.xml.zip; or
 - b. FTR Act international funds transfer instruction report file (E090430.001), the ZIP file name would be E090430.001.zip;
3. The PKWARE, Inc. published application note on the .ZIP file format; and
4. Do not digitally sign or encrypt the ZIP file, as it will be transmitted over a secure socket layer (refer to section 3.3 below for details).

3.3 File transmission connectivity

There are two (2) secure URLs for initiating file transmissions to AUSTRAC, depending on which environment the report file is to be sent to:

URL	Environment
https://online.austrac.gov.au/ao/automatedFileUpload	Production/live environment This is the environment for officially lodging AML/CTF Act and FTR Act reports with AUSTRAC.
https://online.austrac.gov.au/ao-trn/automatedFileUpload	Test/training environment This is the environment for conducting testing with AUSTRAC. Any file or report submitted to AUSTRAC through this environment is used for testing or training purposes only.

4 HTTP file transmission request

4.1 HTTP request format

Using the multipart/form-data format of RFC 1867, the following parameters are expected to be present (in no particular order) in the HTTP file transmission request to AUSTRAC:

Presence	Parameter	Description
M	version	The current version value is “1.0”. Its presence is to allow for the possibility of backwards compatibility when this file transmission specification changes in the future.
M	userId	The AUSTRAC Online user ID to be used for accessing the file transmission functionality of AUSTRAC Online. This user ID must have the relevant file upload access permission for each type of report to be transmitted to AUSTRAC. Refer Appendix B for details.
M	password	The password associated with the AUSTRAC Online user ID specified in the “userId” parameter.
O	reNumber	This is the business number allocated to a reporting entity as they enrol or register with AUSTRAC. This parameter is optional. However, it is required when the AUSTRAC Online user ID specified in the “userId” parameter is associated with more than one (1) reporting entity. A user authentication error will occur when this parameter is required, but not supplied or is not valid for the user ID. Note: This number is always displayed in the upper right hand corner of the transaction reporting facilities of AUSTRAC Online in the following format: <i>user ID [reNumber]legal name (T/A trading name)</i>
M	fileName	The report file to be transmitted to AUSTRAC. The MIME type is expected to be: 1. text/plain for a report file without any compression; or 2. application/x-zip for a report file which has been compressed (i.e. a ZIP file).
O	emailAddress	A comma separated list of one (1) or more email addresses to be used for notifying the success or failure of a file transmission to AUSTRAC. If no email address list is provided, by default, the file transmission notification will be sent to the email address associated with the AUSTRAC Online user ID specified in the “userId” parameter.
M	uploadUrl	The URL of the AUSTRAC environment of where the report file specified in the “fileName” parameter is to be sent. Refer to section 3.3 above for a list of URLs and associated environments.

Example of a HTTP file transmission request:

```
--T0BULQtQJtbfcacmUb5UJ7HWonKqjdW5EdVLL3ZV
Content-Disposition: form-data; name="file"; filename="TTR-FBS2009043001.xml"
Content-Type: application/octet-stream
Content-Transfer-Encoding: binary

<?xml version="1.0" encoding="utf-8"?>
<ttr-fbsList versionMajor="1" versionMinor="1"
xsi:schemaLocation="http://austrac.gov.au/schema/reporting/TTR-FBS-1 TTR-FBS-1-1.xsd"
xmlns="http://austrac.gov.au/schema/reporting/TTR-FBS-1"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
...
</ttr-fbsList>
--T0BULQtQJtbfcacmUb5UJ7HWonKqjdW5EdVLL3ZV
Content-Disposition: form-data; name="userId"
Content-Type: text/plain; charset=windows-1252
Content-Transfer-Encoding: 8bit

compliance_dept@reportingentity.com.au
--T0BULQtQJtbfcacmUb5UJ7HWonKqjdW5EdVLL3ZV
Content-Disposition: form-data; name="password"
Content-Type: text/plain; charset=windows-1252
Content-Transfer-Encoding: 8bit

password!
--T0BULQtQJtbfcacmUb5UJ7HWonKqjdW5EdVLL3ZV
Content-Disposition: form-data; name="reNumber"
Content-Type: text/plain; charset=windows-1252
Content-Transfer-Encoding: 8bit

19990
--T0BULQtQJtbfcacmUb5UJ7HWonKqjdW5EdVLL3ZV
Content-Disposition: form-data; name="version"
Content-Type: text/plain; charset=windows-1252
Content-Transfer-Encoding: 8bit

1.0
--T0BULQtQJtbfcacmUb5UJ7HWonKqjdW5EdVLL3ZV
Content-Disposition: form-data; name="emailAddress"
Content-Type: text/plain; charset=windows-1252
Content-Transfer-Encoding: 8bit

compliance_dept@reportingentity.com.au,ops_support@reportingentity.com.au
--T0BULQtQJtbfcacmUb5UJ7HWonKqjdW5EdVLL3ZV--
```

Notes:

The default MIME type for form submission (i.e. application/x-www-form-urlencoded) is not supported for file transmissions to AUSTRAC.

4.2 Initiating, sending and managing a HTTP request

AUSTRAC does not provide an application programming interface (API) to format, send and manage a HTTP request.

There are various software libraries and tools available to aid the development of such an interface (e.g. HttpComponents Client from the Apache Software Foundation, www.apache.org).

5 Response and error handling

5.1 Response handling

All file transmission success or failure responses from AUSTRAC are in XML format.

The <fileTransmissionResponse> tag block is mandatory and consists of:

Presence	XML tag	Brief description	Occurs
M	<fileTransmissionResponse>	Start indicator of the XML structure containing AUSTRAC's response in relation to a report file transmission	1
M	<version>	Current version of the file transmission functionality of AUSTRAC Online	1
M	<userId>	The user ID which originally made the HTTP file transmission request to AUSTRAC	1
O	<reNumber>	The business number (AUSTRAC allocated) supplied in the HTTP file transmission request to AUSTRAC	0-1
O	<reName>	The name of the business associated with <reNumber> as recorded in AUSTRAC Online	0-1
M	<status>	Indicator of a successful or failed report file transmission (refer to section 5.2.2 below)	1
O	<fileName>	Name of the report file transmitted or attempted to be transmitted to AUSTRAC, if it conforms to one of the expected file name conventions	0-1
M	<startTime>	Date and timestamp of when the file transmission started	1
M	<finishTime>	Date and timestamp of when the file transmission ended	1
O	<bytesTransferred>	Number of bytes transferred as part of the file transmission	0-1
O	<totalRead>	Number of reports read within the report file	0-1
O	<totalTransferred>	Number of reports validated and successfully transferred for processing by AUSTRAC	0-1
O	<totalIntercepted>	Number of reports intercepted and placed in the incomplete report queue of <userId> for a manual review prior to final submission to AUSTRAC	0-1
O	<austracReference>	AUSTRAC reference number associated with the report file transmission, if any.	0-1

Presence	XML tag	Brief description	Occurs
		Details of a successful and failed report file transmission are available through the receipts page of the transaction reporting facilities of AUSTRAC Online.	
O	<emailSent>	Email address of each recipient who has successfully been sent an email in regards to the report file transmission	0-n
O	<message>	One (1) or more error messages outlining why the report file transmission failed	0-n
M	</fileTransmissionResponse>	End of file indicator of the XML structure containing AUSTRAC's response in relation to a report file transmission	1

The <message> tag block is optional and is only present within the <response> tag block when a file transmission has been unsuccessful. It consists of:

Presence	XML tag	Brief description	Occurs
M	<message>	Start indicator for an error message with context and reference details to locate the error within the report file	1
M	<text>	Error message text	1
O	<lineNumber>	An indication by line number of approximately where the error is located in the report file	0-1
O	<columnNumber>	An indication by column number of approximately where the error is located in the report file	0-1
O	<elementId>	An indication by ID of an element within a SWIFT message of where the error is located in the report file	0-1
O	<fileExcerpt>	An extract from the report file, near where the error was encountered, to help locate and identify the error in the report file	0-1
O	<additionalInformation>	Any additional information to help identify the location and nature of the problem, such as a report reference or data association	0-1
O	<context>	The element of the report where the error was found	0-1
O	<reference>	Additional information of the location of the error within the report file	0-1
M	</message>	End indicator for error message details	1

Notes:

1. <lineNumber>, <columnNumber>, <elementId>, <fileExcerpt> and <additionalInformation> are only available with AML/CTF Act report files for identifying and locating XML schema and data validation errors.
2. <lineNumber> and <columnNumber> indicate the approximate position of the error in the report file. The actual problem usually precedes the line and column number location, as the validation parser cannot make a determination until the full context of a data element/block within the report file can be ascertained.
3. As <elementId> only relates to SWIFT messages, <elementId> could be present in file transmission responses for files containing reports of international electronic funds transfer instructions (IFTI-E) (as no other report type utilises SWIFT messaging).
4. <context> and <reference> are obsolete elements as of v1.6.0 of the transaction reporting facilities of AUSTRAC Online and will be removed in a future release.

5.2 Error handling

5.2.1 Communication and resource errors

Any computer software created to perform report file transmissions to AUSTRAC will need to handle all communication and resource errors (i.e. non-200 HTTP status messages) appropriately, as this is an indicator of AUSTRAC not receiving the report file or a request regarding a report file transmission.

Likely, HTTP status codes indicating a communication or resource error:

HTTP status code	Description
4xx	Indicates a client error such as bad request (400), lacks authorisation (401), resource not found (404), request timeout (408), resource no longer available (410), etc.
5xx	Indicates a server error such as internal server error (500), functionality not supported (501), service unavailable (503), gateway timeout (504), etc.

Refer to www.w3.org/Protocols/rfc2616/rfc2616-sec10.html for a list of HTTP status codes or message type.

Notes:

There is no email notification/confirmation from AUSTRAC in this situation, as AUSTRAC has not received the report file or a request regarding a report file transmission.

5.2.2 Report file transmission administration and content validation errors

When a HTTP file transmission request is received and processed by AUSTRAC, an XML structure containing AUSTRAC's response is returned as part of a 200 HTTP status message.

The <status> tag in the response XML structure indicates the success or failure of a report file transmission to AUSTRAC:

Status	Description
SUCCESS	Report file transmission successful and all reports accepted for processing by AUSTRAC or intercepted as requested.
FAILURE	Report file transmission failed. No reports were accepted by AUSTRAC. Refer to the <message> tag block of <fileTransmissionResponse> for details on where to locate and correct the problem(s) with the HTTP file transmission request or the contents of the report file. After the problem(s) have been corrected, the report file will need to be re-transmitted; or alternatively, manually submitted using the file upload function of AUSTRAC Online.

Refer to Appendix C for examples of successful and failed report file transmission responses.

Notes:

In this situation, AUSTRAC will attempt to send an email notification/confirmation to the email address(es) listed in the HTTP file transmission request (refer to section 4.1 above).

Appendix A Glossary of terms and abbreviations

Term/abbreviation	Definition
AML/CTF Act	<i>Anti-money Laundering and Counter-Terrorism Financing Act 2006</i>
AML/CTF Rules	Anti-Money Laundering and Counter-Terrorism Financing Rules Instrument 2007 (No. 1)
AUSTRAC	Australian Transaction Reports and Analysis Centre
AUSTRAC Online	AUSTRAC's internet based system for cash dealers and reporting entities. Apart from the many other features of AUSTRAC Online, this system provides a means by which a cash dealer or reporting entity can electronically submit reports to AUSTRAC as part of their reporting obligations.
cash dealer	A person or organisation, carrying on a business, which has obligations under the FTR Act (refer to section 3 of the FTR Act). Please note, the terminology for cash dealer and reporting entity may be used interchangeably throughout this document, as essentially both are about businesses with legislative obligations, the only difference being under which Act.
FTR Act	<i>Financial Transaction Reports Act 1988</i>
HTML	hypertext markup language
HTTP	hypertext transfer protocol
HTTPS	hypertext transfer protocol over secure socket layer
MIME	multipurpose internet mail extensions
reporting entity	A person or organisation, carrying on a business, which has obligations under the AML/CTF Act (refer to section 5 of the AML/CTF Act). Please note, the terminology for reporting entity and cash dealer may be used interchangeably throughout this document, as essentially both are about businesses with legislative obligations, the only difference being under which Act.
RFC 1867	Request For Comments, No. 1867 – form-based file upload in HTML A specification for an internet based protocol used for transferring files between computer systems. Refer to www.faqs.org/rfcs/rfc1867.html for further details.
SWIFT	Society of Worldwide Interbank Financial Telecommunications – an organisation which facilitates electronic funds transfer between financial and other institutions. Refer to www.swift.com for further information.
TTY	teletypewriter – a telephone with a keyboard and a small display screen.
URL	Uniform Resource Locator; or uniform way to locate a resource on the internet. The URL is a unique address by which to locate a resource such as file, computer, server, etc. on the internet.

Term/abbreviation	Definition
W3C	World Wide Web Consortium - an international consortium of organisations for the development of platform independent web standards and specifications for the internet.
XML	extensible markup language
ZIP	<p>The ZIP file format is a data compression and archive format.</p> <p>This file format was originally developed and still is supported by PKWARE, Inc.</p> <p>A ZIP file can contain one or more files that have been compressed to reduce file size. ZIP files generally have a file extension of “.zip” or “.ZIP”.</p>

Appendix B User access functions

By default, no user account within AUSTRAC Online has access to file upload functions. After a cash dealer/reporting entity has successfully carried out a test file process for their file extraction program(s) with AUSTRAC, AUSTRAC will grant access to the relevant report file upload access function.

Once access has been granted to a cash dealer/report entity, all user accounts with a global role or user type of 'administrator' or 'approval and submission' will automatically be given file upload access for the relevant report type(s).

The following table lists the function identifiers associated with file upload access (be it by a file submission or transmission function):

Function ID	Description
ifti_dra_file_upload	File upload function ID associated with the AML/CTF Act international funds transfer instruction under a designated remittance arrangement (IFTI-DRA) report type.
ifti_e_file_upload	File upload function ID associated with the AML/CTF Act international electronic funds transaction instruction (IFTI-E) report type.
ifti_file_upload	File upload function ID associated with the FTR Act international funds transfer instruction (IFTI) report type.
sbtrb_file_upload	File upload function ID associated with the FTR Act significant cash transaction report for betting services report type.
sbtrc_file_upload	File upload function ID associated with the FTR Act significant cash transaction report for casinos report type.
sctr_file_upload	File upload function ID associated with the FTR Act significant cash transaction report (SCTR) for cash dealers report type.
smr_file_upload	File upload function ID associated with the AML/CTF Act suspicious matter report (SMR) type.
sustr_file_upload	File upload function ID associated with the FTR Act suspect transaction report (SUSTR) type.
ttr_fbs_file_upload	File upload function ID associated with the AML/CTF Act threshold transaction report for financial and bullion services (TTR-FBS) report type.
ttr_gs_file_upload	File upload function ID associated with the AML/CTF Act threshold transaction report for gambling services (TTR-GS) report type.
ttr_isi_file_upload	File upload function ID associated with the AML/CTF Act threshold transaction report for investment/superannuation/insurance services (TTR-ISI) report type.
ttr_msb_file_upload	File upload function ID associated with the AML/CTF Act threshold transaction report for money services businesses (TTR-MSB) report type.

Notes:

A cash dealer's/reporting entity's AUSTRAC Online administrator will need to manually adjust any local role or apply a local user override for user accounts that require file upload function access, but were not given automatic or default file upload access.

Appendix C Sample response XML documents

C.1 Successful file transmission response

This is an example of when the HTTP file transmission request and contents of the report file were successfully processed by the transaction reporting facilities of AUSTRAC Online.

```
<fileTransmissionResponse
xmlns="http://austrac.gov.au/schema/reporting/fileTran
smissionResponse">
  <version>1.0</version>
  <userId>compliance_dept@reportingentity.com.au</userId>
  <reNumber>19990</reNumber>
  <reName>MAJOR BANK LIMITED</reName>
  <status>SUCCESS</status>
  <fileName>IFTI-E2009043001.xml</fileName>
  <startTime>2009-05-01T02:15:00.001+10:00</startTime>
  <finishTime>2009-05-01T02:15:04.074+10:00</finishTime>
  <bytesTransferred>147720</bytesTransferred>
  <totalRead>120</totalRead>
  <totalTransferred>120</totalTransferred>
  <totalIntercepted>0</totalIntercepted>
  <austracReference>4577613</austracReference>
  <emailSent>compliance_dept@reportingentity.com.au<emailSent>
  <emailSent>ops_support@reportingentity.com.au<emailSent>
</fileTransmissionResponse>
```

C.2 Failed file transmission responses

C.2.1 Logon failed – invalid AUSTRAC Online user ID, password or reporting entity number

This is an example of when a file transmission did not take place, as the HTTP request failed user authentication with AUSTRAC Online.

```
<fileTransmissionResponse
xmlns="http://austrac.gov.au/schema/reporting/fileTran
smissionResponse">
  <version>1.0</version>
  <userId>compliance_dept@reportingentity.com.au</userId>
  <reNumber>19990</reNumber>
  <status>FAILURE</status>
  <fileName>TTR-FBS2009043001.xml</fileName>
  <startTime>2009-05-01T02:30:30.001+10:00</startTime>
  <finishTime>2009-05-01T02:30:30.601+10:00</finishTime>
  <bytesTransferred>4904</bytesTransferred>
  <emailSent>compliance_dept@reportingentity.com.au<emailSent>
  <emailSent>ops_support@reportingentity.com.au<emailSent>
  <message>
    <text>User authentication failed. Check the userId, password, and
reNumber request parameters.</text>
  </message>
</fileTransmissionResponse>
```

C.2.2 Report file content validation errors

This is an example of when a file transmission took place, but the contents of the report file failed XML parsing and/or validation checks.

```
<fileTransmissionResponse
xmlns="http://austrac.gov.au/schema/reporting/fileTransmissionResponse-
1.1">
  <version>1.0</version>
  <userId>compliance_dept@reportingentity.com.au</userId>
  <reNumber>19990</reNumber>
  <reName>MAJOR BANK LIMITED</reName>
  <status>FAILURE</status>
  <fileName>IFTI-E2009063001.xml</fileName>
  <startTime>2009-07-01T02:45:00.001+10:00</startTime>
  <finishTime>2009-07-01T02:45:05.134+10:00</finishTime>
  <bytesTransferred>2428</bytesTransferred>
  <austracReference>4578593</austracReference>
  <emailSent>compliance_dept@reportingentity.com.au</emailSent>
  <emailSent>ops_support@reportingentity.com.au</emailSent>
  <message>
    <text>cvc-complex-type.2.4.a: Invalid content was found starting
with element 'country'. One of
'{"http://austrac.gov.au/schema/reporting/IFTI-E-1":city}' is
expected.</text>
    <lineNumber>41</lineNumber>
    <columnNumber>18</columnNumber>
    <fileExcerpt>[41:18]
    &lt;country&gt;AUSTRALIA&lt;/country&gt;
    ^</fileExcerpt>
    <additionalInformation>[line:column] location in XML structure
    -----
    [2:241]      &lt;ifti-eList&gt;
    [6:23]      &lt;swift id='ID_1R01'&gt;
    [38:36]      &lt;beneficiaryInstn id='ID_1R06'&gt;
    [39:33]      &lt;institution id='ID_1R07'&gt;
    [40:15]      &lt;name&gt;REGIONAL CREDIT UNION
LIMITED&lt;/name&gt;</additionalInformation>
  </message>
</fileTransmissionResponse>
```

Appendix D Document revision history

Version	Revision level	Date	Description
1.0	-	May 2009	Initial release of the report file transmission functionality of AUSTRAC Online.
1.0	A	July 2009	Changes to the response structure (refer to section 5 above) to cater for enhanced XML document validation/error messages introduced with v1.6.0 of the transaction reporting facilities of AUSTRAC Online.
1.0	B	May 2017	<ul style="list-style-type: none">• AUSTRAC contact details change and• Correct file transmissions URL