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# **AUTOMATED DATA TRANSFER (ADT) SYSTEM**

## **User Guide**

E-Filing for Deposit-Taking Institutions

**VERSION 3.7**

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**BANK of CANADA**

**OFFICE of the SUPERINTENDENT of FINANCIAL INSTITUTIONS**

**IMPORTANT NOTICE**

**Please call the Bank of Canada ADT Helpline (613)-782-8318 for assistance with any problems you might encounter with the use of the ADT system. If the matter is urgent or data related users may also call 613-782-7140 or 613-782-7344.**

# ADT User Guide

## **TABLE OF CONTENTS**

<b>1.0 WHAT IS ADT?</b> .....	<b>4</b>
<b>2.0 CONNECTING TO ADT</b> .....	<b>5</b>
2.1 LOGGING IN FOR THE FIRST TIME .....	5
2.2 REGULAR LOGIN .....	7
<b>3.0 TRANSMITTING RETURN INFORMATION VIA ADT</b> .....	<b>8</b>
<b>4.0 BACKUP</b> .....	<b>9</b>
<b>5.0 TYPICAL ERROR GENERATED BY ADT</b> .....	<b>10</b>
<b>6.0 SUBMITTING BASEL II RETURN DATA</b> .....	<b>13</b>
<b>7.0 SUBMITTING RAPCORP RETURN DATA</b> .....	<b>14</b>
<b>8.0 SUBMITTING COOPERATIVE CREDIT ASSOCIATION RETURNS</b> .....	<b>15</b>
<b>9.0 SUBMITTING CORPORATE RETURNS</b> .....	<b>16</b>
9.1 CORPORATE ANNUAL RETURNS FILE NAME .....	16
9.2 CORPORATE AMENDMENT RETURNS FILE NAME .....	17
9.3 REPORTING REVISIONS .....	18
9.4 FILE FORMAT .....	18
9.5 CONFIRMATION OF RECEIPT.....	19

## 1.0 What is ADT?

The Automated Data Transfer System, (ADT), is a web portal to facilitate electronic returns information exchange between the Federally Regulated Financial Institutions (FRFIs) and the Bank of Canada and/or the Office of the Superintendent of Financial Institutions (OSFI). The ADT User Guide provides detailed file-layout specifications and file naming conventions that all FRFIs need to create and submit the required return files. The return files transmitted and received through ADT are securely exchanged over the Internet using 128 bit encryption.

The ADT System requires that each participating FRFI have the following:	
<b>Technical Requirements</b>	A computer with access to the Internet.
	An Internet Browser supporting 128 bit SSL encryption, such as Microsoft Internet Explorer version 5.0 or Mozilla Firefox. If your version does not support 128 bit encryption, please download and install a more recent version which does or install a patch for 128 bit encryption.
	An ADT <b>LoginID</b> and <b>password</b> has been set up for each participating FRFI.

## 2.0 Connecting to ADT

The ADT system allows FRFIs to exchange returns information with the Bank of Canada/OSFI securely over the Internet. To accomplish this, users must navigate their Web Browser to the ADT Web portal hosted at the Bank of Canada. Users are then required to login to the ADT Web Portal using a unique **LoginID** and **password**. This establishes a secure session using SSL (Secure Sockets Layer) 128 bit encryption to ensure data confidentiality and integrity. The ADT web server is secured by a public digital certificate to provide site identity.

### 2.1 Logging in for the first time

The initial **password** has been assigned to you by the Bank of Canada and is identical to the **LoginID**. You will be required to change the **password** when you log onto the ADT Web Portal for the first time. The ADT Web Portal Login is case sensitive and will only accept a lowercase **password** and **LoginID**. If you have problems with your initial **password** contact the ADT Help Line at (613)-782-8318

Your default **LoginID** will be as follows:

Federally Regulated Financial Institutions	<b>adt##</b> where ## represents your 2 digit OSFI Institution Code
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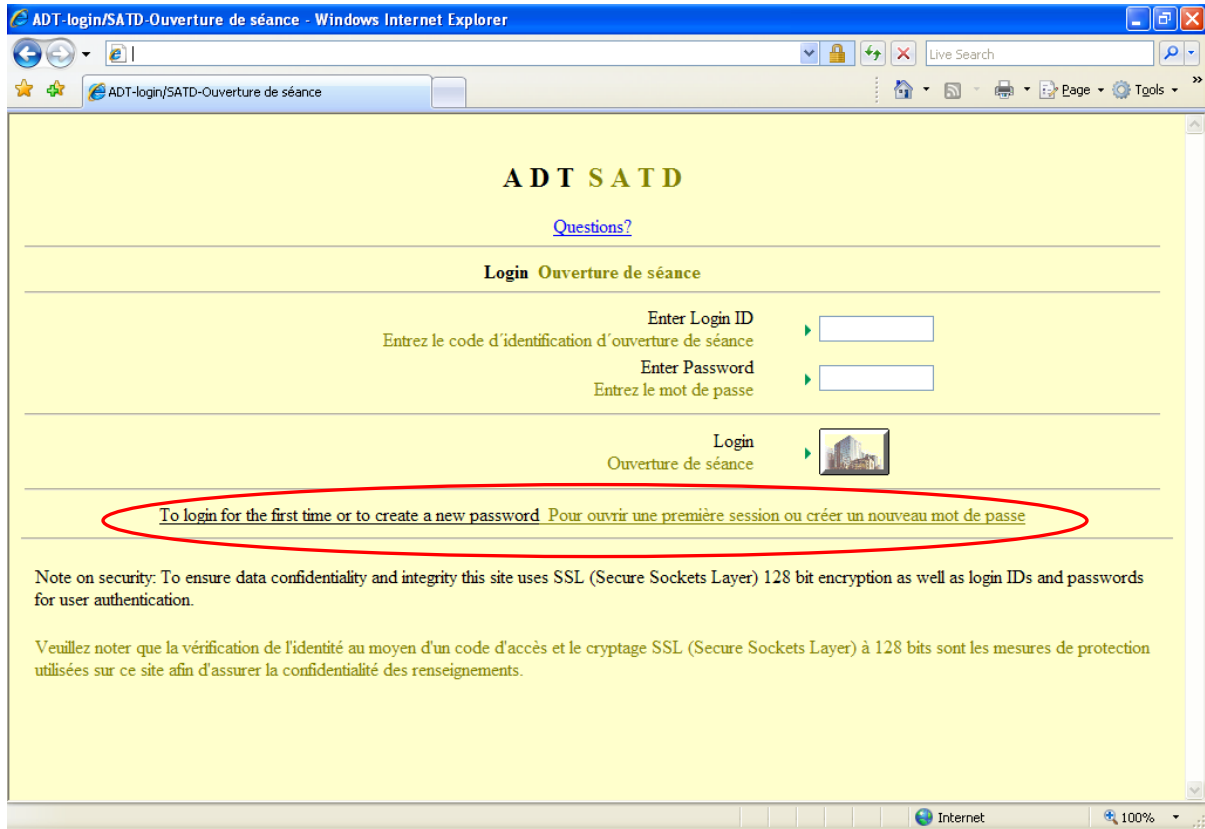
1. Open your web browser (e.g. Internet Explorer, Mozilla Firefox).
2. Type the following Web URL into your browser Address field:

<https://adtwww.bank-banque-canada.ca>

Note: You may want to save this as a bookmark for easy reference.

## ADT User Guide

3. On the main ADT screen, click on **“To login for the first time or to create a new password”**. (For all future login, follow the instructions below under Regular Login.)



4. On the next screen, login using your default **LoginId/Password** and then proceed to change your password.
5. The new **Password** can be any length, but for security reasons, please use a **Password** which is at least 6 characters in length with a combination of lower case characters, numbers and/or symbols.
6. Click the **Login** button.

## ADT User Guide

### 2.2 Regular Login (after initial login)

1. Open your web browser (e.g. Internet Explorer, Mozilla Firefox)
2. Type the following Web URL into your browser Address field:

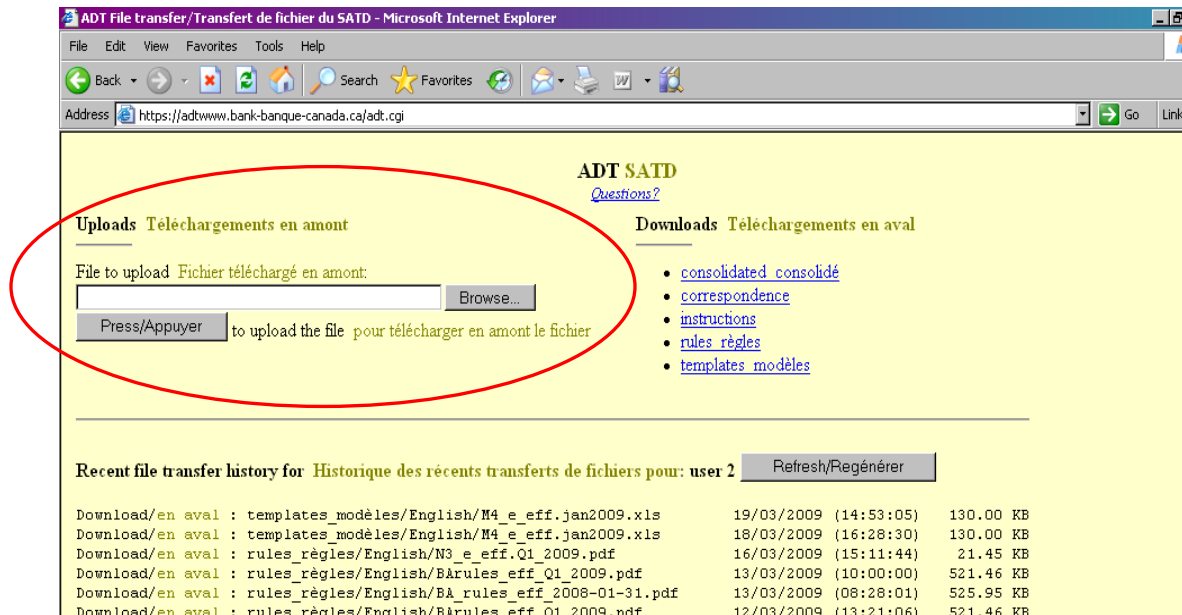
<https://adtwww.bank-banque-canada.ca>

Note: You may want to save this as a bookmark for easy reference.

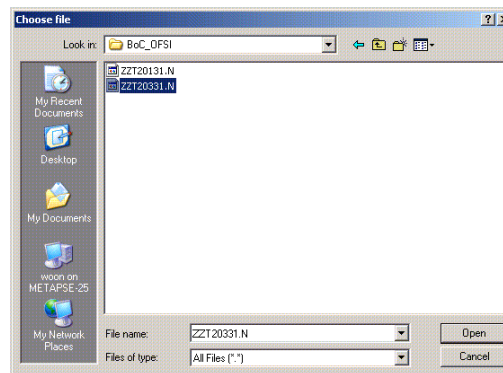
3. Enter your **LoginID** and **password**.
4. Click the **Login** button.

## 3.0 Transmitting Return Information via ADT

1. Login into the ADT Web portal as described above.
2. The Upload/Download screen will be displayed. Please enter the name of the file containing the return data to be transmitted to the Bank of Canada/OSFI. This can be done by clicking on Browse and selecting a file or by entering the path and filename in the space provided under the section called "**Uploads**"



You can use the **Browse** window to find the path and file of the return data. Select the file you intend to upload and press **Open**.





## *ADT User Guide*

3. When the file to be uploaded has been selected click on the **Press** button to upload the file. A confirmation will be received after each upload and the details of the upload will be added to the Recent Upload/Download History log at the bottom of the screen.

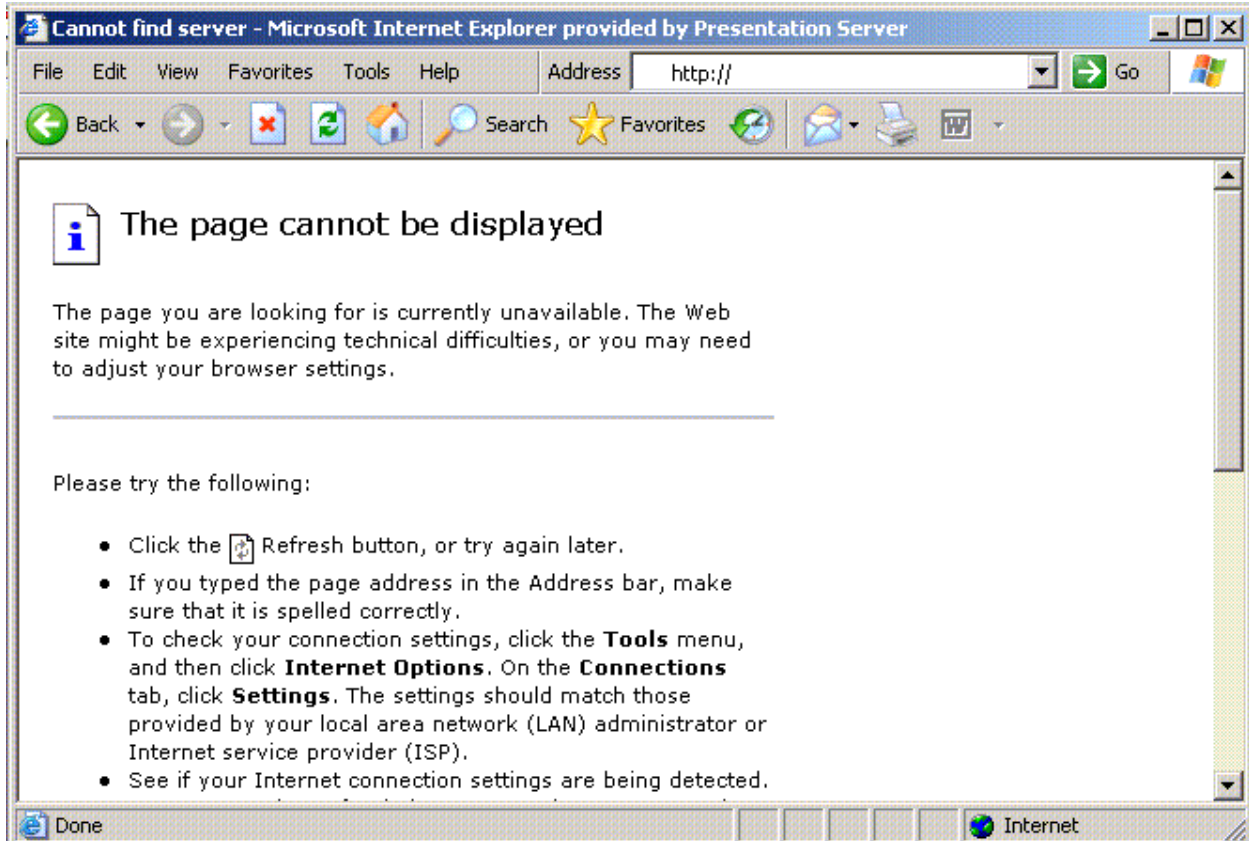
Note: The upload process could take some time depending on your internet connection speed.

4. You can only upload one file at a time, Repeat steps 4 through 6 for each file to be transmitted to OSFI.

### **4.0 Backup**

Financial Institutions are required to provide their returns to the Bank of Canada/OSFI within the established reporting lags. In the event of failure of any component of the ADT system, you should be prepared to provide the required data to the Bank of Canada/OSFI via some other method, e.g. email, facsimile, telephone, etc. within the allowable reporting time.

## 5.0 Typical Errors Generated by ADT



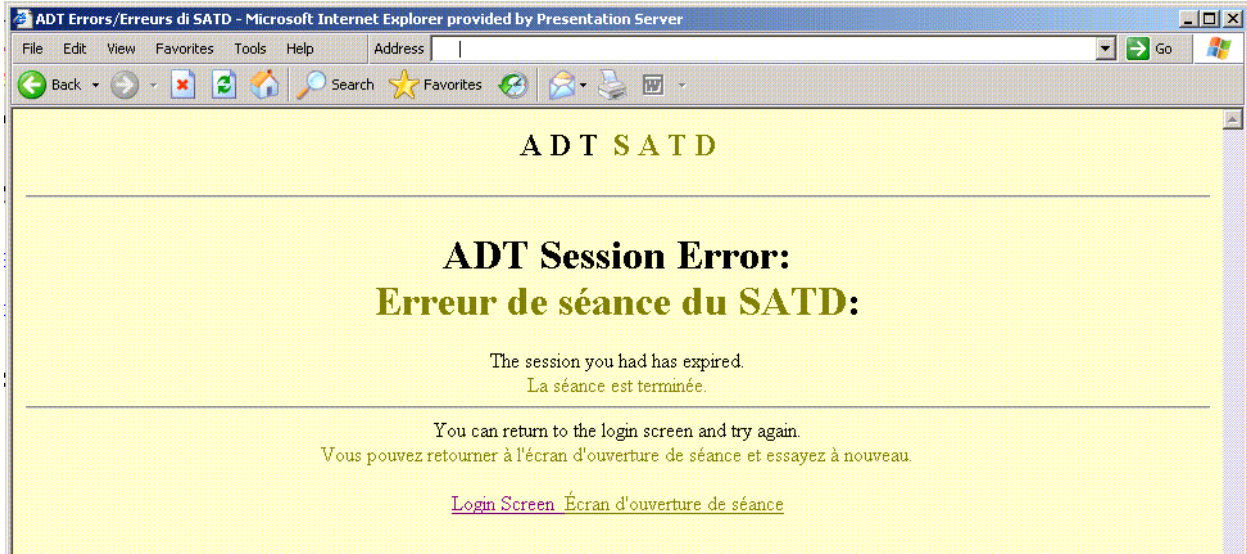
This error indicates that the URL was entered incorrectly. Re-enter the URL. Check to ensure that https has been entered. If this message persists, please call the ADT helpline.

## ADT User Guide



This error indicates you entered an incorrect password. Please click on **Login Screen** and re-enter your **LoginID** and **password**. If you are unable to enter the correct password, please call 613-782-8318 at the Bank of Canada and your password will be reset.

## ADT User Guide



This error indicates your session on the web server has timed out. This typically happens after 30 minutes of inactivity. Please click on **Login Screen** and re-enter your **LoginID/password**.

If you receive the message "**Page cannot be displayed**" please try one of the following to resolve the problem:

1. Deleting all the temporary files from the cache
2. Erasing and re-typing the URL
3. Rebooting your computer
4. Signing on from another computer

## 6.0 Submitting BASEL II Return Data

The naming convention is defined below for Rapid 2 Returns. Return files must apply the appropriate file naming convention or returns will be rejected upon submission.

The file names for this type of return should be structured according to this table.

Character #	Information Type	Format	Possible Values
1-2	Institution Code	2 Characters	OSFI assigned unique institution code
3	Underscore	1 Character	_ (underscore)
4-5	OSFI Return Code	2 Character	BF, BG,
6	Underscore	1 Character	_ (underscore)
7-8	Month	2 Digits	Valid month
9-12	Year	4 Digits	Valid year
	Extension		.dat

The following examples are some possible file names based on this file naming convention:

*e.g. AC\_BF\_122010.dat      e.g. AC\_BG\_122010.dat*

## 7.0 Submitting RAPCORP (Rapid 1) Return Data

The naming convention is defined below for Rapid 1 Return. Return files must apply the appropriate file naming convention or returns will be rejected upon submission.

The file names for this type of return should be structured according to this table.

Character #	Information Type	Format	Possible Values
1-2	Institution Code	2 Characters	OSFI assigned unique institution code
3	Underscore	1 Character	_
4-10	OSFI Return Code	7 Characters	RAPCORP
11	Underscore	1 Character	_
12-13	Month	2 Digits	Valid month
14-17	Year	4 Digits	Valid year
	Extension		.dat

The following examples are some possible file names based on this file naming convention:

e.g. *AC\_RAPCORP\_102010.dat*  
e.g. *AC\_RAPCORP\_122010.dat*

## 8.0 Submitting Cooperative Credit Association Returns

The naming convention is defined below for the Cooperative Credit Association (OSFI-68) Return. Returns files must apply the appropriate file naming convention or returns will be rejected upon submission.

The following return type is subject to the File Naming convention for OSFI-68 Return.

Return Type	Return Name	OSFI Return Code	Return Extension	Industry
Cooperative Credit Return	OSFI-68	68	.xls/.xlsx	Cooperative Credit Associations

The file names for this type of return should be structured according to this table.

Character #	Information Type	Format	Possible Values
1-4	Year	4 Digits	Valid Year
5-6	Return Period	2 Digits	Q1, Q2, Q3, Q4
7	blank	1 Character	Space
8-9	Institution Code	2 Characters	OSFI assigned unique institution code
10	blank	1 Character	Space
11-12	OSFI Return Code	2 Digits	68
	Extension		.xls/.xlsx

The following example is a possible file name based on this file naming convention:

e.g. 2012Q1 Y3 68.xls  
 e.g. 2012Q1 Y3 68.xlsx

## 9.0 Submitting Corporate Returns

The naming convention is defined below for Corporate Returns. Returns files must apply the appropriate file naming convention or returns will be rejected upon submission.

### 9.1 Structured Corporate Returns File Name

The following return types are subject to the File Naming convention for Corporate Returns

Return Type	Return Name	OSFI Return Code	Return Extension	Industry
Structured Corporate Returns	OSFI 513 Annual or Amendment	513	.xls/.xlsx	Foreign Bank Branches only
	OSFI 57 Annual or Amendment	057	.xls/.xlsx	DTIs
	Fiscal Year End Change	596	.xls/.xlsx	DTIs and Foreign Bank Branches

The file names for this type of return should be structured according to this table.

Character #	Information Type	Format	Possible Values
1-4	Year	YYYY	Valid Year
5	blank	1 Character	Space
6-7	Institution Code	2 Characters*	OSFI assigned unique institution code
8	blank	1 Character	Space
9-11	OSFI Return Code	3 Digits	513, 057, 596
12	Amendment	1 Character	If the file is a Amendment include the letter "A" otherwise there is no 14 <sup>th</sup> Character **
13	Blank	1 Character	Space
14-21	Effective Date	YYYYMMDD	Effective date of change (insert earliest date in including more than one) **
	Extension		.xls or .xlsx

\* For Credit Union Centrals, 1 Character, 1 Digit. Eg. Y9

\*\* Not applicable to the OSFI 596 return



## ADT User Guide

The following examples are some possible file names based on this file naming convention:

e.g. 2011 AC 057.xlsx                      e.g. 2012 AC 057A 20120405.xls  
 e.g. 2011 AC 513.xls                      e.g. 2012 AC 513A 20120606.xlsx  
 e.g. 2011 AC 596.xls

### 9.2 Unstructured Corporate Returns File Name

The following return types are subject to the File Naming convention for Corporate Returns

Return Type	Return Name	OSFI Return Code	Return Extension	Industry
<b>Unstructured Corporate Returns</b>	Annual Financial Statement, Auditor's Report & Other Shareholders' material	597	.doc/.docx, .xls/.xlsx or .pdf	DTIs
	Report of the Conduct Review Committee	598	.doc/.docx or .pdf	DTIs
	ByLaws	599	.doc/.docx or .pdf	DTIs
	Notice of Annual or Special Meeting	565	.doc/.docx or .pdf	DTIs
	Copy of Power of Attorney	512	.pdf	Foreign Bank Branches only
	Auditor's Report to the Principal Officer	601	.doc/.docx or .pdf	DTIs, Foreign Bank Branches
	Return of Shareholders	602	.doc/.docx or .pdf	Domestic Banks only

## ADT User Guide

The file names for this type of return should be structured according to this table.

Character #	Information Type	Format	Possible Values
1-4	Year	YYYY	Valid Year
5	blank	1 Character	Space
6-7	Institution Code	2 Characters**	OSFI assigned unique institution code
8	blank	1 Character	Space
9-11	OSFI Return Code	3 Digits	597, 598, 599, 565, 512, 601, 602
12	blank	1 Character	Space
13+	Descriptive Text	0 to 41 Characters	Alphanumeric (a-z, A-Z, 0-9, ., -, _)
	Extension		.doc/.docx, .xls/.xlsx or .pdf

**\*\*For Credit Union Centrals, 1 Character, 1 Digit. Eg. Y9**

The following examples are some possible file names based on this file naming convention:

e.g. 2011 AC 598.doc                      e.g. 2011 AC 597.xls  
e.g. 2011 AC 512.pdf                      e.g. 2011 AC 599.xlsx  
e.g. 2012 AC 601 Auditors Report.pdf

### 9.3 Reporting Revisions

When revising corporate returns, it is necessary to resubmit the complete return, revised items as well as unrevised data points previously submitted. Revisions should be submitted through ADT.

### 9.4 File Format

Corporate Returns must be filed in the specified format indicated on the tables under 9.1 and 9.2 only. Modifications to the format or file naming convention will result in non-compliance and will be rejected by the ADT Web Portal.

**9.5 Confirmation of Receipt**

An email confirming receipt of corporate returns is not generated by the ADT Web Portal. Once your file has been successfully uploaded and appears under the "Recent file transfer history" list, **this is your official confirmation of receipt**. This screen can also be printed for your records.