# National System of Fines
## Report of Possible ACH Rules Violation

Completed form and necessary documentation should be returned to:
Compliance Department, NACHA, 2550 Wasser Terrace, Suite 400, Herndon, VA 20171
Phone: (703) 561-1100  Fax: (703) 561-0819  Internet submission: https://www.nacha.org

## RECEIVING DEPOSITORY FINANCIAL INSTITUTION
- **RDFI Name**
- **RDFI Routing Number**
- **RDFI Contact**
- **Street Address**
- **City/State/Zip**
- **Telephone**
- **Fax**
- **E-Mail**
- **Regional Payments Association Member?**
- **Submitter of Violation Report**

## ORIGINATING DEPOSITORY FINANCIAL INSTITUTION
- **ODFI Name**
- **ODFI Routing Number**
- **ODFI Contact**
- **Street Address**
- **City/State/Zip**
- **Telephone**
- **Fax**
- **E-Mail**
- **Regional Payments Association Member?**
- **Submitter of Violation Report**

## ORIGINATOR
- **Originator Name**
- **Company ID Number**
- **Contact**
- **Title**
- **Street Address**
- **City/State/Zip**
- **Telephone**
- **Fax**
- **E-Mail**

## IF OTHER ACH PARTICIPANT, COMPLETE THIS SECTION
- **ACH Operator**
- **Third-Party Service Provider**
- **Receiver**

## DESCRIPTION OF RULES VIOLATION
- **Standard Entry Class Code for Entry**
- **Transaction Code**
- **Settlement Date**
- **Dollar Amount**
- **Trace Number**
- **Account Number**
- **Date of Alleged Rules Violation (if different from Settlement Date above)**
- **Article and Section of NACHA Operating Rules alleged to have been violated (required)**

*Describe the precise nature of the alleged ACH rules violation. Appropriate documentation of the alleged rules violation must be provided.*

**Printed Name of Complainant**
**Title**
**Date**

**Signature of Complainant**
HOW TO COMPLETE THE FORM

To report an alleged violation of the NACHA Operating Rules, the complainant must submit a completed and signed Report of Possible ACH Rules Violation form, along with documentation necessary to support the claim of a violation, to: Compliance Department, NACHA, 2550 Wasser Terrace, Suite 400, Herndon, VA 20171; phone: (703) 561-1100; fax: (703) 561-0819. The form may also be submitted over the Internet by accessing NACHA's website at https://www.nacha.org.

Identification of Parties
1. The submitter of the form is the complainant. The submitter must provide its contact information.

2. If the submitter is a member of a Regional Payments Association, the association to which the submitter belongs must be specified.

3. Sections relating to “ODFI,” “RDFI,” “Originator,” or, if appropriate, “Other ACH Participant” must be completed as thoroughly as possible.

Summary of Facts of Alleged Violation
1. The section entitled “Description of Rules Violation” must provide detailed information relating to the alleged rules violation. The Report must contain a description of the precise nature of the alleged rules violation, the sequence of events involved, and the consequences resulting from the violation. The Report must specify the provision of the NACHA Operating Rules that is believed to have been violated and must provide information to identify the particular transaction (i.e., SEC Code, Transaction Code, Settlement Date, Dollar Amount, Trace Number, Account Number, and Date of Alleged Rules Violation).

2. The Report must be accompanied by copies of all documents necessary to support the claim that a provision of the NACHA Operating Rules has been violated, including copies of relevant ACH entries (i.e., Company/Batch Header Records, Entry Detail Records, and Addenda Records, when applicable) and written communications between the complainant and the party against which the Report is being filed.

Authorization for Submitting a Report of Possible ACH Rules Violation
1. The Report must be signed by an authorized representative of the complainant.

Restrictions on Filing a Report of Possible ACH Rules Violation
1. A Report of Possible ACH Rules Violation must be submitted to the National Association by the complainant within ninety (90) days of the occurrence of the alleged rules violation.

2. In the event that the complainant is asserting that a rules violation has been committed by more than one Participating DFI, a separate Report of Possible ACH Rules Violation must be filed for each case.

3. The complainant must be a Participating DFI or an ACH Operator that is a party to the transaction to submit a Report of Possible ACH Rules Violation.