



FedACH[®] Participation Agreement Part 6F: FedACH Exception Resolution Service – Service Request Form

*Required Fields

Section 1: Service Description and Form Instructions

The Exception Resolution Service (Service) is provided by the Reserve Banks pursuant to Appendix H to Operating Circular 4 through an application that permits Participating Banks to handle certain specified kinds of ACH Exception Use Cases that arise with respect to items originated or received through the FedACH service. The application permits a Requesting Bank to initiate an ACH Exception case and a Responding Bank to receive, view, and respond to that case.

The Online Service is accessed by using FedACH Exception Resolution Service on FedLine Web[®] and FedLine Advantage[®] access solutions. Specific credential access is needed for each subscriber that requires access to the FedACH Exception Resolution Service application.

Each institution that wishes to add the service will do so as either a Full Service Participant¹ participating Bank or an Offline Service Participant¹ participating bank by completing the FedACH Exception Resolution Service Request form. As a Full Service Participant, your institution may designate an Agency by which the Service can be accessed and administered on behalf of your institution's subscribing RTNS. Complete section 3.2 below to designate an Agent.

If your institution is a Partial Service Participant¹, you may provide instruction on this form for changes to your subscribed RTNs and/or notification emails. If your institution chooses to stop using the Service, your instruction on this form serves to revoke the designated agency authorization associated with the Service.

When you submit this form, the submitted form supersedes any previous versions of the same form.

For detailed instructions on completing this form, please refer to the [Participation Agreement Instructions](#) located at FRBservices.org.

For additional assistance completing and/or submitting this form, please contact Federal Reserve Bank Sales Support at 800-257-6701.

Send completed forms to the Customer Contact Center at:
ccc.bankservices@kc.frb.org

¹ Terms as defined in Operating Circular 4 appendix H – Exception Resolution Service

Section 2: Customer Information

Participating Institution Name*			
Identification Number (RTN/ETI)*			
Contact Name*	<i>First</i>	<i>MI</i>	<i>Last</i>
Contact Phone Number*	<i>Country Code</i>	<i>Phone</i>	<i>Extension</i>
Contact Email Address*			

Section 3: Service Specific Information / Customer Specific Requests

Requested Effective Date* (ACH Process Date) <i>(Form must be received by the Reserve Bank at least ten business days prior to the requested effective date. Actual effective date may vary from requested date.)</i>	
Action* <i>Select one option.</i>	<input type="checkbox"/> Add <input type="checkbox"/> Modify <input type="checkbox"/> Delete
Subscription Type* <i>Select one option.</i>	<input type="checkbox"/> Partial Service Participant ² <input type="checkbox"/> Full Service Participant ³ <input type="checkbox"/> Offline Service Participant ⁴

3.1 Additional RTN(s)

List any additional RTN(s) that should be set up for the Exception Resolution Service. Only RTN's of the requesting financial institution that either send or receive FedACH to or from Federal Reserve Banks can be listed.

² A Partial Service Participant can receive, read and respond to ACH Exception cases. Partial Service Participants may not appoint an Agent or use offline service to manage cases. Only sections 2, 3.1, 3.3 and 4 should be completed by Partial Service Participants.

³ A Full Service Participant can initiate, receive, read, respond, close or cancel ACH Exception cases, either by managing their own exception cases or by appointing an Agent to access and using the online service (see section 3.2).

⁴ An Offline Service Participant agrees to become a Participant using the offline service as provided for in paragraph 6.0 to Operating Circular 4 Appendix H – Exception Resolution Service.

3.2 Authorizing Agent to Send and/or Receive Exception Resolution Service Messages

Complete this section only if an Agent is being appointed to access and use the online service on behalf of the financial institution listed in the agreement, or an existing Agent relationship is being deleted. (If the financial institution designates an Agent, the Agent must complete Section 5 below.) If your institution would like to receive email notification of its ERS case messages, please provide the agent's email address(es) in section 3.3. Section 3: Service Specific Information / Customer Specific Requests (continued)

Add/Modify Agent Authorized below

Agent Name <i>(Agency Signature section 5 is required if adding or modifying an agent relationship.)</i>	
Agent RTN/ETI	
Exception Resolution Option	<input type="checkbox"/> Add Agent to initiate and respond to Exception Resolution messages.
Agent Billing Option⁵	Select this option only if all billing for the Exception Resolution Service should be directed to the Agent RTN listed above. If not selected the billing for the Exception Resolution Service will be sent to the financial institution listed on this form. <input type="checkbox"/>

Delete Agent below

Agent Name <i>(Agency Agreement is NOT required when removing an agent.)</i>	
Agent RTN/ETI	
Exception Resolution Option	<input type="checkbox"/> Remove Agent from initiating and responding to Exception Resolution messages

3.3 Notifications for Full or Partial Service Subscription (Go to Section 3.4 if Offline Service)

If your institution would like to receive email notifications of its ERS case messages, please provide the designated email address(es) below.

Notification Email	
Additional Notification Email	
Additional Notification Email	
Additional Notification Email	

⁵ Agent billing can only be directed to an Agent that is a financial institution with a Federal Reserve account.

Remove Email Address(es) currently on file	

3.4 Designation of Contacts for Offline Service Subscription (Go to Section 4 if not Offline Service)

The Offline Service should be selected only if your institution wants the Federal Reserve Bank to access and use the ERS application on your institution's behalf. By designating a person or persons as your institution's point of contact for exception cases entered by the Federal Reserve Bank, you are authorizing the Federal Reserve Bank to act on any instructions and/or information provided by the designated point of contact. This authorization remains in effect until it is revoked in writing by submitting an updated version of this form reflecting such revocation.

Contact Name*	
Contact Phone Number*	
Contact Email*	
Preferred method of contact <i>Select one option.</i>	<input type="checkbox"/> Email <input type="checkbox"/> Phone

Additional Contact Name	
Contact Phone Number	
Contact Email	
Preferred method of contact	<input type="checkbox"/> Email <input type="checkbox"/> Phone

Delete Offline Contact below

Contact Name	
Contact Email	
Contact Phone Number	
Exception Resolution Option	<input type="checkbox"/> Remove Contact from providing instructions and/or information to the Reserve Bank regarding the Exception Resolution Service

Section 4: Authorized Approval

Your institution agrees to the terms of Appendix H of Operating Circular 4, as applicable to the Service, and as amended from time to time.

Authorized Signer Name*	<i>First</i>	<i>MI</i>	<i>Last</i>
Authorized Signature* <i>(Authorized ACH signer on Official Authorization List)</i>			

Section 5: Agent Authorized Approval

By signing below, the Agent agrees to the terms of Appendix H of Operating Circular 4, as applicable to the Service, and as amended from time to time.

Agent Name*			
Identification Number (RTN/ETI)*			
Contact Name*	<i>First</i>	<i>MI</i>	<i>Last</i>
Contact Phone Number*	<i>Country Code</i>	<i>Phone</i>	<i>Extension</i>
Contact Email Address*			
Authorized Signer Name*	<i>First</i>	<i>MI</i>	<i>Last</i>
Authorized Signature* <i>(Authorized ACH signer on Official Authorization List)</i>			

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