



# FedACH<sup>®</sup> Participation Agreement Part 6F: FedACH Exception Resolution Service – Service Request Form

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## \*Required Fields

### Section 1: Service Description and Form Instructions

The Exception Resolution Service (Service) is provided by the Reserve Banks pursuant to Operating Circular 4, including its appendix H, through an application that permits Participating Banks<sup>1</sup> to exchange information to aid in handling certain kinds of ACH exceptions that arise from time to time. The Service permits a Requesting Bank to initiate an ACH Exception Case and a Responding Bank to receive, view, and respond to that case.

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](http://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](mailto:ccc.bankservices@kc.frb.org)

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<sup>1</sup> Capitalized terms are defined in Operating Circular 4, Appendix H – Exception Resolution Service  
[www.frbservices.org](http://www.frbservices.org)

**Section 2: Customer Information**

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

**Section 3: Service Specific Information / Customer Specific Requests**

<b>Requested Effective Date*</b> (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>	
<b>Action*</b> <i>Select one option.</i>	<input type="checkbox"/> Add <input type="checkbox"/> Modify <input type="checkbox"/> Delete
<b>Subscription Type*</b> <i>Select one option.</i>	<input type="checkbox"/> Partial Service Participant <sup>2</sup> <input type="checkbox"/> Full Service Participant <sup>3</sup> <input type="checkbox"/> Offline Service Participant <sup>4</sup>

**3.1 Additional RTN(s)**

List any additional RTN(s) that should be set up for the Service. RTN's of the requesting financial institution enrolled in FedACH Origination and Receipt or requesting financial institutions who send or receive ACH items to or from another ACH Operator can be listed.

<b>Action</b> <i>Select one option.</i>	<input type="checkbox"/> Add all RTNs in Participating Institution Account Family <sup>5</sup> <input type="checkbox"/> Add Select RTNs Only (List Below)
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<sup>2</sup> 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.

<sup>3</sup> 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).

<sup>4</sup> An Offline Service Participant enrolled in FedACH Origination and Receipt can use the Service offline as provided for in paragraph 6.0 to Operating Circular 4 Appendix H – Exception Resolution Service.

<sup>5</sup> Account Family is defined as all FedACH Participant RTNs associated with the subscribing financial institution's account family. The Federal Reserve Banks assume no liability for the content or accuracy of the Account Family. It is the subscribing financial institution's sole responsibility to validate the accuracy of the FedACH Participant RTNs and provide necessary updates.

**3.2 Authorizing Agent to Send or Receive Exception Resolution Service Messages**

Complete this section only if an Agent, including an ACH operator (other than a Reserve Bank), is being appointed to access and use the online service on behalf of the financial institution named in Section 2 above, or an existing Agent relationship is being deleted.

**Add/Modify Agent Authorized below**

<b>Agent Name</b> <i>(Agency Signature section 5 is required if adding or modifying an agent relationship.)</i>	
<b>Agent RTN/ETI</b>	
<b>Exception Resolution Option</b>	<input type="checkbox"/> Add Agent to manage Exception Resolution messages.
<b>Agent Billing Option<sup>5</sup></b>	Select this option only if all billing for the Service should be directed to the Agent RTN listed above. If not selected, the <input type="checkbox"/> billing for the Service will be sent to the financial institution identified in Section 2.

**Delete Agent below**

<b>Agent Name</b> <i>(Agency Agreement is NOT required when removing an agent.)</i>	
<b>Agent RTN/ETI</b>	
<b>Exception Resolution Option</b>	<input type="checkbox"/> Remove Agent from managing 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 case messages, please provide the designated email address(es) below.

<b>Notification Email</b>	
<b>Additional Notification Email</b>	
<b>Additional Notification Email</b>	
<b>Additional Notification Email</b>	

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

<b>Remove Email Address(es) currently on file</b>	

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

The Offline Service Participant should be selected only if your institution is enrolled in FedACH Origination and Receipt and wants the Federal Reserve Bank to access and use the Service 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 or information provided by the designated point of contact. This authorization remains in effect until it is revoked by submitting an updated version of this form reflecting such revocation.

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

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

#### Delete Offline Contact below

<b>Contact Name</b>	
<b>Contact Email</b>	
<b>Contact Phone Number</b>	
<b>Exception Resolution Option</b>	<input type="checkbox"/> Remove Contact from providing instructions 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.

<b>Authorized Signer Name*</b>	<i>First</i>	<i>MI</i>	<i>Last</i>
<b>Authorized Signature*</b> <i>(Signer must be listed 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.

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

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