

CFIUS Case Management System Public Portal User Guide

Version 1.5

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Contents

Purpose	3
Overview of the Public Portal	3
How to Register/Login	3
How to Create a Submission	4
How to Add Others to a Submission	6
How to Upload a Document	8
How to File a Submission	12
How to View Your Filings	13
The Filing Process.....	14
How to Export a Submission to Microsoft Word	15
How to Pay a Filing Fee	16
How to Submit Answers to a Question Set.....	20
Contact Us.....	23

Purpose

The purpose of the Public Portal User Guide is to provide guidance for the Public Portal users on the following topics:

- How to Register
- How to Login
- How to Submit a Form
- How to Respond to Questions from a Case Officer
- How to Upload a Document
- How to Word Export a Submission
- How to Pay a Filing Fee

Overview of the Public Portal

The CFIUS Public Portal provides external users with the capability to submit filings to, and interact with, CFIUS.

Before using the Public Portal, users will have to register with ID.me, a registration and authentication service utilized by numerous Federal and commercial entities.

Within the Portal, external users can submit Section 800 and 802 declarations and notices, upload associated documents, submit questions and answers to CFIUS Case Officers, and export submitted filings to a Microsoft Word document.

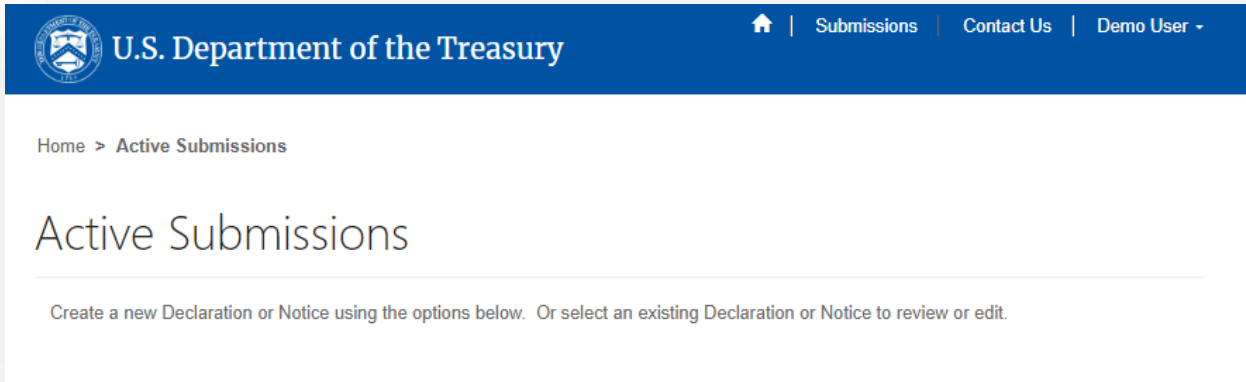
How to Register/Login

External parties will register to use the CFIUS Public Portal through ID.me, a registration and authentication service utilized by numerous Federal and commercial entities. Instructions for registering with ID.me and logging in to the Public Portal are available at <https://home.treasury.gov/system/files/206/CFIUS-CMS-IDme-Account-Instructions.pdf>.

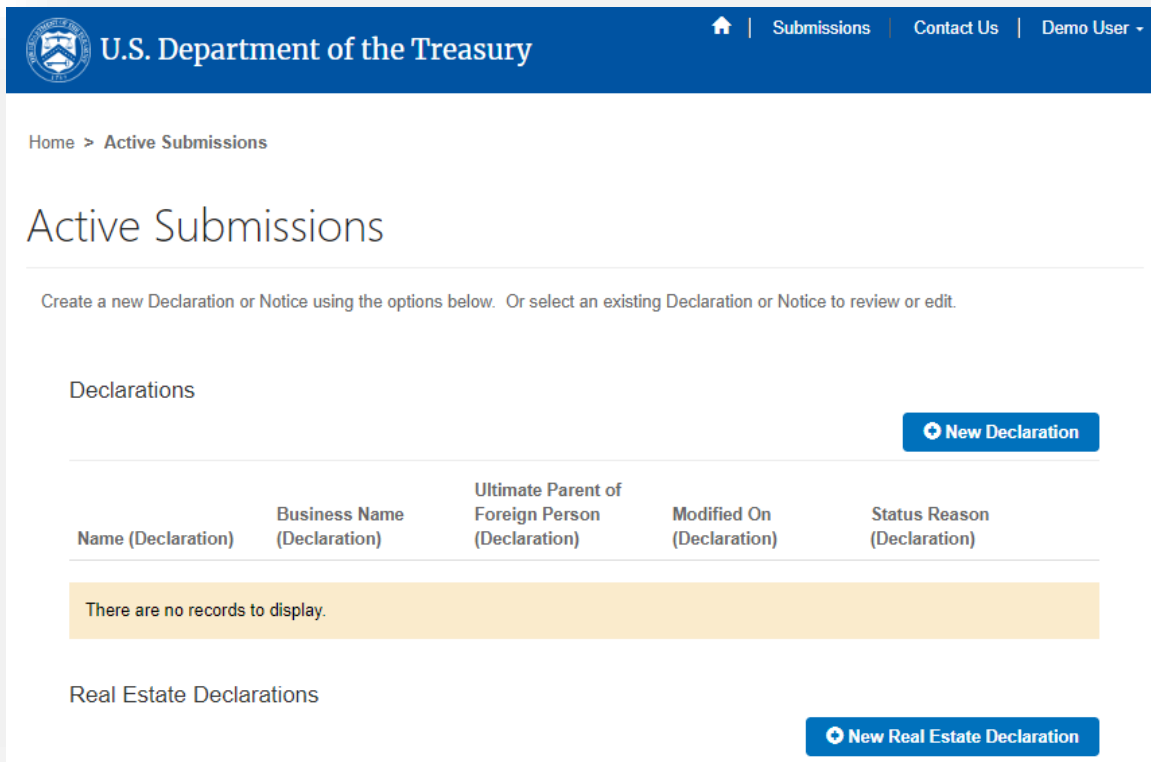
Please click [here](#) for the Privacy Act Statement relating to information you share with ID.me.

How to Create a Submission

From the Home Page, click Submissions button on the top of the page.



Select the type of Submission.



On the Create page, fill in the fields and click Submit.

The screenshot shows the 'CFIUS - Notice Create' page. At the top is a blue header with the U.S. Department of the Treasury logo and navigation links for 'Submissions', 'Contact Us', and 'Demo User'. Below the header, the breadcrumb 'Home > CFIUS - Notice Create' is visible. The main heading is 'CFIUS - Notice Create'. A paragraph of instructions states: 'To start processing a Notice, fill out these fields and click 'Submit.' These fields will be used to generate a temporary name for your draft. It will be renamed by a case officer after submission.' The form contains three input fields: 'Ultimate Parent of Foreign Person' (text box), 'U.S. Business Name' (text box), and 'Country of Ultimate Parent of Foreign Person' (dropdown menu). A blue 'Submit' button is located at the bottom left of the form area.

On the next page, select Edit for each stage, and fill in the form information.

The screenshot shows the 'Notices' page. The header is identical to the previous page. The main heading is 'Notices'. A paragraph of instructions states: 'The instructions in these forms are provided to help facilitate the submission of information under CFR Parts 800 and 802. Please consult the regulations, which are provided in pop-up windows for these forms, to see the specific information requirements for a given field.' Another paragraph states: 'Please note that information saved in or submitted via this system will be visible to the public. However, Treasury will not as a matter of practice access submitted information until it is approved for review by CFIUS in draft or final form.' Below this is a section titled 'Notice Stages' which lists three stages, each with an 'Edit' button: 'Participant Administration' (Add users to this Notice), 'General Details' (Please provide a general introduction of the transaction), and 'Persons Associated with the Transaction' (List all U.S. and foreign parties, parents, and owners).

How to Add Others to a Submission

You may add others to your filing using the Participant Administration tab. By adding an individual to a filing, you acknowledge that the individual will be able to view all aspects of the filing other than restricted documents, and will be able to submit the filing to CFIUS.

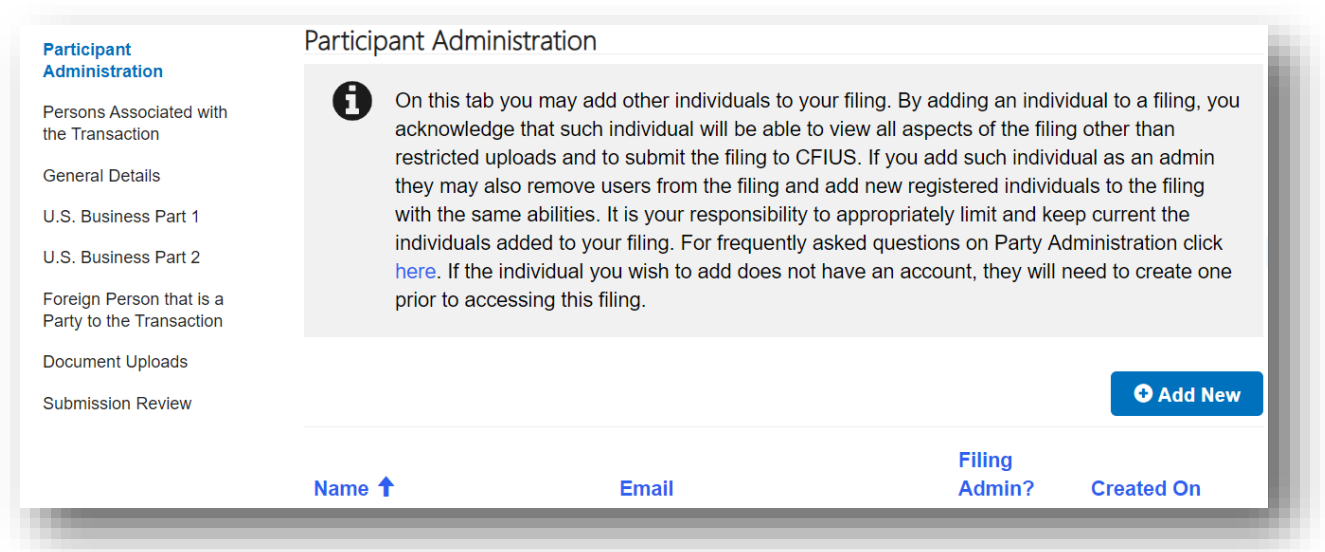
Restricted documents can only be viewed by the individual that uploaded them.

You can also designate an individual as an *admin*. Designating an individual as an *admin* provides that individual the ability to remove users from the filing and to add new registered individuals to the filing.

You can also designate an individual as a *payer*. Designating an individual as a *payer* provides that individual the ability to pay the filing fee for a Notice. *Payers* can only access the Payment stage of the Notice. An individual with the *payer* designation will not have access to any other Notice stages.

It is your responsibility to appropriately limit and keep current the individuals added to your filing. If the individual you wish to add does not have an account, they will need to create one prior to accessing this filing.

- Click the **+Add New** button.



The screenshot displays the 'Participant Administration' interface. On the left is a sidebar with the following navigation items: 'Participant Administration' (highlighted), 'Persons Associated with the Transaction', 'General Details', 'U.S. Business Part 1', 'U.S. Business Part 2', 'Foreign Person that is a Party to the Transaction', 'Document Uploads', and 'Submission Review'. The main content area is titled 'Participant Administration' and contains an information icon (i) followed by a text block: 'On this tab you may add other individuals to your filing. By adding an individual to a filing, you acknowledge that such individual will be able to view all aspects of the filing other than restricted uploads and to submit the filing to CFIUS. If you add such individual as an admin they may also remove users from the filing and add new registered individuals to the filing with the same abilities. It is your responsibility to appropriately limit and keep current the individuals added to your filing. For frequently asked questions on Party Administration click [here](#). If the individual you wish to add does not have an account, they will need to create one prior to accessing this filing.' Below this text is a blue button with a plus sign and the text '+ Add New'. At the bottom of the main area, there is a table header with four columns: 'Name ↑', 'Email', 'Filing Admin?', and 'Created On'.

To add another individual to the filing, enter the name and email address that is associated with their ID.me account.

Select Yes or No for the admin designation. Select Yes or No for the payer designation. Click **Save**.

PLEASE NOTE: Only participants with an ID.me account associated with the provided email address can be added to the submission.

For security reasons participant entries without ID.me accounts will be removed from the list and must be added after an ID.me account is acquired.

Name

Email

Would you like to make this new user a filing admin?

No Yes

Would you like to make this new user payer-only?

No Yes

Save

How to Upload a Document

To upload documentation pertaining to a filing:

- Click the Edit button for the Document Uploads stage.

Document Uploads

i Please upload documentation required for acceptance of the voluntary notice by the Staff Chairperson, and, as applicable, any supplemental attachments you wish to file with your notice.

Documentation submitted through the General Upload feature will be accessible by any individual granted permission to access the notice submission form for the transaction. Should a party to the transaction wish to restrict accessibility of any uploaded documentation, such party may submit such documentation through the Restricted Document feature. Parties may also password protect such documents and relay the document password to Treasury separately. To access the template for a PII upload click [here](#). For frequently asked document upload questions click [here](#). Personal Identifier Information must be submitted via Restricted Upload only.

Under § 800.502, a party or parties filing a voluntary notice of a transaction under § 800.501 shall provide certain additional materials, which may be uploaded below. Please refer to the regulations for a description of information required to be included in your submission. Parties are encouraged to review the regulatory provisions listed below:

- (c) (1) (x) A copy of any partnership agreements, integration agreements, or other side agreements relating to the transaction;
- (c) (1) (xi) (B) ... if so, ... a copy of the document(s) setting forth the post-acquisition governance provisions (e.g., quorum requirements, special rights) for the board of directors or other body;

- Click the +Add New button from the General Documents section.
- To upload a document containing Personally Identifiable Information (PII) or other restricted information, click the +Upload Restricted Document button
- Please refer to the [FAQ](#) for additional information on Document Uploads.

General Documents


[+ Add New](#)

Name ↑	Document Type	Created On
There are no records to display.		

Restricted Documents

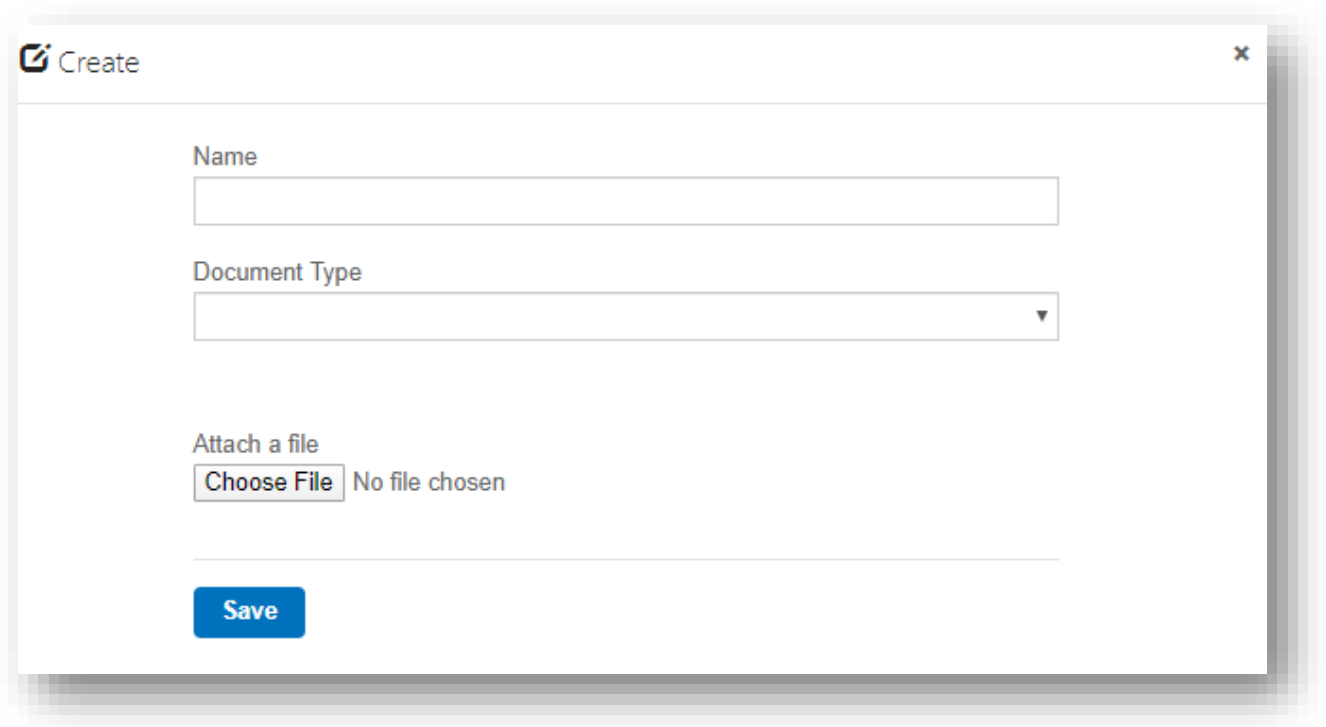
[+ Upload Restricted Document](#)

Name ↑	Restricted Document Type	Created On
There are no records to display.		

 [Privacy Policy](#)

[Back](#) [Save](#) [Save and Next](#)

[Generate Zip of General Documents](#)



- Fill in all the necessary fields then click Choose File button.
- Select any document to upload and click Open.
- Click Save.

To generate a zip file of all general documents uploaded:

- Click on the Generate Zip of General Documents button.
- Once a zip is created, it will display as “All Files: <Date><Time>” format per below.

Please note that the Generate Zip of General Documents feature is only available for the General Documents and not for any Restricted Documents.

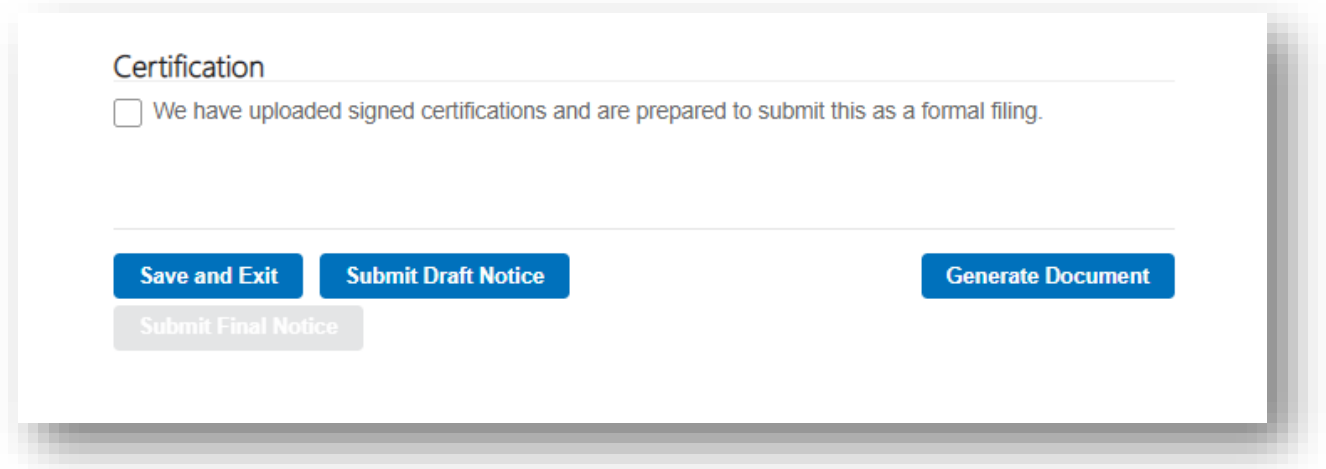
General Documents

[+ Add New](#)

Name ↑	Document Type	Created On	
All Files: 2020-09-10 11:10		9/10/2020 11:10 AM	▼
Test	Other	9/10/2020 11:09 AM	▼

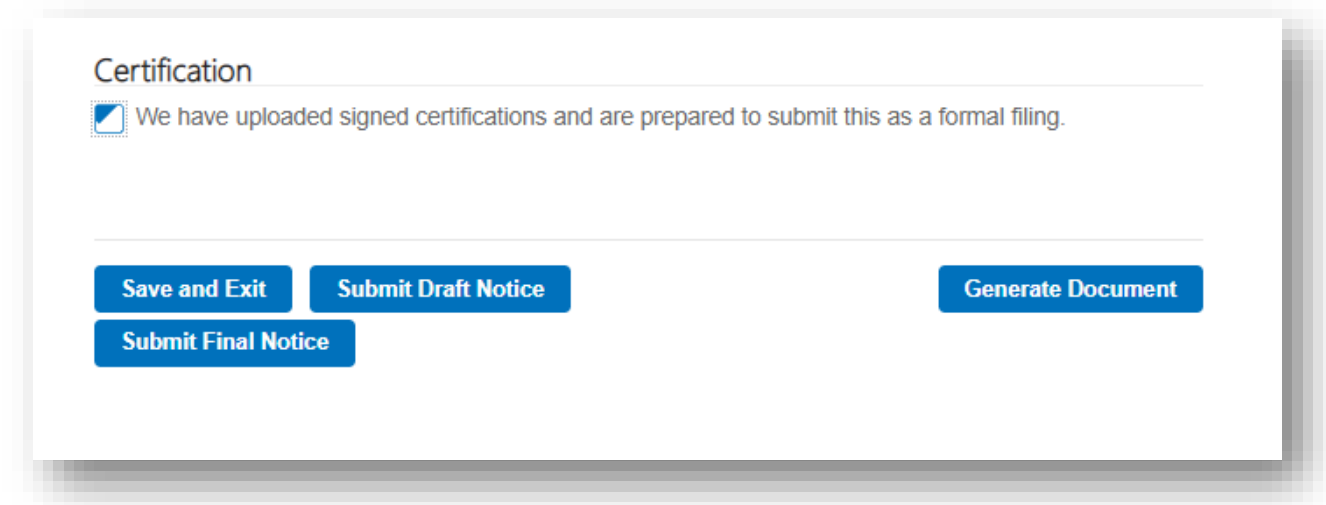
How to File a Submission

For a Draft submission, once all information is complete, click the Submit Draft button on the Submission Review page.



The screenshot shows a 'Certification' section with a horizontal line above it. Below the line is a checkbox that is unchecked, followed by the text 'We have uploaded signed certifications and are prepared to submit this as a formal filing.' Below this text is another horizontal line. Underneath the second line are four buttons: 'Save and Exit' (blue), 'Submit Draft Notice' (blue), 'Generate Document' (blue), and 'Submit Final Notice' (greyed out).

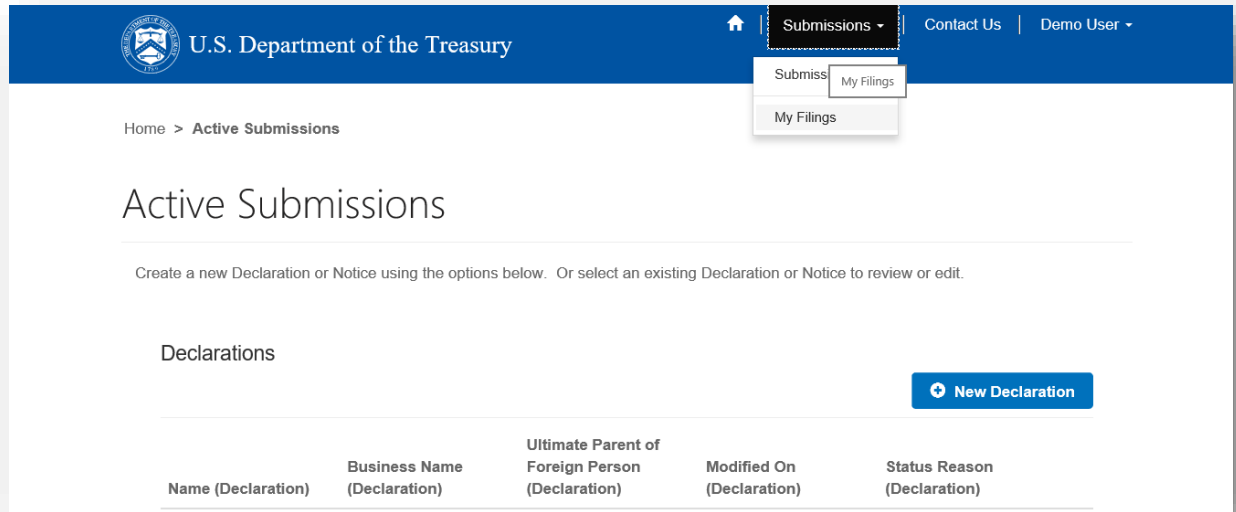
For a Final submission, check the Certification checkbox (the button text will change from Submit Draft to Submit Final), and click the Submit Final button.



The screenshot shows the same 'Certification' section as the previous one, but the checkbox is now checked. The text 'We have uploaded signed certifications and are prepared to submit this as a formal filing.' remains the same. Below the second horizontal line, the buttons are: 'Save and Exit' (blue), 'Submit Draft Notice' (blue), 'Generate Document' (blue), and 'Submit Final Notice' (blue).

How to View Your Filings

Click the Submissions button in the top menu and select My Filings



U.S. Department of the Treasury

Home > Active Submissions

Active Submissions

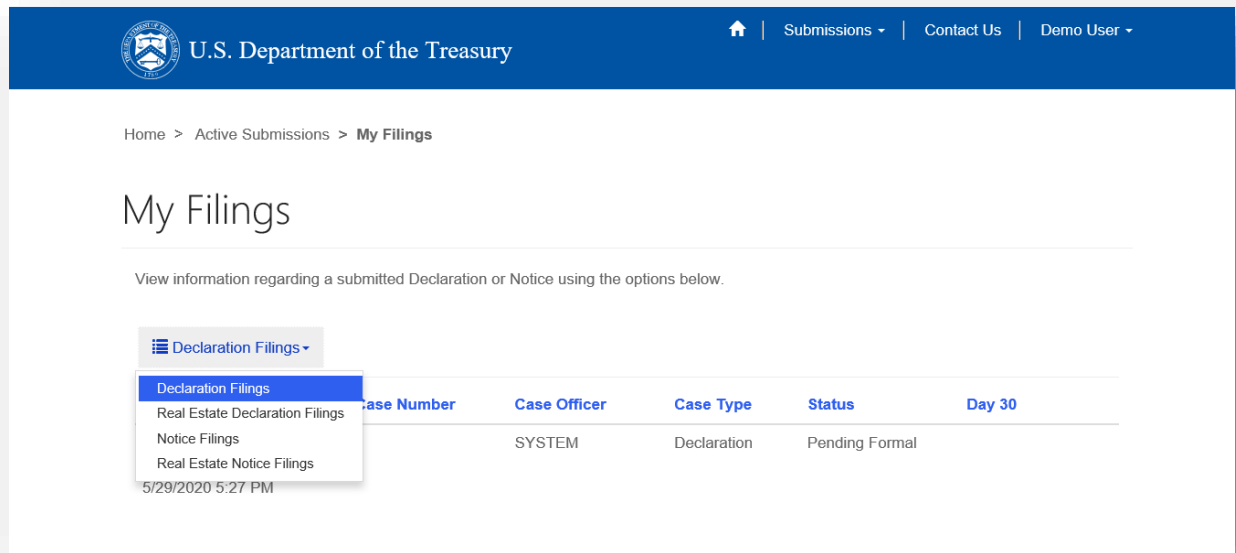
Create a new Declaration or Notice using the options below. Or select an existing Declaration or Notice to review or edit.

Declarations

[New Declaration](#)

Name (Declaration)	Business Name (Declaration)	Ultimate Parent of Foreign Person (Declaration)	Modified On (Declaration)	Status Reason (Declaration)
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On the My Filings page, select the type of filing from the drop-down to view your filings.



U.S. Department of the Treasury

Home > Active Submissions > My Filings

My Filings

View information regarding a submitted Declaration or Notice using the options below.

Declaration Filings

Declaration Filings

Real Estate Declaration Filings

Notice Filings

Real Estate Notice Filings

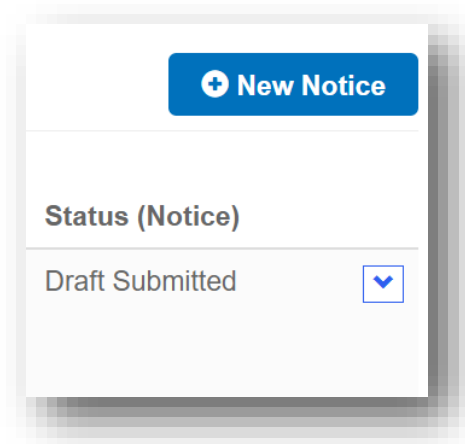
5/29/2020 5:27 PM

Case Number	Case Officer	Case Type	Status	Day 30
	SYSTEM	Declaration	Pending Formal	

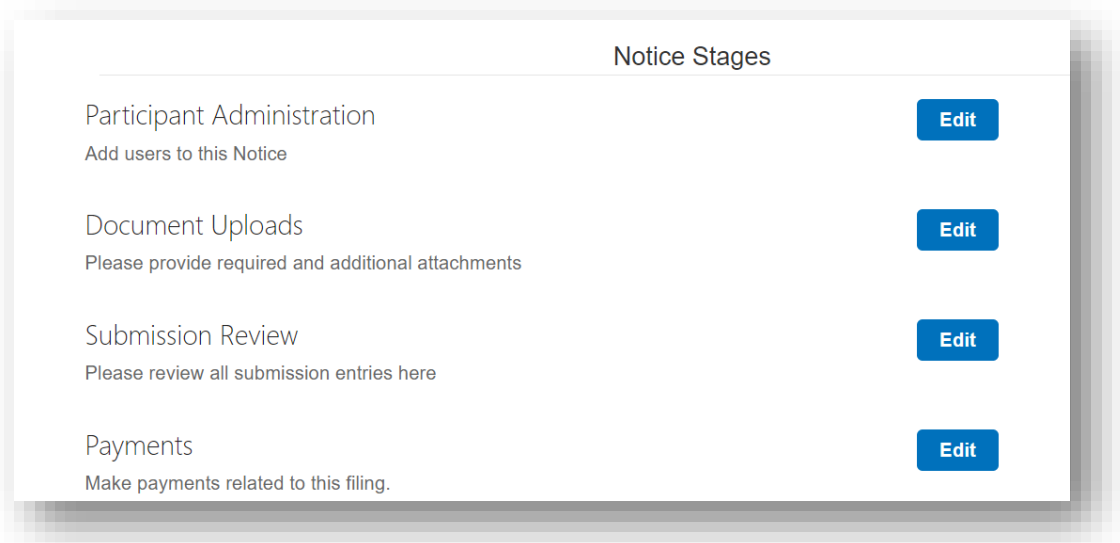
The Filing Process

Once filed as either a draft (for section 800 or 802 Notices) or a final (for 800 and 802 Notices and Declarations) submission, the view of this submission on the Public Portal will change as detailed below. Once filed, only a Case Officer can unlock this filing for edits; once unlocked, parties will see a view that matches the pre-submission view.

- On the Submissions Page, the status for this submission will be shown as either Draft Submitted or Submitted, as shown below for a submitted 800 Notice Draft.



- Upon selecting the submission, the only stages available will be Participant Administration, Document Uploads, and Submission Review, as shown below for a submitted 800 Notice.

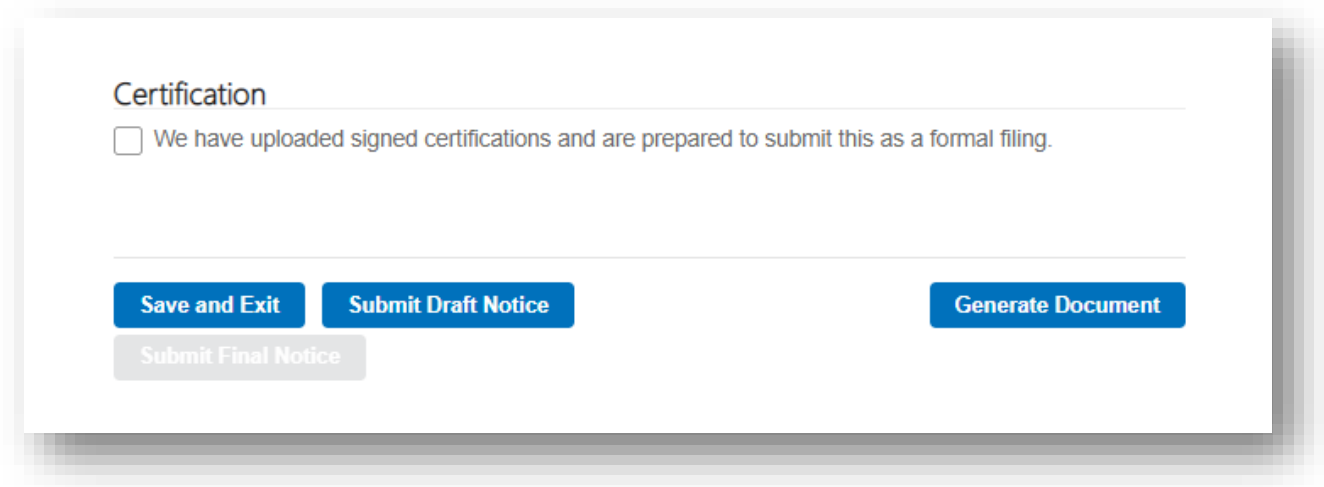


- Parties may upload additional General or Restricted attachments; however, they may not delete any attachments.
- The Submission Review tab will show a Read-Only view of the information that was entered for the submission.

*Please note, Parties will be able to add and remove Participants as well as Export a Submission to Microsoft Word after submission.

How to Export a Submission to Microsoft Word

- On the Submission Review page, click Generate Document.
- The system will display a banner stating the document has been generated.
- A link to the document is in the Microsoft Word exports near the bottom of the Submission Review page. You may need to refresh the page for it to appear.



The screenshot shows a 'Certification' section with a checkbox and four buttons. The checkbox is unchecked and is followed by the text 'We have uploaded signed certifications and are prepared to submit this as a formal filing.' Below this, there are four buttons: 'Save and Exit', 'Submit Draft Notice', 'Generate Document', and 'Submit Final Notice'. The 'Generate Document' button is highlighted in blue, while the others are either blue or grey.

Certification

We have uploaded signed certifications and are prepared to submit this as a formal filing.

Save and Exit **Submit Draft Notice** **Generate Document**

Submit Final Notice

How to Pay a Filing Fee

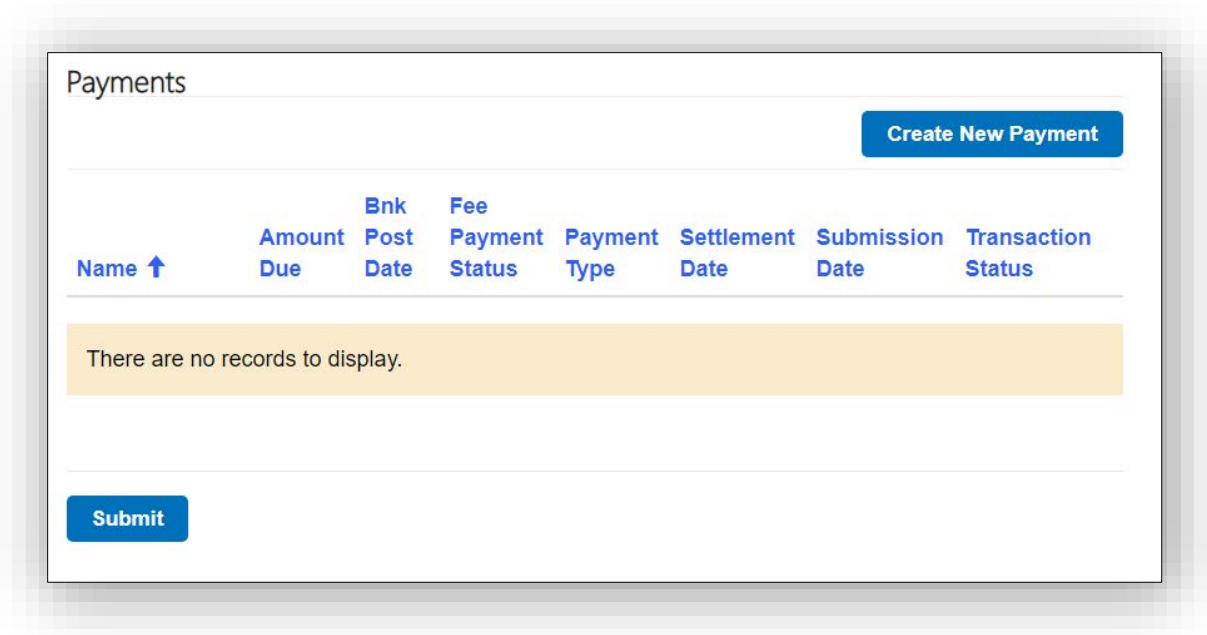
Select the case for which to pay the fee from the **Active Submissions** page.

On the **Notice Stages** page, select the **Edit** button for the **Payments** stage.

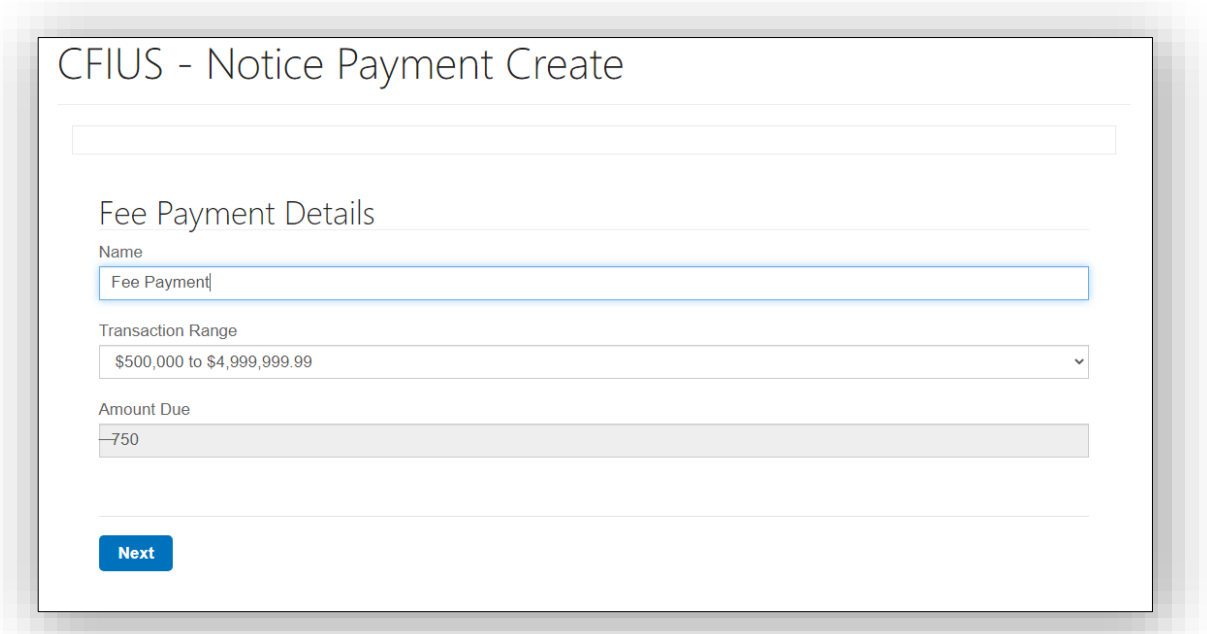
Note: Stages displayed below are dependent on users' permissions. The **Payments** stage may be the only one displayed depending on the users' permissions.

Participant Administration Add users to this Notice	Edit
General Details Please provide a general introduction of the transaction	Edit
Persons Associated with the Transaction List all U.S. and foreign parties, parents, and owners	Edit
U.S. Business Part 1 Please provide general details about the U.S. Business and its related products, services, and contracts	Edit
U.S. Business Part 2 Please provide details about the U.S. Business's data and technology	Edit
Foreign Person that is Party to the Transaction Please provide general details about the Foreign Person that is party to the transaction	Edit
Post-Transaction Plans Please provide details regarding the Foreign Party's plans for the U.S. Business following the transaction	Edit
Additional Information	Edit
Document Uploads Please provide required and additional attachments	Edit
Submission Review Please review all submission entries and submit Notice here	Edit
Payments Make payments related to this filing.	Edit

On the **Payments** page, select the **Create New Payment** button.



On the **CFIUS – Notice Payment Create** page, add a name to identify the payment. Select the **Transaction Range** value from the dropdown. The **Amount Due** will populate. Click **Next**.



The Portal will now redirect users to Pay.gov to complete the transaction.

Provide the required checking or savings account information. Click **Continue**.

Committee on Foreign Investment in the United States (CFIUS)

Please enter checking or savings account information below.
* indicates required fields

Agency Tracking ID: 637319047075319506
Payment Amount: \$750.00

* Account Holder Name:

* Account Type:

Routing Number	Account Number	Check Number
<input type="text" value="026946783"/>	<input type="text" value="9243767390"/>	<input type="text" value="1234"/>

* Routing Number:

* Account Number:

* Confirm Account Number:

[Cancel](#)

Review information below **Review** and submit payment.

Read statement below **Authorization and Disclosure—Consumers and Businesses**.

Check the box to agree with the Pay.gov authorization and disclosure statement. Click **Continue**.

Committee on Foreign Investment in the United States (CFIUS)

Review and submit payment

* indicates required fields

Agency Tracking ID: 637319047075319506

Payment Amount: \$750.00


Payment Method: ACH Debit

Account Holder Name: Test User

Account Type: Business Checking

Routing Number: 042000424

Account Number: *****2345

Authorization and Disclosure Statement: 

Authorization and Disclosure--Consumers and Businesses

The debit transaction(s) to which you are agreeing are handled on behalf of Federal agencies by "Pay.gov," which consists of services offered by the U.S. Treasury Department's Financial Management Service. As used in this document, "we" or "us" refers to the Financial Management Service and its agents and contractors operating Pay.gov. "You" refers to the end-user reading this document and agreeing to it prior to engaging in a debit transaction.

I. Consumers

▲ Authorization

* I agree to the Pay.gov authorization and disclosure statement.

[Previous](#)

[Cancel](#)

[Continue](#)

Pay.gov will direct users back to the Portal.

CFIUS - Payment Success Page

Fee Payment Details

Name
Fee Payment

Payment Type
—

Transaction Range
\$500,000 to \$4,999,999.99

Amount Due
\$750

Transaction Status
Succeed

Submission Date
8/1/2020

Close

How to Submit Answers to a Question Set

To access questions awaiting your response on your submission(s), click on the **Submissions** menu and select **My Questions**.

U.S. Department of the Treasury

Submissions

Contact Us

Active Submissions

My Filings

My Questions

Home > Active Submissions

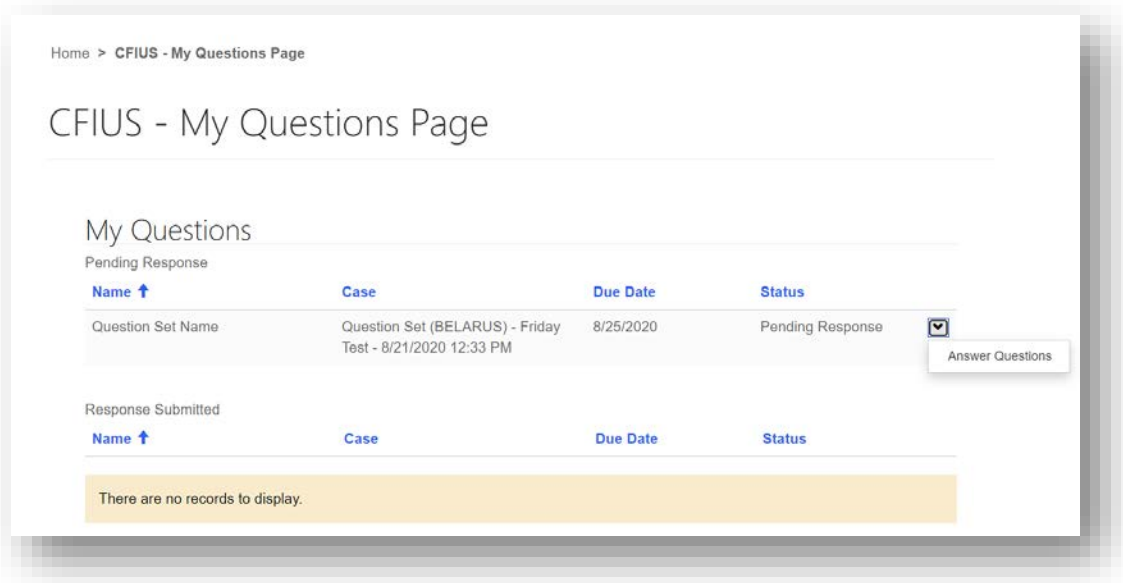
Active Submissions

Create a new Declaration or Notice using the options below. Or select an existing Declaration or Notice to review or edit.

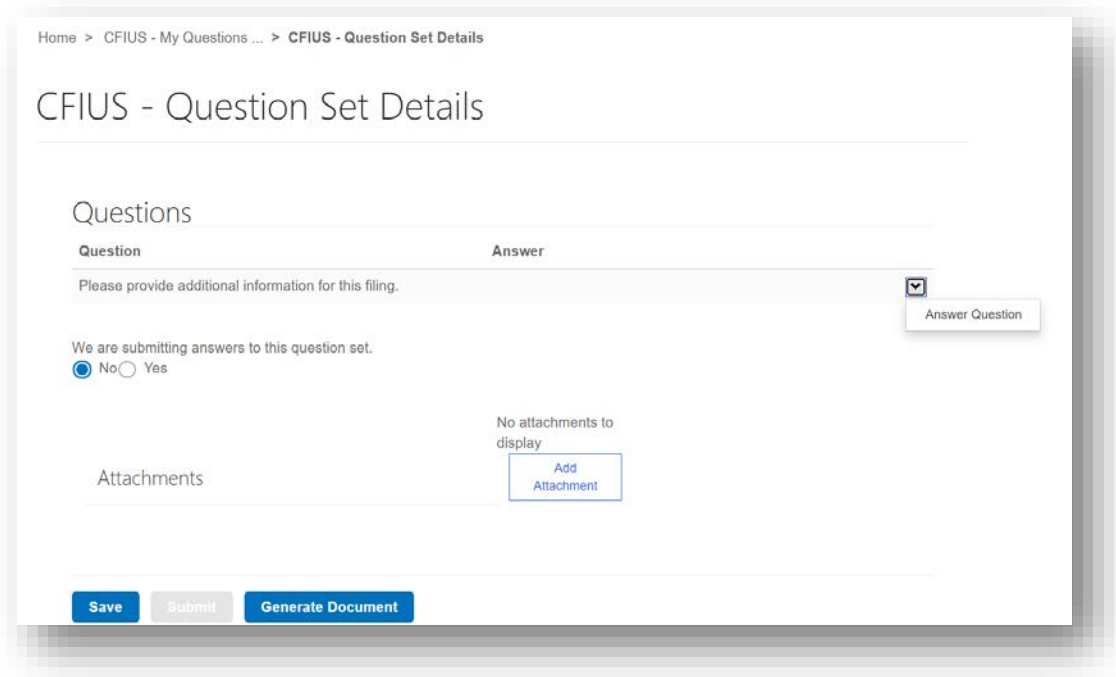
Questions related to your submissions pending your response and questions already answered will display on the **CFIUS – My Questions Page**.

To respond to a question that is pending a response, click on the **Answer Questions** dropdown.

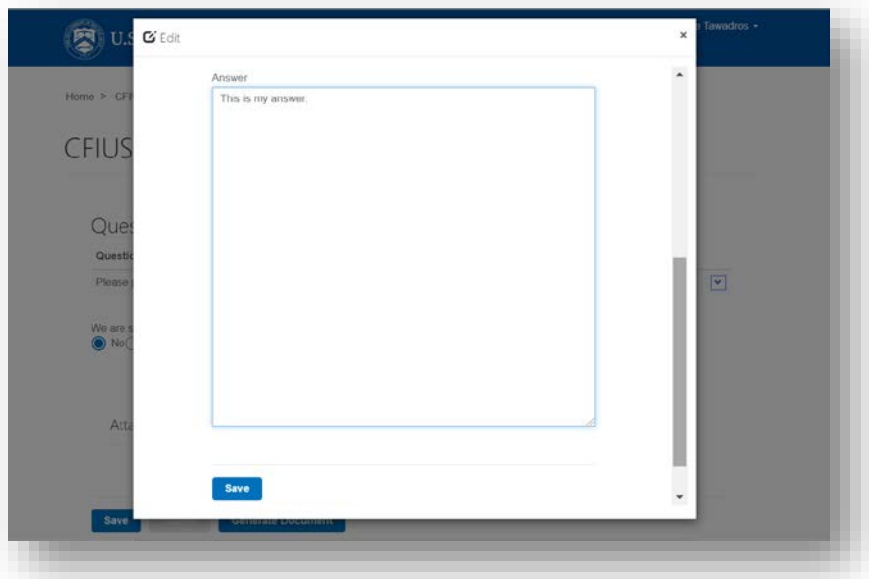
Please note, information saved prior to submission is stored in the CMS web platform hosted by the Department of the Treasury and can be viewed. However, a CFIUS case officer will not begin review of the information until responses have been officially submitted.



The **CFIUS – Question Set Details** page displays. Click on the **Answer Questions** dropdown.



Enter your answer response in the **Answer** text box click on the **Save** button.



The CFIUS – Question Set Details displays with your answer response.

CFIUS - Question Set Details

Questions

Question	Answer
Please provide additional information for this filing.	This is my answer. <input type="button" value="v"/>

We are submitting answers to this question set.
 No Yes

Attachments

No attachments to display

You can choose to upload an attachment to be associated with the given question set by clicking the **Add Attachment** button.

You can also click the **Generate Document** button to generate a word export of the question set.

To save your answer response without submitting, click on the **Save** button. The status of your response remains **Pending Response** on the **CFIUS – My Questions Page**.

To proceed with submitting your response, select **Yes** for the **“We are submitting answers to this question set.”** statement and click the **Submit** button. The status of your response updates to **Response Received** on the **CFIUS – My Questions Page**.

Contact Us

For questions concerning technical aspects of the CMS, please contact CFIUS.itsupport@treasury.gov.

For questions concerning the CFIUS process as it relates to the CMS, and for comments and feedback on the CMS, please contact CFIUS.cms@treasury.gov.

For questions concerning payment issues, please contact [Pay.gov](https://www.pay.gov).