

## FinCEN – SAR Activity Review Customer Satisfaction Survey 2010

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### Introduction

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FinCEN is committed to serving and satisfying their customers and has commissioned the CFI Group, an independent third-party research group, to conduct this survey. We are asking for your institution's feedback on this survey so that FinCEN can improve their SAR Activity Review products. If you work for a financial institution covered by the Bank Secrecy Act, but are not one of your institution's Bank Secrecy Act/Anti-Money Laundering Compliance Officers, please inform them of your receipt of this survey and ask for their additional input.

CFI Group will treat all information you provide as confidential. All information you provide will be combined with others' for research and reporting purposes. Your individual responses will not be released.

This survey is authorized by the U.S. Office of Management and Budget Control No. XXX-XXX.

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### Demographics

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- Demo1. Which of the following best describes your organization?
1. Depository Institution (e.g. banks, credit union)
  2. Money Services Business (e.g. currency exchangers, check cashers, money transmitter, issuer/seller/redeemer of money orders and travelers checks)
  3. Futures Commissions Merchants
  4. Introducing Brokers
  5. Commodity Trading Advisors
  6. Commodity Pool Operators
  7. Casino or Card Club
  8. Insurance Companies
  9. Mutual Funds
  10. Dealer in Precious Metals, Stones, or Jewels
  11. Operators of Credit Card Systems
  12. Industry Association
  13. Industry Consultant
  14. Industry Vendor
  15. Federal Regulatory Agency
  16. Federal Law Enforcement Agency
  17. State Regulatory Agency
  18. State Law Enforcement Agency
  19. Individual
  20. Other (specify)

If the respondent selects 15, 19, or 20, then also ask the respondent “Are you a FinCEN employee?” and if the respondent selects “yes” then end the survey. If the respondent selects “no” then proceed to Demo2.

Demo2. How do you obtain the SAR Activity Review products?

1. Through FinCEN’s website
2. Through my federal regulator’s website
3. Through an industry association website
4. Other (specify)

Demo 3. Which best describes how often you visit the FinCEN website (www.fincen.gov)?

1. Daily
2. Weekly
3. Monthly
4. Every six months or less
5. Never

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#### Usefulness – Trends, Tips & Issues

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TTI1. Have you read an issue of The SAR Activity Review – Trends, Tips & Issues?

1. Yes
2. No

(If “No” skip to BTN1 ‘The SAR Activity Review – By the Numbers’)

Please rate the usefulness of the following recurring sections in The SAR Activity Review – Trends, Tips & Issues, use a scale from “1” to “10,” where “1” means “not very useful” and “10” means “very useful.” If you are unfamiliar with a section please indicate N/A.

- TTI2. Trends and Analysis
- TTI3. Law Enforcement Cases
- TTI4. Issues & Guidance
- TTI5. Industry Forum

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#### Value of information – Trends Tips & Issues

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On a scale from “1” to “10,” where “1” is “poor” and “10” is “excellent,” please rate the value of the information in The SAR Activity Review – Trends, Tips & Issues on the following:

- TTI8. Helping you improve your BSA/Anti-money laundering program
- TTI9. Providing feedback on the use of Suspicious Activity Reports filed by your industry
- TTI10. Providing guidance on filing requirements

- TTI11. Again, using a scale from “1” to “10,” where “1” means “poor” and “10” means “excellent,” please rate the opportunity provided by this publication for you to suggest future topics.
- TTI12. On a scale from “1” to “10”, where “1” means “not very useful” and “10” means “very useful” please rate the usefulness of the industry specific version of the Trends, Tips & Issues publication released each May?
- TTI13. What would you change to improve Trends, Tips & Issues, including the May industry specific publication? (Open-ended)

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### Usefulness – By the Numbers

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BTN1. Have you read an issue of The SAR Activity Review – By the Numbers?

1. Yes
2. No

(If “No” skip to ACSI1 - ‘ACSI Benchmark Questions’)

Please rate the usefulness of the following recurring sections in The SAR Activity Review – By the Numbers, use a scale from “1” to “10,” where “1” means “not very useful” and “10” means “very useful.” If you are unfamiliar with a section please indicate N/A.

- BTN2. Filings by Year & Month
- BTN3. Filings by States & Territories
- BTN4. Number of Filings Ranked by States & Territories in Descending Order
- BTN5. Number of Filings by Characterization of Suspicious Activity
- BTN6. Violations by State & Territory by Year
- BTN7. Graphical representations of filings and violations

If DEMO1 = 1 Depository Institution ASK BTN8, BTN9

- BTN8. Filings by Primary Federal Regulator
- BTN9. Relationship of Suspect to Financial Institution

If DEMO1 = 2 Money Service Business ASK BTN10, BTN11

- BTN10. Filings by Type of Filer
- BTN11. Filings by Financial Services Involved

If DEMO1 = 3-6 Securities and Futures Broker/Dealer ASK BTN12, BTN13

- BTN12. Filings by Instrument Type
- BTN13. Filings by Type of Reporting Institution

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### Value of information – By the Numbers

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On a scale from “1” to “10,” where “1” is “poor” and “10” is “excellent,” please rate the value of the information in the SAR Activity Review – By the Numbers on the following:

- Info1            Usefulness in improving your BSA/Anti-money laundering compliance program
- Info2            Usefulness in allowing you to compare filing volumes across states and territories
- BTN14.            What would you change to improve By the Numbers? (Open-ended)

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### ACSI Benchmark Questions

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Now we are going to ask you to please consider your experiences with these publications with respect to the following:

- ACSI1.        First, please consider your experiences to date with FinCEN's publications, The SAR Activity Review – Trends, Tips & Issues and By the Numbers. Using a 10-point scale on which "1" means "Very dissatisfied" and "10" means "Very satisfied," how satisfied are you with these publications?
- ACSI2.        To what extent have these publications met your expectations? Please use a 10-point scale on which "1" now means "not met your expectations" and "10" means "Exceeds your expectations."
- ACSI3.        Forget about FinCEN for a moment. Now, imagine the ideal feedback, guidance and information publication. How well do you these two publications compare with that ideal? Please use a 10-point scale on which "1" means "Not very close to the ideal" and "10" means "Very close to the ideal."

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### Closing

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FinCEN would like to thank you for your time and participation today. Your feedback is greatly appreciated.