

32. Casinos

- a. Inquiry about end of business day
- b. Minimal gaming with large transactions
- c. Suspicious intra-casino funds transfers
- d. Suspicious use of counter checks or markers
- z. Other: _____

34. Identification / Documentation

- a. Changes spelling or arrangement of name
- b. Multiple individuals with same or similar identities
- c. Provided questionable or false documentation
- d. Refused or avoided request for documentation
- e. Single individual with multiple identities
- z. Other: _____

35. Other suspicious activities

- a. Account takeover
- b. Bribery or gratuity
- c. Counterfeit instruments
- d. Elder financial exploitation
- e. Embezzlement/theft/disappearance of funds
- f. Forgeries
- g. Identity theft
- h. Little or no concern for product performance penalties, fees, or tax consequences
- i. Misuse of "free look"/cooling-off/right of rescission
- j. Misuse of position or self-dealing
- k. Suspected public/private corruption (domestic)
- l. Suspected public/private corruption (foreign)
- m. Suspicious use of informal value transfer system
- n. Suspicious use of multiple transaction locations
- o. Transaction with no apparent economic, business, or lawful purpose
- p. Two or more individuals working together
- q. Unauthorized electronic intrusion
- r. Unlicensed or unregistered MSB
- z. Other _____

33. Money laundering

- a. Exchanges small bills for large bills or vice versa
- b. Suspicion concerning the physical condition of funds
- c. Suspicion concerning the source of funds
- d. Suspicious designation of beneficiaries, assignees or joint owners
- e. Suspicious EFT/wire transfers
- f. Suspicious exchange of currencies
- g. Suspicious receipt of government payments/benefits
- h. Suspicious use of multiple accounts
- i. Suspicious use of noncash monetary instruments
- j. Suspicious use of third-party transactors (straw-man)
- k. Trade Based Money Laundering/Black Market Peso Exchange
- l. Transaction out of pattern for customer(s)
- z. Other _____

36. Insurance

- a. Excessive insurance
- b. Excessive or unusual cash borrowing against policy/annuity
- c. Proceeds sent to or received from unrelated third party
- d. Suspicious life settlement sales insurance (e.g., STOLI's, Viaticals)
- e. Suspicious termination of policy or contract
- f. Unclear or no insurable interest
- z. Other: _____

37. Securities/Futures/Options

- a. Insider trading
- b. Market manipulation/wash trading
- c. Misappropriation
- d. Unauthorized pooling
- z. Other: _____

38. Mortgage Fraud

- a. Appraisal fraud
- b. Foreclosure fraud
- c. Loan Modification fraud
- d. Reverse mortgage fraud
- z. Other _____

39 Were any of the following product type(s) involved in the suspicious activity? (Check all that apply)

- | | | | |
|---|--|--|---|
| a. <input type="checkbox"/> Bonds/Notes | g. <input type="checkbox"/> Futures/Options on futures | m. <input type="checkbox"/> Options on securities | s. <input type="checkbox"/> Swap, hybrid, or other derivative |
| b. <input type="checkbox"/> Commercial mortgage | h. <input type="checkbox"/> Hedge fund | n. <input type="checkbox"/> Penny stocks/Microcap securities | z. <input type="checkbox"/> Other (List below) |
| c. <input type="checkbox"/> Commercial paper | i. <input type="checkbox"/> Home equity loan | o. <input type="checkbox"/> Prepaid access | |
| d. <input type="checkbox"/> Credit card | j. <input type="checkbox"/> Home equity line of credit | p. <input type="checkbox"/> Residential mortgage | |
| e. <input type="checkbox"/> Debit card | k. <input type="checkbox"/> Insurance/Annuity products | q. <input type="checkbox"/> Security futures products | |
| f. <input type="checkbox"/> Forex transactions | l. <input type="checkbox"/> Mutual fund | r. <input type="checkbox"/> Stocks | |

40 Were any of the following instrument type(s)/payment mechanism(s) involved in the suspicious activity? (Check all that apply)

- | | | | |
|--|--|---|--|
| a. <input type="checkbox"/> Bank/Cashier's check | d. <input type="checkbox"/> Gaming instruments | g. <input type="checkbox"/> Personal/Business check | z. <input type="checkbox"/> Other (List below) |
| b. <input type="checkbox"/> Foreign currency | e. <input type="checkbox"/> Government payment | h. <input type="checkbox"/> Travelers checks | |
| c. <input type="checkbox"/> Funds transfer | f. <input type="checkbox"/> Money orders | i. <input type="checkbox"/> U.S. Currency | |

41 Commodity type (If applicable)	42 Product/Instrument description (If needed)	43 Market where traded (Three to five letter code)	
44 IP address (If available)	45 CUSIP® number	46 CUSIP® number	

Part III Information about Financial Institution Where Activity Occurred (See instructions)

*47 Type of financial Institution (check only one) a <input type="checkbox"/> Casino/Card Club b <input type="checkbox"/> Depository institution c <input type="checkbox"/> Insurance company			*48 Primary Federal regulator		
d <input type="checkbox"/> MSB e <input type="checkbox"/> Securities/Futures z <input type="checkbox"/> Other _____					
49 If item 47a is checked indicate type (Check only one)					
a <input type="checkbox"/> State licensed casino b <input type="checkbox"/> Tribal authorized casino c <input type="checkbox"/> Card club z <input type="checkbox"/> Other(specify) _____					
50 If item 47e is checked, indicate type of Securities and Futures institution or ind. where activity occurred - Check box(es) that apply to this report.					
a <input type="checkbox"/> Clearing broker-securities		d <input type="checkbox"/> Introducing broker-commodities		g <input type="checkbox"/> Investment company	
b <input type="checkbox"/> Futures Commission Merchant		e <input type="checkbox"/> Introducing broker-securities		h <input type="checkbox"/> Retail foreign exchange dealer	
c <input type="checkbox"/> Holding company		f <input type="checkbox"/> Investment Adviser		i <input type="checkbox"/> Subsidiary of financial/bank holding company	
z <input type="checkbox"/> Other _____					
51 Financial institution identification number (Check one box to indicate type)					
a <input type="checkbox"/> CRD number b <input type="checkbox"/> IARD number c <input type="checkbox"/> NFA number d <input type="checkbox"/> RSSD number e <input type="checkbox"/> SEC number			f		
52 Financial institution's role in transaction (if applicable) a <input type="checkbox"/> Selling location b <input type="checkbox"/> Paying location c <input type="checkbox"/> Both a & b					
*53 Legal name of financial institution			54 Alternate name, e.g., AKA - individual or trade name, DBA - entity		
*55 TIN a. Unk <input type="checkbox"/>			56 TIN type a <input type="checkbox"/> EIN (If 55 is known) b <input type="checkbox"/> SSN-ITIN c <input type="checkbox"/> Foreign		
*57 Address a. Unk <input type="checkbox"/>		*58 City a. Unk <input type="checkbox"/>		59 State	*60 ZIP/Postal Code a. Unk <input type="checkbox"/>
*61 Country (2-letter code) a. Unk <input type="checkbox"/>	62 Internal control/file number		63 Loss to financial institution (If applicable) \$.00		
64 Branch's role in transaction (if applicable) a <input type="checkbox"/> Selling location b <input type="checkbox"/> Paying location c <input type="checkbox"/> Both a & b					
*65 Address of branch or office where activity occurred <u>If no branch activity involved, check this box</u> a <input type="checkbox"/>					66 RSSD number
67 City		68 State	69 ZIP/Postal Code		70 Country (2-letter code)
71 Branch's role in transaction (if applicable) a <input type="checkbox"/> Selling location b <input type="checkbox"/> Paying location c <input type="checkbox"/> Both a & b					
72 Address of branch or office where activity occurred (If applicable) a <input type="checkbox"/> Check if additional branch addresses are listed in Part V					73 RSSD number
74 City		75 State	76 ZIP/Postal Code		77 Country (2-letter code)

Part IV Filing Institution Contact Information

*79 Filer name (Holding Co., lead fin. inst., or agency, if applicable).			*80 TIN			*78 Primary Federal regulator			
						*81 TIN type a <input type="checkbox"/> EIN b <input type="checkbox"/> SSN/ITIN c <input type="checkbox"/> Foreign			
*82 Type of financial Institution (check only one) a <input type="checkbox"/> Casino/Card Club b <input type="checkbox"/> Depository institution c <input type="checkbox"/> Insurance company			d <input type="checkbox"/> MSB e <input type="checkbox"/> Securities/Futures z <input type="checkbox"/> Other _____						
83 Type of Securities and Futures institution or individual filing this report - Check box(es) for functions that apply to this report									
a <input type="checkbox"/> Clearing broker-securities			f <input type="checkbox"/> Introducing broker-securities			j <input type="checkbox"/> SRO Futures			
b <input type="checkbox"/> CPO/CTA			g <input type="checkbox"/> Investment Adviser			k <input type="checkbox"/> SRO Securities			
c <input type="checkbox"/> Futures Commission Merchant			h <input type="checkbox"/> Investment company			l <input type="checkbox"/> Subsidiary of financial/bank holding company			
d <input type="checkbox"/> Holding company			i <input type="checkbox"/> Retail foreign exchange dealer			z <input type="checkbox"/> Other _____			
e <input type="checkbox"/> Introducing broker-commodities									
84 Financial institution identification number (Check one box to indicate type)									
a <input type="checkbox"/> CRD number b <input type="checkbox"/> IARD number c <input type="checkbox"/> NFA number d <input type="checkbox"/> RSSD number e <input type="checkbox"/> SEC number						f			
*85 Address			*86 City			87 State	*88 ZIP/Postal Code		
*89 Country (2-letter code)	90 Alternate name, e.g., AKA - individual or trade name, DBA - entity					91 Internal control/file number			
92 LE contact agency		93 LE contact name			94 LE contact phone number (Include Area Code)			94a Ext. (if any)	
95 LE contact date ____ / ____ / ____ MM DD YYYY									
*96 Designated contact office			*97 Designated phone number (Include Area Code)			97a Ext. (if any)	*98 Date filed (See inst.) ____ / ____ / ____ MM DD YYYY		