

Suspicious Activity Report

Home

Step 1. Filing Institution
Contact Information

Step 2. Financial Institution
Where Activity Occurred

Step 3. Subject
Information

Step 4. Suspicious
Activity Information

Step 5. Narrative



Suspicious Activity Report

Version Number: 1.2

OMB No. 1506-0065 (Report)

OMB No. 1506-0001, 1506-0006, 1506-0015, 1506-0019, 1506-0029, and 1506-0061 (Regulations)

Steps to Submit

1. Complete the report in its entirety with all requested or required data known to the filer.
2. Click "Validate" to ensure proper formatting and that all required fields are completed.
3. Sign with PIN.
4. Click "Save"; filers may also "Print" a paper copy for their records.
5. Click "Submit".

Filing name

*1 Type of filing

(Check all that apply)

Initial report

Correct/Amend prior report

Continuing activity report

Joint report

Prior report Document Control
Number/BSA Identifier

2 Filing Institution Note to FinCEN

Attachment

Add Attachment

Delete Attachment

View/Save Attachment

Save

Validate

Submit

Print

By providing my PIN, I acknowledge that I am electronically signing the BSA report submitted.

Sign with PIN

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Part IV Filing Institution Contact Information

*79 Type of financial institution

*75 Primary federal regulator

*76 Filer name (Holding company, lead financial institution, or agency, if applicable)

*77 TIN *78 TIN type

80 Type of Securities and Futures institution or individual filing this report - check box(es) for functions that apply to this report

<input type="checkbox"/> Clearing broker-securities	<input type="checkbox"/> Introducing broker-securities	<input type="checkbox"/> SRO Securities
<input type="checkbox"/> CPO/CTA	<input type="checkbox"/> Investment adviser	<input type="checkbox"/> Subsidiary of financial/bank holding company
<input type="checkbox"/> Execution-only broker securities	<input type="checkbox"/> Investment company	<input type="checkbox"/> Other (specify below)
<input type="checkbox"/> Futures commission merchant	<input type="checkbox"/> Retail foreign exchange dealer	<input type="text"/>
<input type="checkbox"/> Holding company	<input type="checkbox"/> Self-clearing broker securities	
<input type="checkbox"/> Introducing broker-commodities	<input type="checkbox"/> SRO Futures	

81 Financial institution identification Type
Number

*82 Address

*83 City

*84 State *85 ZIP/Postal Code *86 Country

87 Alternate name, e.g., AKA - individual or trade name, DBA - entity

88 Internal control/file number

89 LE contact agency

90 LE contact name

91 LE contact phone number (Include Area Code) Ext.

92 LE contact date

*93 Designated contact office

*94 Designated contact phone number (Include Area Code) Ext.

95 Date filed (Date filed will be auto-populated when the form is signed.)

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Part III Information about Financial Institution Where Activity Occurred 1 of 1



Would you like to insert all applicable filing institution information into Part III?

Yes

*51 Type of financial institution

*52 Primary federal regulator

53 Type of gaming institution

State licensed casino Tribal authorized casino Card club Other (specify)

54 Type of Securities and Futures institution or individual where activity occurred - check box(es) that apply to this report

<input type="checkbox"/> Clearing broker-securities	<input type="checkbox"/> Introducing broker-securities	<input type="checkbox"/> Subsidiary of financial/bank holding company
<input type="checkbox"/> Execution-only broker securities	<input type="checkbox"/> Investment adviser	<input type="checkbox"/> Other (specify below)
<input type="checkbox"/> Futures commission merchant	<input type="checkbox"/> Investment company	<input type="text"/>
<input type="checkbox"/> Holding company	<input type="checkbox"/> Retail foreign exchange dealer	
<input type="checkbox"/> Introducing broker-commodities	<input type="checkbox"/> Self-clearing broker-securities	

55 Financial institution identification

Type

Number

56 Financial institution's role in transaction Selling location Paying location Both

*57 Legal name of financial institution Unknown

58 Alternate Name, e.g., AKA - individual or trade name, DBA - entity

*59 TIN Unknown 60 TIN type

*61 Address Unknown

*62 City Unknown

63 State

*64 ZIP/Postal Code Unknown

*65 Country Unknown

66 Internal control/file number

67 Loss to financial institution \$ _____ .00

Branch where activity occurred information

If no branch activity involved, check this box

Branch Information



68 Branch's role in transaction Selling location Paying location Both

69 Address of branch or office where activity occurred

71 City 70 RSSD Number

72 State 73 ZIP/Postal Code *74 Country

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Part I Subject Information 1 of 1

+ -

3 Check: if entity, if all critical* subject information is unavailable (Does not include item 24)

*4 Individual's last name or entity's legal name Unknown

*5 First name Unknown

6 Middle name

7 Suffix

8 Gender

*19 Date of birth Unknown

9 Alternate name, e.g., AKA - individual or trade name, DBA - entity

+ -

10 Occupation or type of business

10a NAICS Code

*16 TIN Unknown 17 TIN type

21 Phone number Ext. 20 Type

22 E-mail address

22a Website (URL) address

23 Corroborative statement to filer?

28 Subject's role in suspicious activity

Subject Address Information

*11 Address Unknown + -

*12 City Unknown

*13 State Unknown *14 ZIP/Postal Code Unknown

*15 Country Code Unknown

*18 Form of identification for subject Unknown

Type + -

Number Issuing State Country

24 Relationship of the subject to an institution listed in Part III or IV (check all that apply)

a Institution TIN + -

b Accountant e Attorney h Director k Officer

c Agent f Borrower i Employee l Owner or Controlling Shareholder

d Appraiser g Customer j No relationship to institution z Other

25 Status of relationship 26 Action date

*27 Financial institution TIN and account number(s) affected that are related to subject No known accounts involved

Institution TIN Non-US Financial Institution + -

+ - account number Closed? Yes

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Part II Suspicious Activity Information

*29 Amount involved in this report Amount Unknown No amount involved \$ _____ .00

*30 Date or date range of suspicious activity for this report From _____ To _____

31 Cumulative amount (only applicable when "Continuing activity report" is checked in Item 1) \$ _____ .00

When completing item 32 through 42, check all that apply

32 Structuring

- | | |
|---|---|
| a <input type="checkbox"/> Alters or cancels transaction to avoid BSA recordkeeping requirement | e <input type="checkbox"/> Transaction(s) below CTR threshold |
| b <input type="checkbox"/> Alters or cancels transaction to avoid CTR requirement | z <input type="checkbox"/> Other <input style="width: 200px;" type="text"/> |
| c <input type="checkbox"/> Suspicious inquiry by customer regarding BSA reporting or recordkeeping requirements | |
| d <input type="checkbox"/> Transaction(s) below BSA recordkeeping threshold | |

33 Terrorist financing

- | | |
|--|---|
| a <input type="checkbox"/> Known or suspected terrorist/terrorist organization | z <input type="checkbox"/> Other <input style="width: 200px;" type="text"/> |
|--|---|

34 Fraud

- | | | | | |
|--|--|--|---|--|
| a <input type="checkbox"/> ACH | d <input type="checkbox"/> Check | g <input type="checkbox"/> Healthcare/Public or private health insurance | j <input type="checkbox"/> Ponzi scheme | m <input type="checkbox"/> Wire |
| b <input type="checkbox"/> Advance fee | e <input type="checkbox"/> Consumer loan | h <input type="checkbox"/> Mail | k <input type="checkbox"/> Pyramid scheme | z <input type="checkbox"/> Other |
| c <input type="checkbox"/> Business loan | f <input type="checkbox"/> Credit/Debit card | i <input type="checkbox"/> Mass-marketing | l <input type="checkbox"/> Securities fraud | <input style="width: 100px;" type="text"/> |

35 Gaming activities

- | | |
|--|---|
| a <input type="checkbox"/> Chip walking | d <input type="checkbox"/> Unknown source of chips |
| b <input type="checkbox"/> Minimal gaming with large transactions | z <input type="checkbox"/> Other <input style="width: 200px;" type="text"/> |
| c <input type="checkbox"/> Suspicious use of counter checks or markers | |

36 Money Laundering

- | | |
|---|--|
| a <input type="checkbox"/> Exchange small bills for large bills or vice versa | h <input type="checkbox"/> Suspicious receipt of government payments/benefits |
| b <input type="checkbox"/> Funnel account | i <input type="checkbox"/> Suspicious use of multiple accounts |
| c <input type="checkbox"/> Suspicion concerning the physical condition of funds | j <input type="checkbox"/> Suspicious use of noncash monetary instruments |
| d <input type="checkbox"/> Suspicion concerning the source of funds | k <input type="checkbox"/> Suspicious use of third-party transactors (straw-man) |
| e <input type="checkbox"/> Suspicious designation of beneficiaries, assignees or joint owners | l <input type="checkbox"/> Trade Based Money Laundering/Black Market Peso Exchange |
| f <input type="checkbox"/> Suspicious EFT/wire transfers | m <input type="checkbox"/> Transaction out of pattern for customer(s) |
| g <input type="checkbox"/> Suspicious exchange of currencies | z <input type="checkbox"/> Other <input style="width: 200px;" type="text"/> |

37 Identification/Documentation

- | | |
|---|---|
| a <input type="checkbox"/> Changes spelling or arrangement of name | e <input type="checkbox"/> Refused or avoided request for documentation |
| b <input type="checkbox"/> Multiple individuals with same or similar identities | f <input type="checkbox"/> Single individual with multiple identities |
| c <input type="checkbox"/> Provided questionable or false documentation | z <input type="checkbox"/> Other <input style="width: 200px;" type="text"/> |
| d <input type="checkbox"/> Provided questionable or false identification | |

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38 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 Human smuggling
- h Human trafficking
- i Identity theft
- j Little or no concern for product performance penalties, fees, or tax consequences

- k Misuse of position or self-dealing
- l Suspected public/private corruption (domestic)
- m Suspected public/private corruption (foreign)
- n Suspicious use of informal value transfer system
- o Suspicious use of multiple transaction locations
- p Transaction with no apparent economic, business, or lawful purpose
- q Transaction(s) involving foreign high risk jurisdiction
- r Two or more individuals working together
- s Unlicensed or unregistered MSB
- z Other

39 Insurance

[Enable this block](#)

- 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

40 Securities/Futures/Options

[Enable this block](#)

- a Insider trading
- b Market manipulation
- c Misappropriation

- d Unauthorized pooling
- e Wash Trading
- z Other

41 Mortgage Fraud

- a Application fraud
- b Appraisal fraud
- c Foreclosure/Short sale fraud

- d Loan modification fraud
- e Origination fraud
- z Other

42 Cyber event

- a Against Financial Institution(s)
- b Against Financial Institution Customer(s)

- z Other

43 IP address (if available)

+ -

Date

Time Stamp (UTC)

44 Cyber Event Indicators

a Command and Control IP address

+ -

Date

Time Stamp (UTC)

b Command and Control URL/Domain

+ -

c Malware MD5, Malware SHA-1, or Malware SHA-256

+ -

d Media Access Control (MAC) Address

+ -

e Port

+ -

f Suspicious e-mail address

+ -

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g Suspicious filename

+ -

h Suspicious IP Address

+ -

Date

YYYYMMDD

Time Stamp (UTC)

HH:MM:SS

i Suspicious URL/Domain

+ -

j Targeted system

+ -

z Other

+ -

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

a Bonds/Notes

h Futures/Options on futures

o Options on securities

b Commercial mortgage

i Hedge fund

p Prepaid access

c Commercial paper

j Home equity line of credit

q Residential mortgage

d Credit card

k Home equity loan

r Security futures products

e Debit card

l Insurance/Annuity products

s Stocks

f Deposit account

m Microcap securities

t Swap, hybrid, or other derivatives

g Forex transactions

n Mutual fund

z Other

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

a Bank/cashier's check

d Gaming instruments

g Personal/Business check

z Other (List below)

b Foreign currency

e Government payment

h Travelers checks

c Funds transfer

f Money orders

i U.S. Currency

47 Commodity type (if applicable)

+ -

48 Product/Instrument description (if needed)

+ -

49 Market value traded *i*

+ -

50 CUSIP number

+ -

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Part V Suspicious Activity Information - Narrative*

[See instructions](#)