

# 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  Alters or cancels transaction to avoid BSA recordkeeping requirement
- b  Alters or cancels transaction to avoid CTR requirement
- c  Suspicious inquiry by customer regarding BSA reporting or recordkeeping requirements
- d  Transaction(s) below BSA recordkeeping threshold
- e  Transaction(s) below CTR threshold
- z  Other

### 33 Terrorist financing

- a  Known or suspected terrorist/terrorist organization
- z  Other

### 34 Fraud

- a  ACH
- b  Advance fee
- c  Business loan
- d  Check
- e  Consumer loan
- f  Credit/Debit card
- g  Healthcare/Public or private health insurance
- h  Mail
- i  Mass-marketing
- j  Ponzi scheme
- k  Pyramid scheme
- l  Securities fraud
- m  Wire
- z  Other

### 35 Gaming activities

- a  Chip walking
- b  Minimal gaming with large transactions
- c  Suspicious use of counter checks or markers
- d  Unknown source of chips
- z  Other

### 36 Money Laundering

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

### 37 Identification/Documentation

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

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## 38 Other Suspicious Activities

- |  |   |
|--|---|
| a <input type="checkbox"/> Account takeover  | k <input type="checkbox"/> Misuse of position or self-dealing                                 |
| b <input type="checkbox"/> Bribery or gratuity   | l <input type="checkbox"/> Suspected public/private corruption (domestic)                     |
| c <input type="checkbox"/> Counterfeit instruments   | m <input type="checkbox"/> Suspected public/private corruption (foreign)                      |
| d <input type="checkbox"/> Elder financial exploitation  | n <input type="checkbox"/> Suspicious use of informal value transfer system                   |
| e <input type="checkbox"/> Embezzlement/theft/disappearance of funds   | o <input type="checkbox"/> Suspicious use of multiple transaction locations                   |
| f <input type="checkbox"/> Forgeries   | p <input type="checkbox"/> Transaction with no apparent economic, business, or lawful purpose |
| g <input type="checkbox"/> Human smuggling   | q <input type="checkbox"/> Transaction(s) involving foreign high risk jurisdiction            |
| h <input type="checkbox"/> Human trafficking   | r <input type="checkbox"/> Two or more individuals working together                           |
| i <input type="checkbox"/> Identity theft  | s <input type="checkbox"/> Unlicensed or unregistered MSB                                     |
| j <input type="checkbox"/> Little or no concern for product performance penalties, fees, or tax consequences | z <input type="checkbox"/> Other <input type="text"/>   |

## 39 Insurance

[Enable this block](#)

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

## 40 Securities/Futures/Options

[Enable this block](#)

- |  |   |
|--|---|
| a <input type="checkbox"/> Insider trading     | d <input type="checkbox"/> Unauthorized pooling       |
| b <input type="checkbox"/> Market manipulation | e <input type="checkbox"/> Wash Trading               |
| c <input type="checkbox"/> Misappropriation    | z <input type="checkbox"/> Other <input type="text"/> |

## 41 Mortgage Fraud

- |   |   |
|---|---|
| a <input type="checkbox"/> Application fraud            | d <input type="checkbox"/> Loan modification fraud    |
| b <input type="checkbox"/> Appraisal fraud              | e <input type="checkbox"/> Origination fraud          |
| c <input type="checkbox"/> Foreclosure/Short sale fraud | z <input type="checkbox"/> Other <input type="text"/> |

## 42 Cyber event

- |  |   |
|--|---|
| a <input type="checkbox"/> Against Financial Institution(s)          | z <input type="checkbox"/> Other <input type="text"/> |
| b <input type="checkbox"/> Against Financial Institution Customer(s) |   |

## 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](#)