

## **Suspicious Activity Report**

OMB No. 1506-0065

Version Number: 1.1

#### 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	Initial report	Correct/Amend prior report
(Check all that apply)	Continuing activity report	☐ Joint report
Prior report Document Control Number/BSA Identifier		
Attachment		

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

Sign with PIN

### **Part IV Filing Institution Contact Information**

*82 Type of financial institution				
*78 Primary federal regulator				
*79 Filer name (Holding company, lead financial institution, or agency, if applicable)	$\bigcirc$			
*80 TIN				
83 Type of Securities and Futures institution or individual filing this report - check box(es) for functions that apply to this report    Clearing broker-securities   Introducing broker-securities   SRO Securities   SRO Securit				
84 Financial institution identification Type				
Number				
*85 Address				
*86 City				
*87 State				
90 Alternate name, e.g., AKA - individual or trade name, DBA - entity	$\sum$			
91 Internal control/file number				
92 LE contact agency				
93 LE contact name				
94 LE contact phone number (Include Area Code)				
95 LE contact date				
*96 Filing institution contact office				
*97 Filing institution contact phone number (Include Area Code)				
98 Date filed (Date filed will be auto-populated when the form is signed.)				

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

*47 Type of financial ins	stitution			
*48 Primary federal regu	ulator			
49 Type of gaming inst				
☐ State	e licensed casino 🏻 Tribal authorized casino 🔻 Card club	O Other (specify)		
50 Type of Securities an institution or individu activity occurred - ch that apply to this rep	ual where heck box(es) Futures Commission Merchant Investment Holding company Investmen	g broker-securities Subsidiary of financial/bank holding company  It Adviser Other   It company  It company		
51 Financial institution	identification Type			
	Number			
52 Financial institution's role in transaction Selling location Paying location Both				
*53 Legal name of finan	ncial institution Unknown			
54 Alternate Name, e.g	g., AKA - individual or trade name, DBA - entity			
*55 TIN	Unknown	56 TIN type		
*57 Address	Unknown			
*58 City	Unknown			
59 State				
	Unknown			
*60 ZIP/Postal Code				
*61 Country	Unknown			
62 Internal control/file n	number			
63 Loss to financial inst	titution \$00			
Branch where activity	ty occurred information If no branch activity in	volved, check this box		
Branch Information				
64 Branch's role in trans	saction Selling location Paying location	Both 🔽		
65 Address of branch or	r office where activity occurred			
67 City	66	RSSD Number		
68 State	69 ZIP/Postal Code *70	) Country		

#### Part I Subject Information of 1 2 Check: if entity, if all critical\* subject information is unavailable (Does not include item 24) \*3 Individual's last name Unknown or entity's legal name \*4 First name Unknown 5 Middle name/initial Suffix Gender \*16 Date of birth Unknown 6 Alternate name, e.g., AKA - individual or trade name, DBA - entity 7 Occupation or type of business 7a NAICS Code \*13 TIN Unknown 14 TIN type 18 Phone number Ext. 17 Type 19 E-mail address 19a Website (URL) address 25 Subject's role in suspicious activity 20 Corroborative statement to filer? **Subject Address Information** Unknown \*8 Address Unknown \*9 City Unknown \*10 State \*11 ZIP/Postal Code Unknown Unknown \*12 Country \*15 Form of identification for subject Unknown Type Number Issuing State Country 21 Relationship of the subject to an institution listed in Part III or IV (check all that apply) Institution TIN Officer Accountant h Director e Attorney ☐ Employee Owner or Controlling Shareholder ☐ Agent Borrower Other d Appraiser No relationship to institution g Customer 22 Status of relationship 23 Action date \*24 Financial institution TIN and account number(s) affected that are related to subject No known accounts involved Institution TIN Non-US Financial Institution Closed? Yes □ account number

### **Part II Suspicious Activity Information**

*26 Amount involved in this report Amount Unknown No at	mount involved \$00					
*27 Date or date range of suspicious activity for this report From To						
28 Cumulative amount (only applicable when "Continuing activity report" is checked in Item 1) \$ .00						
When completing item 29 through 38, check all that apply						
29 Structuring						
a Alters transaction to avoid BSA recordkeeping requirement e Multiple transactions below CTR threshold						
b Alters transaction to avoid CTR requirement	Suspicious inquiry by customer regarding BSA reporting or					
c Customer cancels transaction to avoid BSA reporting and recordkeeping requirements	recordkeeping requirements					
d Multiple transactions below BSA recordkeeping threshold	Z Other					
30 Terrorist Financing						
a Known or suspected terrorist/terrorist organization	z Other					
31 Fraud (Type)						
a ACH d Consumer loan g Mail	j Wire					
b Business Ioan e Credit/Debit card h Mass-mark	keting z Other					
c Check f Healthcare i Pyramid so	cheme					
32 Casinos						
a Inquiry about end of business day	d Suspicious use of counter checks or markers					
b Minimal gaming with large transactions	z Other					
c Suspicious intra-casino funds transfers						
33 Money Laundering						
a Exchange small bills for large bills or vice versa	g Suspicious receipt of government payments/benefits					
b Suspicion concerning the physical condition of funds	h Suspicious use of multiple accounts					
C Suspicion concerning the source of funds	¡ Suspicious use of noncash monetary instruments					
d Suspicious designation of beneficiaries, assignees or	j Suspicious use of third-party transactors (straw-man)					
ioint owners     e	k Trade Based Money Laundering/Black Market Peso Exchange					
f Suspicious exchange of currencies	Transaction out of pattern for customer(s)					
	z Other					
34 Identification/Documentation						
a Changes spelling or arrangement of name	d Refused or avoided request for documentation					
b Multiple individuals with same or similar identities	e Single individual with multiple identities					
c Provided questionable or false documentation	z Other					
35 Other Suspicious Activities						
a Account takeover	k Suspected public/private corruption (domestic)					
b Bribery or gratuity	Suspected public/private corruption (foreign)					
c Counterfeit instruments	m Suspicious use of informal value transfer system					
d Elder financial exploitation	n Suspicious use of multiple transaction locations					
e Embezzlement/theft/disappearance of funds	Transaction with no apparent economic, business, or					
f Forgeries	□ lawful purpose  p □ Two or more individuals working together					
g 🔲 Identity theft	p					
h Little or no concern for product performance penalties, fees, or tax consequences	r Unlicensed or unregistered MSB					
i Misuse of "free look"/cooling-off/right of rescission	z Other					
j Misuse of position or self-dealing						

36 Insurance				
a Excessive insurance	e Suspicious termination of policy or contract			
b Excessive or unusual cash borrowing against policy/annuity	f Unclear or no insurable interest			
c Proceeds sent to or received from unrelated third party	z Other			
d Suspicious life settlement sales insurance (e.g.,STOLI's, Viatica	nls)			
37 Securities/Futures/Options				
a Insider trading	d Unauthorized pooling			
b Market manipulation/wash trading	z Other			
c Misappropriation				
38 Mortgage Fraud				
a 🔲 Appraisal fraud	d Reverse mortgage fraud			
b Foreclosure fraud	z Other			
c Loan Modification fraud				
39 Were any of the following product type(s) involved in the suspicious ac	ctivity? (Check all that apply)			
a Bonds/Notes g Futures/Options on futures	m Options on securities Swap, hybrid, or			
b Commercial mortgage h Hedge fund	n Penny stocks/Microcap securities other derivatives			
c Commercial paper i Home equity loan	o Prepaid access z Other (List below)			
d Credit card j Home equity line of credit	p Residential mortgage			
e Debit card k Insurance/Annuity products	q Security futures products			
f Forex transactions   Mutual fund	r Stocks			
40 Were any of the following instrument type(s)/payment mechanism(s) in	volved 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			
41 Commodity type (If applicable)				
42 Product/Instrument description (If needed)				
43 Market where traded (i)				
44 IP address (If available)				
45 QUQIPE				
45 CUSIP® number				

WARNII	WARNING: PRINTED VERSIONS OF THE BSA E-FILING FORMS ARE NOT FOR SUBMISSION AND WILL NOT BE PROCESSED by FinCEN.		
Part V	Suspicious Activity Information -	- Narrative*	