

The Benefits of BSA E-Filing





Agenda

- BSA E-Filing Overview
- Benefits of BSA E-Filing
- BSA E-Filing: The Right Choice for You
- Brief Tutorial
 - Enrolling and Using the BSA E-Filing System



BSA E-Filing Overview

What is BSA E-Filing?

- **A secure**, web-based electronic filing system that provides the capability for financial institutions to submit Bank Secrecy Act reports
- **A flexible solution** for your institution, whether you file one BSA report or thousands
- **An accessible service** that filers can use their existing Internet connections to access
- **A proven system** available since October 2002



BSA E-Filing Overview

Who uses BSA E-Filing?

- More than 10,000 active users representing approximately 8,000 financial institutions of all sizes and from a variety of industries
- Average of approximately 1.1 Million reports submitted per month
 - Over 63 million reports have been filed electronically since October 2002
- 83% of all BSA data is now filed electronically



BSA E-Filing Overview

What BSA reports can you file using BSA E-Filing?

- CTR (Currency Transaction Report)
- CTR-C (Currency Transaction Report by Casinos)
- DEP (Designation of Exempt Person)
- SAR (Suspicious Activity Report by Depository Institutions)
- SAR-C (Suspicious Activity Report by Casinos and Card Clubs)
- SAR-MSB (Suspicious Activity Report by Money Services Businesses)
- SAR-SF (Suspicious Activity Report by the Securities and Futures Industries)
- More on the way.....



Benefits of BSA E-Filing

Why should financial institutions choose BSA E-Filing?

- Provided free to all filing institutions
- Streamlined BSA form submission process
- Faster routing of information to better protect the financial system from illicit actors and activities
- Greater data security and privacy compared with paper forms and traditional mail delivery
- Long-term cost savings to both financial organizations and the government
- Features not available to paper filers....



Benefits of BSA E-Filing

What features are only available through BSA E-Filing?

- Ability to obtain electronic notification of transmissions, receipt of submission, and errors, warnings, and alerts to improve filing quality
 - Batch validation—a vital quality check for your filings
 - CTR and SAR acknowledgements—a valuable auditing tool
 - **New**--Filer feedback reports—a helpful analytical report
- Ability to send and receive Secure Messages
- Use of Adobe Forms
 - Uses pre-populated Form Templates to reduce data entry
 - Ability to print paper copies can minimize change to existing internal review and approval processes
- Ability for your institution's Supervisory User to assign system roles
- Provision of helpful training materials to ease the transition



BSA E-Filing

The Right Choice for You

What is the right BSA E-Filing solution for you?

- **Discrete BSA Filing** (single report)
 - A solution for smaller institutions or those that only file small numbers of BSA reports
- **Batch BSA Filing**
 - A solution for medium-size or larger institutions or those that consistently file larger numbers of BSA reports
- **System-to-System Filing** (Secure Data Transfer Mode)
 - A batch filing solution for the largest filers



BSA E-Filing

The Right Choice for You

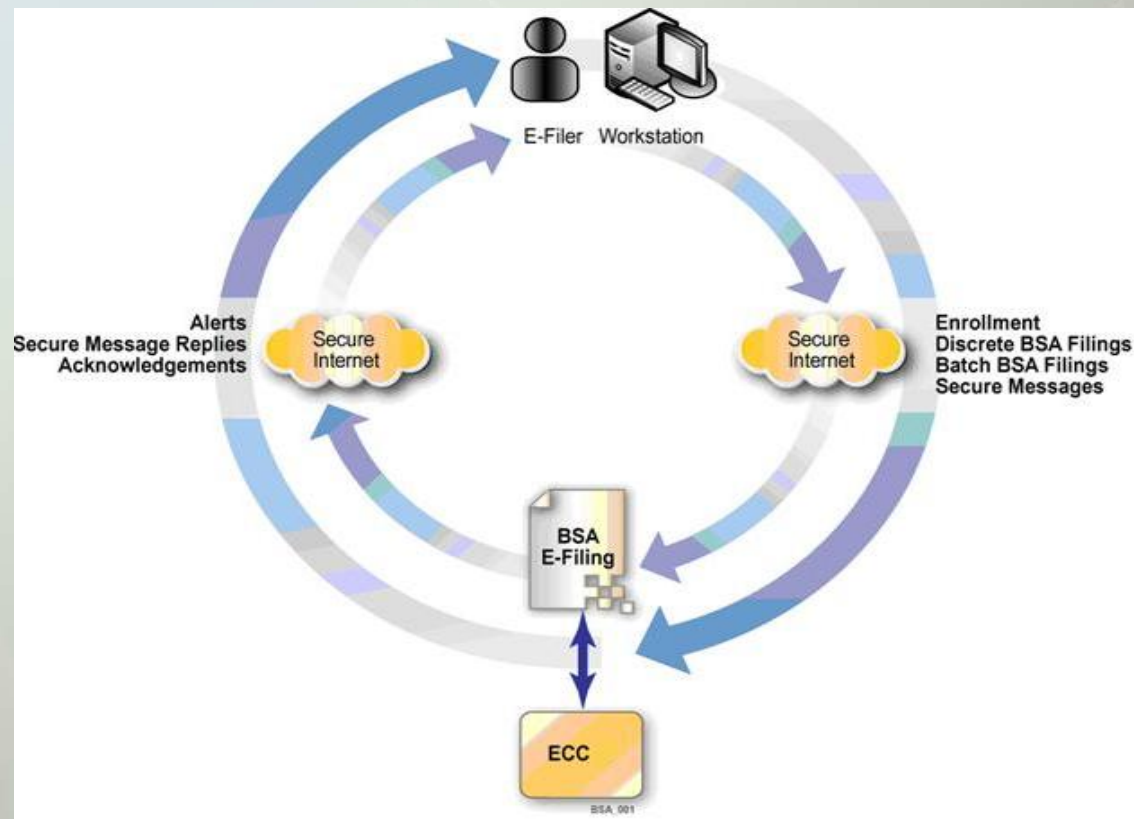
- Signing up is as easy as visiting FinCEN's BSA E-Filing Web site at <http://bsaefiling.fincen.treas.gov/>
 - Explore BSA E-Filing more by using FinCEN's "Take a Tour" feature on the Web site
 - See what else E-Filing can do for your institution at http://www.fincen.gov/whatsnew/pdf/E-File_Brochure.pdf

Enroll Today!

BRIEF TUTORIAL
ENROLLING AND USING THE
BSA E-FILING SYSTEM



System Architecture





Home Page



BSA E-FILING SYSTEM

FINANCIAL CRIMES ENFORCEMENT NETWORK

BSA Home

- Using BSA E-Filing ▾
- Take a Tour
- Become a BSA E-Filer ▾
- Frequently Asked Questions
- Help
- Site Map

E-Filing System Login

Welcome to the BSA E-Filing System

The BSA E-Filing System supports electronic filing of Bank Secrecy Act (BSA) forms (either individually or in batches) through a FinCEN secure network. BSA E-Filing provides a faster, more convenient, more secure, and more cost-effective method for submitting BSA forms. [Additional benefits](#) are listed under [Using BSA E-Filing](#).



How does BSA E-Filing work?

The BSA E-Filing System is hosted on a secure website accessible on the Internet. Organizations that file BSA forms with FinCEN can securely access the system after they apply for and receive a user ID and password from FinCEN.



Become a BSA E-Filer



Take a Quick Tour

Hot Topics

- [Feb 26, 2010 - Availability of SDTM Functionality to BSA E-Filing Subscribers](#)
- [Oct 1, 2009 - Important Reminder Notification BSA E-Filing Transition to Adobe Forms](#)
- [Aug 28, 2009 - SAR Acknowledgements and Validations Questions and Answers Guide](#)
- [Jun 1, 2009 - Important Reminder for BSA E-Filers on Batch Validation Implementation](#)

User Quick Links

Supervisory Users

- [Getting Started with BSA E-Filing](#)
- [Submitting the Supervisory User Application Form](#)
- [Obtaining Authorization as Supervisory User](#)

General Users

- [Downloading the Forms Viewer](#)

Batch Filers

- [BSA E-Filing System Batch File Testing Procedures](#)

Website Comments?

- [Let us know what you think](#)

U.S. Dept. of Treasury FinCEN.gov Privacy Policy



Become a Filer

Easy Four Step
Process To
Enroll !



BSA E-FILING SYSTEM

FINANCIAL CRIMES ENFORCEMENT NETWORK

BSA Home

- Using BSA E-Filing
- Take a Tour
- Become a BSA E-Filer**

1: Identify Point of Contact

2: Fill Out & Submit Application

3: Obtain Authorization

4: Download Forms Viewer

Frequently Asked Questions

Help

Site Map

E-Filing System Login

Become a BSA E-Filer

Complete the following four steps to enroll your organization in BSA E-Filing: ([Printable Version](#))

- 1 Identify Your Organization's Point of Contact**

This person will serve as a liaison between BSA E-Filing and the filing organization and will complete the process to enroll him/herself as well as the filing organization.
- 2 Fill Out and Submit the Supervisory User Application Form**

To obtain a user ID, the Supervisory User must fill out and submit the Supervisory User Application Form.
- 3 Obtain Authorization as Supervisory User**

Once FinCEN verifies the identity/designation of the Supervisory User, he/she will receive a user ID to access the E-Filing system.
- 4 Download the Forms Viewer**

The Forms Viewer allows preparation of CTR/SAR electronic forms, viewing of BSA E-Filing alerts, and transmittal of secure messages to FinCEN.

 This enrollment process is for use by individuals who have been designated as the initial BSA E-Filing Supervisory User for their filing organizations. All other users from the filing organization, including any backup Supervisory Users, will enroll via a distinctly different process only **after** the Supervisory User has successfully enrolled him/herself and the filing organization.

Topics

- Feb 26, 2010 - Availability of SDTM Functionality to BSA E-Filing Subscribers
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- Let us know what you think

U.S. Dept. of Treasury

FinCEN.gov

Privacy Policy



Next Steps

System
Guide After
First Login!

BSA E-Filing - Microsoft Internet Explorer provided by TCS

https://bsaeifiling1.fincen.treas.gov/BSALoginServlet

File Edit View Favorites Tools Help

BSA E-Filing

BSA E-FILING SYSTEM
FINANCIAL CRIMES ENFORCEMENT NETWORK

Logoff

BSA E-Filing Home

New to BSA E-Filing

- Next Steps for Using BSA E-Filing

Filing

- Track Status
- Obtain New PIN
- Track Organization Status
- File CTR
- File CTRC
- File DEP
- File SAR
- File SARC
- File SARMSB
- File SARSF
- File Batch CTR/DEP
- File Batch CTRC
- File Batch SAR
- File Batch SARC
- File Batch SARMSB
- File Batch SARSF

Documentation

- Frequently Asked Questions
- User Manual
- Quick Reference
- Computer Based Training
- Supervisory User Manual
- SDTM Requirements

Next Steps for Using BSA E-Filing

Welcome to BSA E-Filing!

Now that your organization's point of contact (Supervisory User) for BSA E-Filing has enrolled your organization, here are the next steps for using BSA E-Filing:

- [Step 1: Add Additional Users](#)
- [Step 2: Determine Your Filing Type](#)
- [Step 3: Test Your Batch File](#)
- [Step 4: Submit Your File](#)
- [Step 5: Verify Your File Was Submitted](#)
- [Step 6: Obtain and Understand Your File Acknowledgements](#)
- [Step 7: Correct and Amend Your File](#)
- [Step 8: Help](#)

Step1: Add Additional Users

Once the Supervisory User has determined who in the organization requires access to BSA E-Filing, he/she can enroll additional BSA E-Filing users for the organization. Detailed instructions are provided in the [Supervisory User Manual](#).

[Back to steps](#)

Step 2: Determine Your Filing Type

BSA E-Filing has two methods for submitting BSA reports - as a discrete submission (i.e., an individual form) or in batch (multiple forms in one submission). You can choose different methods for different forms, depending on your organization's requirements.

[Back to steps](#)

Local intranet 100%



Filing CTR Discrete

BSA E-FILING SYSTEM
FINANCIAL CRIMES ENFORCEMENT NETWORK

BSA E-Filing Home

New to BSA E-Filing

- Next Steps for Using BSA E-Filing

Filing

- Track Status
- Obtain New PIN
- Track Organization Status
- File CTR**
- File CTDC
- File DEP
- File SAR
- File SARC
- File SARMSB
- File SARSF
- File Batch CTR/DEP
- File Batch CTDC
- File Batch SAR
- File Batch SARC
- File Batch SARMSB
- File Batch SARSF

Documentation

- Frequently Asked Questions
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- Quick Reference
- Computer Based Training
- Supervisory User Manual

Welcome to the BSA E-Filing System

NEW BSA E-Filing News: [Feb 26, 2010 - Availability of SDTM Functionality to BSA E-Filing Subscribers](#)

NEW BSA E-Filing News: [Jan 28, 2010 - Information for BSA SAR Batch Filers](#)

NEW BSA E-Filing News: [Jan 26, 2010 - BSA E-Filing Form Updates and Website Enhancement Release](#)

NEW BSA E-Filing News: [Oct 1, 2009 - Important Reminder Notification BSA E-Filing Transition to Adobe Forms](#)

NEW BSA E-Filing News: [Aug 28, 2009 - SAR Acknowledgements and Validations Questions and Answers Guide](#)

[BSA E-Filers on Batch Validation Implementation](#)

Select File CTR To File Discrete CTR Form

In order to receive SAR acknowledgements your Supervisory User (SU) must enroll your Organization. To obtain information to enroll, please refer to the Supervisory User Manual which is located in the documentation section of the navigation column.

The BSA E-Filing User Test system can be accessed by clicking the following link: <http://sdmtut.fincen.treas.gov/main.html>

To obtain an account on the User Test system if you don't already have one, please click on the link provided and follow the steps to enroll: http://sdmtut.fincen.treas.gov/Enroll_Now.html

You are currently logged in as Donna Church.

The BSA E-Filing System allows you to file discrete and batched CTRs and SARs with FinCEN via a secure Internet connection. BSA E-Filing allows you to receive system alerts and advisories via BSA E-Filing and respond to them by sending secure messages to FinCEN.

To learn how the system works, download and review the BSA E-Filing User Manual, Quick Reference Guide, and/or Supervisory User Manual depending on your role, all three of which are available on the BSA E-Filing Documentation menu to the left. If you have questions that are not resolved by the BSA E-Filing documentation, contact the BSA E-Filing Help Desk at 1-888-827-2778 (option 6) or BSAEFilingHelp@notes.fcs.treas.gov. The Help Desk regular hours of operation are 8:00 am - 6:00 pm East Coast Time, Monday - Friday. Please note that the Help Desk is closed on Federal holidays.



Opening a New CTR Form

BSA E-Filing - Open a Form - Microsoft Internet Explorer provided by TCS

File Edit View Favorites Tools Help

Home Feeds (1) Print Page Tools Help Messenger Full Screen

Open an Existing Form

*Unless you are making an amendment, please be sure you have not already submitted this form. To determine if a filing was submitted, compare the Filing Name on the form with the submissions listed in your Track Status view.

Browse to a saved form and click "Open Existing Form" to open it.

Open a New Form

Click "Open New Form" to open a new form.

Select Open Existing Form to Open Template

Select Open New Form to Open Blank Form



Discrete CTR Form – Header Page

https://bsae filing1.fincen.treas.gov/CTR - Microsoft Internet Explorer provided by TCS

File Edit Go To Favorites Help

Home Feeds (3) Print Page Tools Help Messenger Full Screen

Next Page 1 / 2 Zoom Out Zoom In 100%

Save Validate Submit Close

 **BSA E-Filing Currency Transaction Report Header** Version Number: 4.0

Filing Name

Resolution Code

Branch Code

Submission Type

Document Control Number

Sign with PIN

8.50 x 11.00 in

Fill in Header
Page With
Filing
Information



Discrete CTR Form

https://bsaeifiling1.fincen.treas.gov/CTR - Microsoft Internet Explorer provided by TCS

File Edit Go To Favorites Help

Home Feeds (0) Print Page Tools Help Messenger Full Screen

Next Page 2 / 2 Zoom Out Zoom In 100% Scrolling

FINCEN Form 104
(Formerly Form 4789)
(Eff. December 2003)
Department of the Treasury
FinCEN

Currency Transaction Report
Previous editions will not be accepted after August 31, 2004.
(Complete all parts that apply--See Instructions)

4 Check all box(es) that apply: a ☐ Amends prior report b ☐ Multiple persons c ☐ Multiple transactions

Part I Person(s) Involved in Transaction(s) Clear Part I

Section A--Person(s) on Whose Behalf Transaction(s) Is Conducted

2 Individual's last name or entity's name 3 First name 4 Middle initial

5 Doing business as (DBA) 6 SSN or EIN

7 Address (number, street, and apt. or suite no.) 8 Date of birth

9 City 10 Occupation, profession, or business

14 If an individual, describe method used to verify identity: Items 2, 3, and 4 - Individual/Organization Name. If the person on whose behalf the transaction(s) is conducted is an individual, put his/her last name in Item 2, first name in Item 3, and middle initial in Item 4. If there is no middle initial, leave Item 4 BLANK. If the transaction is conducted on behalf of an entity, enter the name in Item 2 and leave Items 3 and 4 BLANK.

d ☐ Other e Issued by: f Number:

Section B--Individual(s) Conducting Transaction(s) (if other than above).

If Section B is left blank or incomplete, check the box(es) below to indicate the reason(s)

a ☐ Armored Car Service b ☐ Mail Deposit or Shipment c ☐ Night Deposit or Automated Teller Machine d ☐ Multiple Transactions e ☐ Conducted On Own Behalf

15 Individual's last name 16 First name 17 Middle initial

18 Address (number, street, and apt. or suite no.) 19 SSN

20 City 21 State 22 ZIP code 23 Country code 24 Date of birth

25 If an individual, describe method used to verify identity: a ☐ Driver's license/State I.D. b ☐ Passport c ☐ Alien registration

d ☐ Other e Issued by: f Number:

Part II Amount and Type of Transaction(s). Check all boxes that apply. Clear Part II

26 Total cash in \$ 27 Total cash out \$ 28 Date of transaction

26a Foreign cash in 27a Foreign cash out

Field
Validations
and Online
Help !



PIN Signature

https://bsae filing1.fincen.treas.gov/CTR - Microsoft Internet Explorer provided by TCS

File Edit Go To Favorites Help

Home Feeds (3) Print Page Tools Help Messenger Full Screen

Next Page 1 / 2 Zoom Out Zoom In 100% Scrolling Pages One Full Page Find

Save Validate Submit Print Close

 **BSA E-Filing Currency Transaction Report Header** Version Number: 4.0

Filing Name

Resolution Code

Branch Code

Submission Type

Document Control Number

All Submissions Must Be Digitally Signed !

8.50 x 11.00 in



Submission Confirmation

BSA E-Filing - Submission Confirmation - Microsoft Internet Explorer provided by TCS

File Edit View Favorites Tools Help

Home Feeds (1) Print Page Tools Help Messenger

Confirmation

We have received your submission. Please confirm the following information and records. Please track the status of your submission using the 'Track Status' link in the E-Filing system.

Tracking ID:	T_E_S_T_C10-00000007
Receive Date/Time:	03/04/2010 09:16:14 AM
Submission Type:	CTR
Owner Name:	Donna Church
Owner E-mail:	dchurch@notes.tcs.treas.gov
Filing Name:	CTR Test Discrete

Close

Immediate Confirmation Received After Submission !



Batch Filing

- One file contains multiple submissions
- File must match published E-Filing Specifications (posted on www.fincen.gov)
- Batches are validated against specifications
- AML Vendors provide software to create files or files created by internal IT staff
- The BSA E-Filing Test site is available to test file format before moving to production



Specification Snapshot

http://www.fincen.gov/forms/files/e-filing_CTRCspecs.pdf - Windows Internet Explorer

http://www.fincen.gov/forms/files/e-filing_CTRCspecs.pdf

BSA E-Filing

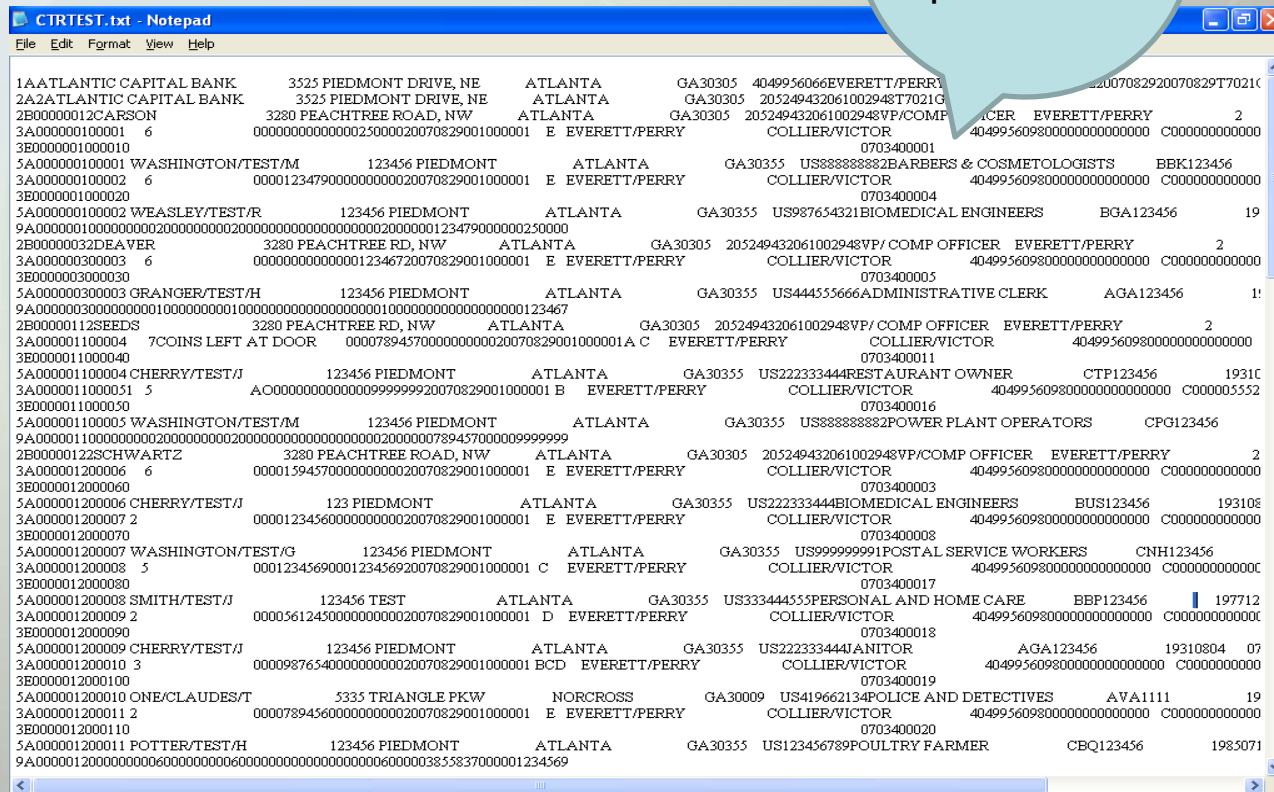
Customer (Part I - Section A) (2C) Record - Required

This record identifies the person(s) or organization(s) for which this transaction was completed. This record is required. There must be at least one of these records for every customer involved in this transaction. The 2C Record item numbers refer to CTR-C Form Part I.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "2C".
3-7	Location Control Code (LCC)	5	REQUIRED. Enter the LCC for the submitting casino. Do not use all zeros.
8-12	Transaction Sequence Number	5	REQUIRED. Enter the transaction sequence number from the associated Transaction Summary (2B) Record.
13	Multiple Persons (Item 2)	1	Enter an 'X', if there are multiple persons.
14-48	Organization or Individual Last Name (Item 3)	35	REQUIRED. Enter the customer's last name. Use the standard name editing instructions in Attachment E - Field Editing Instructions. Left justify and space fill unused positions.
49-67	Individual First	19	REQUIRED if individual. Enter the customer's first name. Use the standard name editing instructions in Attachment E - Field

Submitted
File **MUST**
Match
Specifications

File Formatted
to
Specifications





Batch CTR Submission

https://bsaeiling1.fincen.treas.gov/CTRBATCH - Microsoft Internet Explorer provided by TCS

File Edit Go To Favorites Help
Home Feeds (0) Print Page Tools Help Messenger Full Screen
Next Page 1 / 1 Zoom Out Zoom In 100% Scrolling Pages One Full Page Find

Save Validate Submit Print

 **BSA E-Filing CTR/DEP Batch Form**

The attachment may contain CTR only, DEP only, or both CTR and DEP filings.

The form can only be submitted with just one attached file. If more than one file is attached, only one batch file may be attached to the submission. If you need to submit multiple batch files, use a separate form for each file. A batch file may contain multiple batch files.

Do not use the built-in Adobe Reader attachments functionality to add or delete files on this form. Use the "Add Attachment" and "Delete Attachment" buttons on this form instead. Do not attach zip files. If a zip file is attached, an alert window will be displayed and the form cannot be submitted. The system automatically compresses files during the upload process.

Do not submit any test files into the BSA E-Filing system without first coordinating with the Help Desk at 1-888-827-2778 [option 6] or e-mail at BSAEFilingHelp@notes.tcs.treas.gov. The Help Desk regular hours of operation are 8:00 AM - 6:00 PM East Coast Time, Monday - Friday. Please note that the Help Desk is closed on federal holidays.

Filing Name:

Batch File Format:

Attachment: ☐

Override Rejected Submission: ☐

8.50 x 11.00 in

Fill in Header
Page With
Filing
Information



Attaching A Batch File

Warning: JavaScript Window - Select a data file to import

Look in: Desktop

- CTR Test_SSN 111208.xfd
- CTR Testt 073109.xfd
- CTR.pdf
- CTR_Adobe Test 1.pdf
- CTRC_326_20091016.TXT
- DEP Ruling_010509.pdf
- DEP Test_Dates 101509.pdf
- Duplicate Orgs.txt
- Efiling Error.doc
- Error_125_CTRBatch.txt
- FAQs_private.html
- FilerFeedbackFilerStatistics20100201.pdf
- FilerFeedbackTopQualityIssues20100201.pdf
- M2004272CTR20040928.ASC
- MFctr122809.log

Type: ASC File
File Size: 4 KB
Modified: 10/7/2009 4:49 AM

File name: M2004272CTR20040928.ASC
Files of type: All Files (*.*)

Open Cancel

Batch File Format: **ASCII**

Attachment: ☐ **Add Attachment** **Delete Attachment** **View/Save Attachment**

Override Rejected Submission: ☐

Attach Batch File



Tracking Filing Status

Track Status
Displays Filing
Information !

BSA E-Filing - Microsoft Internet Explorer provided by TCS

https://bsae filing1.fincen.treas.gov/BSALoginServlet

File Edit View Favorites Tools Help

BSA E-Filing

BSA E-Filing Home

New to BSA E-Filing

- Next Steps for Using BSA E-Filing
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 - Track Organization Status
 - File CTR
 - File CTRC
 - File DEP
 - File SAR
 - File SARC
 - File SARMSB
 - File SARSF
 - File Batch CTR/DEP
 - File Batch CTRC
 - File Batch SAR
 - File Batch SARC
 - File Batch SARMSB
 - File Batch SARSF
- Documentation
 - Frequently Asked Questions
 - User Manual
 - Quick Reference
 - Computer Based Training
 - Supervisory User Manual

Track Organization Status

Filter Filings: Show All Export Page as CSV

Displaying Results: 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51

Filing	Filing Type	Date Filed	BSA E-Filing Tracking ID	Status Date	Status	DCN	Filer Name
CTR	CTR	07-Jan-10	C10-00000000	07-Jan-10	Accepted		Kimberly Ray
CTR	CTR	26-Aug-09	C09-00000066	10-Nov-09	Transmitted		Donna Church
CTR	CTR	26-Aug-09	C09-00000065	10-Nov-09	Transmitted		Donna Church
CTR	CTR	26-Aug-09	C09-00000064	10-Nov-09	Transmitted		Donna Church
CTR Test Batch 1 080409	CTRBATCH	04-Aug-09	CB09-00000048	04-Aug-09	Rejected		Donna Church
CTR Test 1 080409	CTR	04-Aug-09	C09-00000063	04-Aug-09	Rejected		Donna Church
CTR Batch Test 1 080409	CTRBATCH	04-Aug-09	CB09-00000047	04-Aug-09	Rejected		Donna Church
CTR Test 3 080409	CTR	04-Aug-09	C09-00000062	04-Aug-09	InvalidPIN		Donna Church
CTR Test 2 080409	CTR	04-Aug-09	C09-00000061	04-Aug-09	InvalidPIN		Donna Church
CTR Test 1 080409	CTR	04-Aug-09	C09-00000060	04-Aug-09	Rejected		Donna Church
CTR TEST 080409	CTR	04-Aug-09	C09-00000059	04-Aug-09	Rejected		Donna Church
CTR Val Err001 Rec2B Leading Spaces	CTRBATCH	29-Jul-09	CB09-00000046	29-Jul-09	Rejected		Matthew Gardner
CTR Val Err001 Rec2B Blank	CTRBATCH	29-Jul-09	CB09-00000045	29-Jul-09	Rejected		Matthew Gardner
CTR Val Err001 Rec2A Leading Spaces	CTRBATCH	29-Jul-09	CB09-00000044	29-Jul-09	Rejected		Matthew Gardner
CTR Val Err001 Rec2A Blank	CTRBATCH	29-Jul-09	CB09-00000043	29-Jul-09	Rejected		Matthew Gardner
CTR Val Test Orig	CTRBATCH	29-Jul-09	CB09-00000042	29-Jul-09	Rejected		Matthew Gardner
CTR Val Test Orig	CTRBATCH	29-Jul-09	CB09-00000041	29-Jul-09	Rejected		Matthew Gardner
CTR Val Test Orig	CTRBATCH	29-Jul-09	CB09-00000040	29-Jul-09	Rejected		Matthew Gardner
CTR Val Err001 Rec2B Leading Spaces	CTRBATCH	29-Jul-09	CB09-00000039	29-Jul-09	Rejected		Matthew Gardner

Local intranet 100%



Batch Validation Errors

BSA E-Filing Submission Errors - Microsoft Internet Explorer provided by TCS

File Edit View Favorites Tools Help

Home Feeds (1) Print Page Tools Help Messenger Full Screen

 **BSA E-FILING SYSTEM**
FINANCIAL CRIMES ENFORCEMENT NETWORK

Submission Errors

Received the following submission errors for:

BSA E-Filing Tracking ID: CB10-00000001
Filing Name: CTR Batch
Status Date: 12-Jan-10

System Displays Batch File Errors

Code	Context	Severity	Description
022	3A [Line: 4]	ERROR	The Transaction Amount Cash-In and/or Transaction Amount Cash-Out are invalid in the Currency Transaction Summary (3A) Record due to one of the following reasons: a. Both amounts are blank. b. The amount(s) is non-numeric, excluding blank. c. The amount(s) is invalid.
076	3A:TransAmtCashIn, 3A:TransAmtCashOut [Line: 4]	ERROR	The Cash In or Cash Out amount(s) is invalid. Only cash transactions that exceed \$10,000 should be reported.
F19	9A:CTRTotalCashIn [Calculated: Not a number, Reported: 22222] [Line: 9]	FATAL	Branch summary amounts do not equal total of transaction amounts.
F22	9B:TotalCTRAmtCashIn [Calculated: Not a number, Reported: 111110] [Line: 38]	FATAL	FI summary amounts do not equal total of transaction amounts.
F20	9Z:TotalCTRAmtCashIn [Calculated: Not a number, Reported: 111110] [Line: 39]	FATAL	File summary amounts do not equal total of transaction amounts.
E00		FATAL	This submission has been Rejected because it contains significant errors. Please fix and re-submit the file.

Close Window Download as XML



Acknowledgements

BSA E-Filing - Microsoft Internet Explorer provided by TCS

https://bsae filing1.fincen.treas.gov/BSALoginServlet

File Edit View Favorites Tools Help

BSA E-Filing

BSA E-FILING SYSTEM
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BSA E-Filing Home

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- File SARMSB
- File SARSF
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- File Batch CTRC
- File Batch SAR
- File Batch SARC
- File Batch SARMSB
- File Batch SARSF

Documentation

- Frequently Asked Questions
- User Manual
- Quick Reference

View Inbox

Filter messages: Show All (selected) | Delete | Reply | Refresh

Check All Clear All | Today only (selected) | Past 5 days | Past 15 days | Past 30 days | Past 45 days | Past 60 days | Show All

Displaying Record: 1 2 3 4 5 6 7 next

		Date Received	Sender	BSA E-Filing Tracking ID	Date Opened
☐	Acknowledgement for SSST10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000020	Not Opened
☐	Acknowledgement for SSST10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000021	Not Opened
☐	Acknowledgement for SS10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000019	Not Opened
☐	Acknowledgement for SMSST10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000018	Not Opened
☐	Acknowledgement for SMSB10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000017	27-Jan-10
☐	Acknowledgement for SMS10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000016	Not Opened
☐	Acknowledgement for SCST10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000015	Not Opened
☐	Acknowledgement for SCB10-00000002	27-Jan-10	BSA E-Filing Program Manager	RM10-00000014	27-Jan-10

Local intranet 100%

Acknowledgements Sent to Secure Inbox



Discrete Acknowledgement

Example of Discrete Filing Acknowledgement

https://bsaeiling1.fincen.treas.gov/Message?ACTIVITY=ViewMessage&WORKFLOWID=project=Reply;wor - Micro

File Edit Go To Favorites Help

Home Feeds (3) Print Page Tools Help Messenger Full Screen

Next Page 1 / 1 Zoom Out Zoom In 100%

Save

 **BSA E-Filing Secure Message Reply Form**

Do not use the built-in Adobe Reader attachments functionality to add or delete files on this form and "Delete Attachment" buttons on this form instead.

To: **Tong Test1**

Subject: **Acknowledgement for CC10-00000004**

Attachment(s): ☐ **Add Attachment** **Delete Attachment** **View/Save Attachment**

Received acknowledgement for BSA Tracking Number CC10-00000004.

This CTR-C has been assigned DCN: 20100250000241.

Customer 1: The Name in the Customer (2C) Record does not match the EIN/SSN in the ECC-D files.

Agent 1: The SSN (TIN) in the Agent (2D) Record is invalid, or the SSN is equal to spaces, zeros or is non-numeric.

8.50 x 11.00 in



Batch Acknowledgement

Example of Batch Filing Acknowledgement

https://bsaeiling1.fincen.treas.gov/Message?ACTIVITY=ViewMessage&&WORKFLOWID=project=Reply;wor - Mir

File Edit Go To Favorites Help

Home Feeds (3) Print Page Tools Help Messenger Full Screen

Next Page 1 / 1 Zoom Out Zoom In 100%

Save

 **BSA E-Filing Secure Message Reply Form**

Do not use the built-in Adobe Reader attachments functionality to add or delete files on this "Attachment" and "Delete Attachment" buttons on this form instead.

To: [Tong Test1](#)

Subject: [Acknowledgement for CB10-00000000](#)

Attachment(s): ☒ [Add Attachment](#) [Delete Attachment](#) [View/Save Attachment](#)

[Please see the attachment for the acknowledgement file.](#)

8.50 x 11.00 in



Filer Feedback Reports



BSA Filing Top Data Quality Issues by Form

Organization Name: Unit Test Organization

Month: February **Year:** 2010

Filing Institution Name: Bank of WIP - Eastern Division

Form Type: CTR

Error Code	Error Description	Error Count	Rank
111	Owner Name is invalid. a. Blank, b. not in proper format, c. contains no slashes for individual.	21	1
112	Owner Number and street is blank.	20	2
113	Owner City is blank.	16	3
114	Owner State is blank.	12	4
115	Owner Country is US, CA, or MX but state is not a standard abbreviation.	8	5
116	Owner Country is not a valid country abbreviation.	6	6
117	Owner Zip-Code is blank, zeroes, or invalid and Country Code is US.	4	7
119	Owner Identifying Number Record is invalid. Identifying number is zeros, all 9s, invalid or non-numeric.	3	8
120	Owner Business occupation or profession is missing.	2	9
122	Owner Address contains punctuation.	1	10



Filer Feedback Reports



BSA Filing Counts Year-To-Date By Month

Organization Name: Unit Test Organization

Filing Institution Name: Bank of WIP - Eastern Division

Year: 2009

Month	CTR	DEP	CTR-C	SAR-DI	SAR-C	SAR-MSB	SAR-SF
January	12354	2345	0	235	0	576	214
February	27	3457	0	257	0	457	214
March	755	457	0	79	0	345	234
April	852	479	0	56	0	286	92
May	123	12	0	97	0	368	134
June	1346	3568	0	34	0	34	345
July	81	7531	0	13	0	13	137
August	85	582	0	581	0	18	92
September	2458	85	0	1	0	9	51
October	81	5134	0	4	0	1347	75
November	80	536	0	754	0	17	75
December	93	289	0	24	0	8	78



For More Information

BSA E-Filing Home Page

<http://bsaefiling.fincen.treas.gov>

BSA E-Filing Help Desk at 1-866-346-9478
(select option # 1)

BSAEFilingHelp@fincen.gov.

The Help Desk is available Monday through
Friday from 8 a.m. to 6 p.m. ET