

# FinCEN Form 101

Effective May 2004

## Suspicious Activity Report by the Securities and Futures Industries

Please type or print. Always complete entire report. Items marked with an asterisk \* are considered critical. (See instructions.)



OMB No. 1506 - 0019

1 Check the box if this report corrects a prior report (See instructions)

### Part I Subject Information

2 Check box a  if multiple subjects box b  subject information unavailable

*3 Individual's last name or entity's full name		*4 First name	*5 Middle initial
6 Also known as (AKA - individual), doing business as (DBA - entity)		7 Occupation or type of business	
*8 Address			*9 City
*10 State	*11 ZIP code	*12 Country code (If not U.S.) (See instructions)	13 E-mail address (If available)
*14 SSN/ITIN (individual), or EIN (entity)	*15 Account number(s) affected, if any. Indicate if closed. Acc't # _____ yes <input type="checkbox"/> Acc't # _____ yes <input type="checkbox"/> Acc't # _____ yes <input type="checkbox"/> Acc't # _____ yes <input type="checkbox"/>		16 Date of birth MM / DD / YYYY
*17 Government issued identification (If available)			
a <input type="checkbox"/> Driver's license/state ID    b <input type="checkbox"/> Passport    c <input type="checkbox"/> Alien registration    d <input type="checkbox"/> Corporate/Partnership Resolution			
e <input type="checkbox"/> Other _____			
f ID number		g Issuing state or country (2 digit code)	
18 Phone number - work ( ) -	19 Phone number - home ( ) -	20 Is individual/business associated/affiliated with the reporting institution? (See instructions) a <input type="checkbox"/> Yes    b <input type="checkbox"/> No	

### Part II Suspicious Activity Information

*21 Date or date range of suspicious activity From MM / DD / YYYY To MM / DD / YYYY		*22 Total dollar amount involved in suspicious activity \$ , , , .00
23 Instrument type (Check all that apply)		
a <input type="checkbox"/> Bonds/Notes	i <input type="checkbox"/> Commodity options	q <input type="checkbox"/> Commodity type _____ (Please identify)
b <input type="checkbox"/> Cash or equiv.	j <input type="checkbox"/> Security futures products	r <input type="checkbox"/> Instrument description _____
c <input type="checkbox"/> Commercial paper	k <input type="checkbox"/> Stocks	s <input type="checkbox"/> Market where traded _____ (Enter appropriate three or four-letter code.)
d <input type="checkbox"/> Commodity futures contract	l <input type="checkbox"/> Warrants	t <input type="checkbox"/> Other (Explain in Part IV)
e <input type="checkbox"/> Money Market Mutual Fund	m <input type="checkbox"/> Other securities	
f <input type="checkbox"/> Mutual Fund	n <input type="checkbox"/> Other non-securities	
g <input type="checkbox"/> OTC Derivatives	o <input type="checkbox"/> Foreign currency futures/options	
h <input type="checkbox"/> Other derivatives	p <input type="checkbox"/> Foreign currencies	
24 CUSIP® number	25 CUSIP® number	26 CUSIP® number
27 CUSIP® number	28 CUSIP® number	29 CUSIP® number
*30 Type of suspicious activity:		
a <input type="checkbox"/> Bribery/gratuity	h <input type="checkbox"/> Identity theft	o <input type="checkbox"/> Significant wire or other transactions without economic purpose
b <input type="checkbox"/> Check fraud	i <input type="checkbox"/> Insider trading	p <input type="checkbox"/> Suspicious documents or ID presented
c <input type="checkbox"/> Computer intrusion	j <input type="checkbox"/> Mail fraud	q <input type="checkbox"/> Terrorist financing
d <input type="checkbox"/> Credit/debit card fraud	k <input type="checkbox"/> Market manipulation	r <input type="checkbox"/> Wash or other fictitious trading
e <input type="checkbox"/> Embezzlement/theft	l <input type="checkbox"/> Money laundering/Structuring	s <input type="checkbox"/> Wire fraud
f <input type="checkbox"/> Commodity futures/options fraud	m <input type="checkbox"/> Prearranged or other non-competitive trading	t <input type="checkbox"/> Other (Describe in Part VI)
g <input type="checkbox"/> Forgery	n <input type="checkbox"/> Securities fraud	



**Explanation/description of suspicious activity(ies).** This section of the report is **critical**. The care with which it is completed may determine whether or not the described activity and its possible criminal nature are clearly understood by investigators. Provide a clear, complete and chronological description (not exceeding this page and the next page) of the activity, including what is unusual, irregular or suspicious about the transaction(s), using the checklist below as a guide, as you prepare your account.

- a. **Describe** conduct that raised suspicion.
- b. **Explain** whether the transaction(s) was completed or only attempted.
- c. **Describe** supporting documentation (e.g. transaction records, new account information, tape recordings, E-mail messages, correspondence, etc.) and retain such documentation in your file for five years.
- d. **Explain** who benefited, financially or otherwise, from the transaction(s), how much, and how (if known).
- e. **Describe and retain** any admission or explanation of the transaction(s) provided by the subject(s) or other persons. Indicate to whom and when it was given.
- f. **Describe and retain** any evidence of cover-up or evidence of an attempt to deceive federal or state examiners, SRO, or others.
- g. **Indicate** where the possible violation of law(s) took place (e.g., main office, branch, other).
- h. **Indicate** whether the suspicious activity is an isolated incident or relates to another transaction.
- i. **Indicate** whether there is any related litigation. If so, specify the name of the litigation and the court where the action is pending.
- j. **Recommend** any further investigation that might assist law enforcement authorities.
- k. **Indicate** whether any information has been excluded from this report; if so, state reasons.
- l. **Indicate** whether U.S. or foreign currency and/or U.S. or foreign negotiable instrument(s) were involved. If foreign, provide the amount, name of currency, and country of origin.
- m. **Indicate** "Market where traded" and "Wire transfer identifier" information when appropriate.
- n. **Indicate** whether funds or assets were recovered and, if so, enter the dollar value of the recovery in whole dollars only.
- o. **Indicate** any additional account number(s), and any foreign bank(s) account number(s) which may be involved.
- p. **Indicate** for a foreign national any available information on subject's passport(s), visa(s), and/or identification card(s). Include date, country, city of issue, issuing authority, and nationality.
- q. **Describe** any suspicious activities that involve transfer of funds to or from a foreign country, or transactions in a foreign currency. Identify the country, sources and destinations of funds.
- r. **Describe** subject(s) position if employed by the financial institution.
- s. **Indicate** whether securities, futures, or options were involved. If so, list the type, CUSIP® number or ISID® number, and amount.
- t. **Indicate** the type of institution filing this report, if this is not clear from Part IV. For example, an IA that is managing partner of a limited partnership that is acting as a hedge fund that detects suspicious activity tied in part to its hedge fund activities should note that it is operating as a hedge fund.
- u. **Indicate**, in instances when the subject or entity has a CRD or NFA number, what that number is.
- v. **If correcting a prior report (box in Item 1 checked), complete the form in its entirety and note the corrected items here in Part VI**

Information already provided in earlier parts of this form need not necessarily be repeated if the meaning is clear.

**Supporting documentation should not be filed with this report.** Maintain the information for your files.

Tips on SAR form preparation and filing are available in the SAR Activity Review at [www.fincen.gov/pub\\_reports.html](http://www.fincen.gov/pub_reports.html)  
Enter explanation/description in the space below. Continue on the next page if necessary.

