

**WARNING: PRINTED VERSIONS OF THE BSA E-FILING FORMS ARE NOT FOR SUBMISSION AND WILL NOT BE PROCESSED by FinCEN.**

39 Insurance

- |  |   |
|--|---|
| 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

- |  |   |
|--|---|
| 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) |   |

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

- |  |   |  |   |
|--|---|--|---|
| a <input type="checkbox"/> Bonds/Notes         | g <input type="checkbox"/> Forex transactions         | m <input type="checkbox"/> Microcap securities       | s <input type="checkbox"/> Stocks                             |
| b <input type="checkbox"/> Commercial mortgage | h <input type="checkbox"/> Futures/Options on futures | n <input type="checkbox"/> Mutual fund               | t <input type="checkbox"/> Swap, hybrid, or other derivatives |
| c <input type="checkbox"/> Commercial paper    | i <input type="checkbox"/> Hedge fund                 | o <input type="checkbox"/> Options on securities     | z <input type="checkbox"/> Other (List below)                 |
| d <input type="checkbox"/> Credit card         | j <input type="checkbox"/> Home equity line of credit | p <input type="checkbox"/> Prepaid access            | <input type="text"/>  |
| e <input type="checkbox"/> Debit card          | k <input type="checkbox"/> Home equity loan           | q <input type="checkbox"/> Residential mortgage      |   |
| f <input type="checkbox"/> Deposit account     | l <input type="checkbox"/> Insurance/Annuity products | r <input type="checkbox"/> Security futures products |   |

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

- |   |   |  |   |
|---|---|--|---|
| a <input type="checkbox"/> Bank/Cashier's check | d <input type="checkbox"/> Gaming instruments | g <input type="checkbox"/> Personal/Business check | z <input type="checkbox"/> Other (List below) |
| b <input type="checkbox"/> Foreign currency     | e <input type="checkbox"/> Government payment | h <input type="checkbox"/> Travelers checks        | <input type="text"/>                          |
| c <input type="checkbox"/> Funds transfer       | f <input type="checkbox"/> Money orders       | i <input type="checkbox"/> U.S. Currency           |   |

43 IP Address (enter the IP address/date/timestamp of the subject's electronic internet based contact with the financial institution, if known)

<input type="text"/>	Date <input type="text"/>	Timestamp (UTC) <input type="text"/>
<input type="text"/>	Date <input type="text"/>	Timestamp (UTC) <input type="text"/>

44 Cyber Event Indicators (select the appropriate indicator(s) from the drop-down list and provide the associated supporting information)

Event type	<input type="text"/>	<input type="text"/>
Event value	<input type="text"/>	Date <input type="text"/> Timestamp (UTC) <input type="text"/>