

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

39 Insurance

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

40 Securities / Futures / Options

- a Insider trading
- b Market manipulation
- c Misappropriation
- d Unauthorized pooling
- e Wash trading
- z Other

41 Mortgage Fraud

- a Application fraud
- b Appraisal fraud
- c Foreclosure/Short sale fraud
- d Loan Modification fraud
- e Origination fraud
- z Other

42 Cyber event

- a Against Financial Institution(s)
- b Against Financial Institution Customer(s)
- z Other

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 style="width: 100px; height: 15px;" 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 style="width: 100px; height: 15px;" 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 style="width: 95%; height: 15px;" type="text"/>	Date <input style="width: 40%; height: 15px;" type="text"/>	Timestamp (UTC) <input style="width: 80%; height: 15px;" type="text"/>
<input style="width: 95%; height: 15px;" type="text"/>	Date <input style="width: 40%; height: 15px;" type="text"/>	Timestamp (UTC) <input style="width: 80%; height: 15px;" 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 style="width: 95%; height: 15px;" type="text"/>	<input style="width: 95%; height: 15px;" type="text"/>
Event value	<input style="width: 95%; height: 15px;" type="text"/>	Date <input style="width: 40%; height: 15px;" type="text"/> Timestamp (UTC) <input style="width: 80%; height: 15px;" type="text"/>