

**WARNING: PRINTED VERSIONS OF THE BSA E-FILING FORMS ARE NOT FOR SUBMISSION TO THE ECC-D.
PRINTED VERSIONS OF THE BSA E-FILING FORMS WILL NOT BE PROCESSED AT THE ECC-D.**

35 Other Suspicious Activities

- | | |
|--|---|
| a <input type="checkbox"/> Account takeover | k <input type="checkbox"/> Suspected public/private corruption (domestic) |
| b <input type="checkbox"/> Bribery or gratuity | l <input type="checkbox"/> Suspected public/private corruption (foreign) |
| c <input type="checkbox"/> Counterfeit instruments | m <input type="checkbox"/> Suspicious use of informal value transfer system |
| d <input type="checkbox"/> Elder financial exploitation | n <input type="checkbox"/> Suspicious use of multiple transaction locations |
| e <input type="checkbox"/> Embezzlement/theft/disappearance of funds | o <input type="checkbox"/> Transaction with no apparent economic, business, or lawful purpose |
| f <input type="checkbox"/> Forgeries | p <input type="checkbox"/> Two or more individuals working together |
| g <input type="checkbox"/> Identity theft | q <input type="checkbox"/> Unauthorized electronic intrusion |
| h <input type="checkbox"/> Little or no concern for product performance penalties, fees, or tax consequences | r <input type="checkbox"/> Unlicensed or unregistered MSB |
| i <input type="checkbox"/> Misuse of "free look"/cooling-off/right of rescission | z <input type="checkbox"/> Other <input type="text"/> |
| j <input type="checkbox"/> Misuse of position or self-dealing | |

37 Securities/Futures/Options

- | | |
|---|---|
| a <input type="checkbox"/> Insider trading | d <input type="checkbox"/> Unauthorized pooling |
| b <input type="checkbox"/> Market manipulation/wash trading | z <input type="checkbox"/> Other <input type="text"/> |
| c <input type="checkbox"/> Misappropriation | |

38 Mortgage Fraud

- | | |
|--|---|
| a <input type="checkbox"/> Appraisal fraud | d <input type="checkbox"/> Reverse mortgage fraud |
| b <input type="checkbox"/> Foreclosure fraud | z <input type="checkbox"/> Other <input type="text"/> |
| c <input type="checkbox"/> Loan Modification fraud | |

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

40 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 | |
| c <input type="checkbox"/> Funds transfer | f <input type="checkbox"/> Money orders | i <input type="checkbox"/> U.S. Currency | |

41 Commodity type (If applicable)
