

SPECIFICATIONS
FOR MAGNETIC MEDIA FILING
OF
SUSPICIOUS ACTIVITY REPORTS
BY THE
SECURITIES AND FUTURES
INDUSTRIES
(SAR-SF)

FinCEN Form 101

July 2004

**DEPARTMENT OF THE TREASURY
INTERNAL REVENUE SERVICE**

These Specifications for Magnetic Media Filing of Suspicious Activity Reports by the Securities and Futures Industry (FinCEN Form 101) were developed under the sponsorship of the following:

Department of the Treasury

Director, Financial Crimes Enforcement Network

Internal Revenue Service

Director, Detroit Computing Center

Table of Contents

Table of Contents	3
Purpose.....	4
General Specifications	7
Record Types (Input).....	9
Transmitter (1A) Record - Required	9
Parent Financial Institution (2A) Record - Required.....	10
Broker-dealer Branch (2B) Record - Required.....	11
Suspicious Activity (3A) Record - Required.....	12
Suspicious Activity (3A) Record - Continued.....	13
Suspicious Activity (3A) Record - Continued.....	14
Suspicious Activity (3A) Record – Continued	15
Subject Information (4A) Record - Required	17
Subject Information (4A) Record - continued.....	19
Information Explanation/Description (5A) Record - Required.....	20
Branch Summary (9A) Record - Required.....	20
Broker-dealer Parent Summary (9B) Record - Required.....	21
File Summary (9Z) Record - Required	21
Attachments - Standard Country/State Abbreviations	22
Attachments - Standard Abbreviations	27

Purpose

The purpose of this specification is to provide the requirements and conditions for filing Suspicious Activity Reports by the Securities and Futures Industry (SARSF), FinCEN Form 101 on magnetic media.

The magnetic media forwarded to the Detroit Computing Center (DCC) will be considered as a substitute for the paper document, provided the transaction is accepted by the DCC system. Receipt and acknowledgment of magnetic media is further discussed in a later section.

These specifications apply to the program for the filing of SARSFs submitted on magnetic cartridge, or diskette.

Approval to participate in the magnetic media-reporting program is contingent upon the filer following these steps:

- Review specifications
- File application to participate
- Satisfy Acceptance Testing Procedures
- Receive formal DCC approval
- File reports every two to four weeks (as required)
- Monitor quality

Continued participation in the Magnetic Media Program is contingent upon maintenance of quality standards and timely reporting.

Application for Magnetic Media Reporting

For the purpose of this specification, the FILER is the organization responsible for filing the SARSF. Filers are required to complete an Application for Magnetic Media Reporting (Form DCC-4419). A copy of this form can be found on the FinCEN web site at: www.fincen.gov/reg_bsaforms.html#magmediafilingA. Requests for additional

information or forms related to magnetic media processing should be addressed to the SARSF Magnetic Media Coordinator at the DCC.

The application should be filed with DCC as soon as possible after receipt of these specifications. DCC will act on the application and notify the applicant of authorization to file. Magnetic media may not be filed with DCC until the applicant has received approval.

Approval of applications to file SARSFs on magnetic media will be contingent upon the applicant satisfactorily passing an acceptance test.

Filing of Magnetic Media Reports

General

DCC will advise magnetic filers when they may begin to file using magnetic media. This will be as early as possible after receipt of the application. Until this notification has been issued, magnetic media will not be accepted.

If files are unreadable due to format errors, etc., we will contact the transmitter by telephone to send a replacement for the file.

Any filer whose error rates remain at a high level on a continuing basis may risk being discontinued as a magnetic media filer.

Filers are required to retain a copy of the SARSF data and all original supporting documentation or business record equivalent for five years from the date of the suspicious activity report. All supporting documentation must be made available to appropriate authorities upon request.

Transmittal Process

Magnetic media files and transmittals are submitted to DCC. Form(s) DCC-4804 and DCC-4802 (for multiple filers), must accompany magnetic submissions (see attachments). **DO NOT MAIL THE MEDIA AND THE TRANSMITTAL SEPARATELY.** DCC encourages the use of a substitute computer generated Form 4804 and/or Form 4802, which includes all information requested on the actual form. Substitute forms should follow the format of the transmittal form. All submitted magnetic media files, must include the following:

- A Form 4804 or computer generated substitute.
- The magnetic media with an external identifying label.
- A statement on the outside of the shipping container that says 'Attn: Tape Library Deliver unopened: SARSF Magnetic Media ; __ of __'. If there is only one container, mark the outside as 1 of 1. For multiple containers, include the sequence (e.g., 1 of 3, 2 of 3, etc.).
- DCC will not pay or accept 'Collect on Delivery' or 'Charged to IRS' shipments of SARSFs on magnetic media that an individual or organization is legally required to report.

Data Sequencing and Validation Criteria

The following data controls must be followed or the SARSF magnetic media will be rejected. The data records must be in the following sequence:

- Transmitter (1A)

There can only be one of this record type and it must be the first record on the file.

- Parent Financial Institution (2A)

There can be more than one of this record type depending on the number of different broker-dealers, which are included on the file. This record type will immediately precede all records, which relate to the broker-dealer.

- Financial Institution Branch (2B)

There can be more than one of this record type depending on the number of broker-dealer branches, which are being reported. One of these records will immediately precede all SARSF records for the branch.

- Suspicious Activity (3A)

There can be more than one of this record type on the file depending on the number of suspicious activities being reported for a broker-dealer branch.

- Subject Information (4A)

There can be more than one of this record type dependent on the number of persons involved in this suspicious activity.

- Explanation/Description (5A)

There can be more than one of this record type depending on the length of the explanation given for the suspicious activity.

- Branch Summary (9A)

There must be one of these records for each branch (2B record) of a broker-dealer being reported. It is to be the last record associated with the branch.

- Financial Institution Summary (9B)

There must be one of these records for each broker-dealer being reported. It is to be the last record associated with the broker-dealer and will follow the Branch Summary Record (9A) for the last branch reported.

- File Summary (9Z)

There must be one of these records on the file and it must be the last record on the file.

Acceptance Procedures

The Filer will be asked to provide a test file to DCC, which is consistent with these requirements.

Final acceptance of the filer's test file will be as follows:

- The test data will consist of a set of reports, containing the data normally supplied by the filer. The test file should contain between 25 and 50 reports.
- Upon receipt of the filer's test file DCC will test, review and provide feedback to the filer within ten working days.
- If 95% of the filer's test returns are error-free and the file is correctly formatted, final acceptance will be issued by DCC allowing the filer to participate in the Magnetic Media Program.
- When a test file is found to be incorrectly formatted, DCC will identify to the filer the type of errors encountered. A new set of test data should be forwarded to DCC. The filer is responsible for correcting their software to eliminate the identified errors and any related errors.
- If, after three attempts, the filer's test file continues to be unacceptable, the filer must confer with the SARSF Magnetic Media Coordinator and develop an acceptable plan for correcting deficiencies before any further tests are allowed.
- Filers granted acceptance will be notified.
- When several filers use the same service bureau system, only one test file of magnetic returns is required to cover the acceptance of all participating filers.
- DCC will issue a Transmitter Control Code

(TCC) to be used with all submissions of SARSFs.

Filing Dates

Filing using magnetic media will be on a continuous basis. Magnetic media must be prepared and submitted to DCC for processing no later than 30 calendar days after the date of initial detection of facts that may constitute a basis for filing a SARSF. If no Subject was identified on the date of detection of the incident requiring the filing, a FI may delay filing a SARSF for an additional 30 calendar days to identify a suspect. In no case shall reporting be delayed more than 60 calendar days after the date of initial detection of a reportable transaction.

Receipt and Acknowledgment of Magnetic Media Files

SARSFs **will not be acknowledged** to the transmitter. Cartridges will be returned **with** the original data removed.

Filing Corrected Reports

If a SARSF, which was prepared and submitted on magnetic media, must be corrected, you must file a complete corrected SARSF as soon as possible. **All fields must be completed with the correct information, NOT JUST THE DATA FIELDS NEEDING CORRECTION.** Corrected and Supplemental SARSFs will be accepted on magnetic media. **Corrected magnetically filed SARSFs must include the appropriate code indicator.**

Magnetic Media Coordinator Contacts

Direct all requests for Magnetic Media related publications or information to the following address:

**SARSF Magnetic Media
Coordinator
Internal Revenue Service
985 Michigan Ave.
Detroit, MI 48226-2458
Phone Number (313) 234-2011
Fax Number (313) 234-1614**

General Specifications

Cartridge Specifications

These specifications define the file characteristics acceptable for magnetic media reporting. These characteristics must be followed unless specifically authorized by the DCC in writing.

All records should be fixed in length to the size specified for each record type. Usually DCC will be able to process a compatible tape/cartridge file. The standard file characteristics are 18 or 36 track cartridges, EBCDIC, odd parity, 6250 BPI and **standard labels**. The standard data set name to be used on tapes/cartridges is **ISARP.SARSF.MAG**.

An external label must appear on each tape/cartridge submitted for processing. The following information should appear on the label:

- The transmitters name
- Date of preparation
- **A reel number assigned by the preparer which must match the reel number on the internal label (6 alpha numeric characters)**
- Number of reels in file, including reel sequence number (i.e., 01 of 08)

Note: To allow better control processing of your files, uniquely numbered tape/cartridge numbers must be transmitted when using multiple tape/cartridges.

For the purposes of these specifications the following conventions must be used for internal labels:

- Header Label

Standard headers provided they begin with 1HDR, HDR1, VOL1, VOL2, UHL1, or 'b LABEL'.

Consist of a maximum of 80 positions.

- Trailer Label

Standard trailer labels may be used provided that they begin with 1EOR, 1EOF, EOR1, EOF1, EOVI, or EOVI2.

Consist of a maximum of 80 positions.

Diskette Specifications

These specifications define the file characteristics acceptable for diskette media reporting. These characteristics must be adhered to unless specifically authorized by DCC in writing.

All records should be fixed in length to the size specified for each record type.

Usually DCC will be able to process a compatible diskette file. The standard file characteristic is 3.5-inch diskette double sided/double density or double sided/high density. The standard data set name to be used on files is **SARSFMAG**.

All diskettes must be generated using MS-DOS on an IBM compatible personal computer in ASCII mode. All alphabetic characters must be in **upper case only**.

An external label must appear on each diskette submitted for processing. The following information should appear on the label:

- Contact Person and Telephone Number
- Date of preparation
- Diskette sequence number (i.e., 01 of 03)

- Coverage beginning and ending dates
- Number of SARSF records

The diskette records defined in these specifications should be unblocked 480 character records. The industry standard record delimiter for diskette data records is the two-byte combination of 0D0A hexadecimal characters (carriage return, line feed).

Note: Diskettes will not be returned.

Overview of File

This file is an alternative to filing SARSFs on paper. If you file a transaction on MAGNETIC MEDIA DO NOT FILE a paper SARSF for the same SARSF.

SARSFs, which have missing or incomplete information, are considered original (initial) filings. When information becomes available they should be replaced on magnetic media, include the corrected or supplemental indicator code.

All dates are to be in the format of **century**, year, month, day with month and day both **being right justified and zero filled**.

Money amounts are 10 positions and **should be right justified and zero filled**. Enter dollar amounts only; all cents should be rounded up to the next higher dollar amount (i.e., \$10,000.01 should be reported as \$10001).

All name, address, and city fields are to be **left justified and space filled**.

All alphabetic characters must be in upper case.

All name and address fields relating to SARSF data must follow the Name Editing Conventions specified in the attachments.

CUSIP numbers must NOT contain leading zeroes unless they are part of the actual CUSIP number.

All entries must be **left justified and space filled**.

Do not include lower case characters in the file.

Do not use low values.

All 'Filler' fields should be space filled.

Record Types (Input)

Transmitter (1A) Record - Required

The first record on each file is to be the transmitter record that will contain information identifying the transmitter (person or organization handling the data accumulation and formatting). There will be only one Transmitter Record on each magnetic media file. Include the following data elements in this record:

Field Pos.	Field Name	Length	Description and Remark
1 – 2	Record Type	2	Required. Enter `1A`.
3 – 37	Transmitter Name	35	Required. Enter the name of individual or organization that is transmitting the transactions on this file.
38 – 67	Transmitter Address	30	Required. Enter the street address of the transmitter.
68 – 92	Transmitter City	25	Required. Enter the city of the transmitter.
93 – 94	Transmitter State	2	Required. Enter the transmitter state in abbreviated form. Use the country and state standard abbreviations in the attachments.
95 – 103	Transmitter Zip Code	9	Required. Enter the transmitter Zip Code.
04 – 106	Transmitter Area Code	3	Required. Enter the transmitter area code.
07 – 113	Transmitter	7	Required. Enter the telephone number.
14 – 148	Transmitter t	35	Required. Enter the name of an official contact for the transmitter.
49 – 157	Transmitter EIN	9	Required. Must be a valid nine-digit number assigned to the transmitter by IRS. Do not enter hyphens, slashes, ALPHA characters, all 9's, or all zeroes.
158 –165	Coverage Beginning Date	8	Required. This will be the date of the earliest original on the file. It is to be a numeric 8-digit field. The format consists of century, year, month, and day.
166 –173	Coverage Ending Date	8	Required. This will be the date of the latest original transaction on the file. It is to be a numeric 8-digit field. The format consists of century, year, month, and day.
174 –181	Transmitter Control Code	8	Required. This is the code assigned by the IRS. This code is also entered on Form 4804.
182 –509	Filler	328	
510	Format Indicator	1	Required. Enter "1".
511 –520	User Field	10	

Parent Financial Institution (2A) Record - Required

This record identifies information regarding the Financial Institution Headquarters. The number of Financial Institution (Parent) records will depend on the number of different Financial Institutions, which are included on the file. Include the following data elements in this record:

Field Pos	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter '2A'.
3 – 37	Institution Name	35	Required. Enter the Institution's full legal name.
38 – 67	Institution Address	30	Required. Enter the address of the Institution. Do not abbreviate.
68 – 92	Institution City	25	Required. Enter the city where the Institution is located.
93 – 94	Institution State	2	Required. Enter the two (2) character state code from the standard state code abbreviations in the attachments.
95 --103	Institution Zip Code	9	Required. Enter the zip code for the Institution.
104--112	Institution EIN	9	Required. Enter the EIN of the Parent Broker-dealer.
113 –120	Transmitter Control Code	8	Required. This is the code assigned by the IRS. This code is also entered on Form 4804.
121 –131	Central Registration Depository Number	11	Required. Enter the Central Registration Depository Number.
132 –140	SEC ID Number	9	Required. Enter the SEC ID number. Do not include dash.
141 –148	National Futures Association Id Number	8	Required. Enter the National Futures Association Id number.
149 –510	Filler	362	
511 –520	User Field1	10	

Broker-dealer Branch (2B) Record - Required

This record identifies information on the Financial Institution (FI) branch where the activity occurred. The number of FI Branch records is dependent on the number of branches the FI is reporting on the magnetic media file. Include the following data elements in these records:

Field Pos	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter '2B'.
3 – 7	Branch Code	5	Required, Enter the Branch number for the submitting Branch. This is to be right justified, and zero filled.
8 – 37	Branch Office Address	30	Required. Enter the branch office address.
38	Multiple Branches	1	Required. Enter 'Y' if multiple branch locations were involved.
39 – 63	Branch Office City	25	Required. Enter the branch office city.
64 – 65	Branch Office State	2	Required. Enter the two (2) character state code from the standard state code abbreviations in the attachments.
66 – 74	Branch Office Zip Code	9	Required. Enter the zip code for the branch office.
75 510	Filler	437	
511 -520	User Field	10	

Suspicious Activity (3A) Record - Required

This record identifies and describes the suspicious activity report. It occurs one time per suspicious activity. Include the following data elements in this record:

Field Pos	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter '3A'.
3 – 7	Branch Code	5	Required. Enter the Branch Number for the submitting Branch. This is to be right justified, and zero filled.
8 – 12	Transaction Sequence	5	Required. Enter a sequential number starting with 0001 and Number increment by 1 for each suspicious transaction (3A) record.
13	Report Indicator	1	Required. Enter A for Initial Report B for Corrects Prior Report
14	Multiple Subject or Subject Information Unavailable	1	Required. Enter A for Multiple Subjects B for Subject information unavailable
15 –22	From Violation Date	8	Enter the violation date or from violation date (if including a range of violation dates). CCYYMMDD format.
23 –30	To Violation date	8	Enter the ending date of violation (if including a range of violation date) or leave blank. CCYYMMDD format.
31 –40	Total dollar amount	10	Enter the total dollar amount involved in suspected violation (must be numeric).
41 – 60	Type of Instrument	20	A maximum of 20 instrument types as follows: A = Bonds/Notes B = Cash or Equiv. C = Commercial Paper D = Commodity Future E = Money Market F = Mutual Fund G = OTC Derivatives H = Other Derivatives I = Commodity Options J = Security Futures Products K = Stocks L = Warrants M = Other Securities N = Other Non-Securities O = Foreign Currency Futures P = Foreign Currencies Q = Commodity Type R = Instrument Description S = Market where traded T = Other

Suspicious Activity (3A) Record - Continued

Field Pos	Field Name	Length	Description and Remarks
61 – 80	Commodity type	20	Commodity type identify
81 – 100	Instrument description	20	Instrument description
101 – 104	Market where traded	4	Three or four digit code
105 – 116	CUSIP number 1	12	CUSIP number affected.
117 – 128	CUSIP number 2	12	Additional CUSIP number affected.
129 – 140	CUSIP number 3	12	Additional CUSIP number affected.
141 – 152	CUSIP number 4	12	Additional CUSIP number affected.
153 – 164	CUSIP number 5	12	Additional CUSIP number affected.
165 – 176	CUSIP number 6	12	Additional CUSIP number affected.
177 – 196	Violation Type	20	<p>A maximum of 20 violation types as follows:</p> <ul style="list-style-type: none"> A = Bribery/Gratuity B = Check fraud C = Computer Intrusion D = Credit/debit card fraud E = Embezzlement/theft F = Futures fraud G = Forgery H = Identity theft I = Insider trading J = Mail fraud K = Money manipulation L = Money laundering/structuring M = Prearranged or other non-competitive trading N = Securities fraud O = Significant wire P = Suspicious documents Q = Terrorist financing R = Fictitious trading S = Wire fraud T = Other

Suspicious Activity (3A) Record - Continued

Field Pos	Field Name	Length	Description and Remarks
197--214	Enforcement Agency Contacted	18	Enter all the letters that apply: A = DEA B = US Attorney C = IRS D = FBI E = US Customs F = Secret Service G = CFTC H = SEC I = NASD J = NFA K = NY Stock Exchange L = Other Registered Futures Assoc M = Other registered entity-futures N = Other state/local O = Other SRO (PHLX, PCX, CBOE, AMEX, etc.) P = State securities regulator Q = Foreign R = Other
215 – 249	Other Authority Contacted Or US Attorney Office	35	Enter the name of the Law Enforcement Agency already contacted, if L thru R checked above or the US Attorney Office (B).
250 – 284	Name of Individual Contacted	35	Enter the person contacted from the Enforcement Agency.
285 – 294	Contact Phone Number	10	Enter the phone number including area code of the contact person.
295 – 302	Date Contacted	8	Date contacted
303	Has Reporting Individual/Entity Coordinated this report with another individual/entity	1	A = YES B = NO

Suspicious Activity (3A) Record – Continued

Field Pos	Field Name	Length	Description and Remarks
304–357	Type of institution	54	Enter two digits for each letter that applies, space fill. A = Agriculture trade B = Affiliate of bank C = Commodity pool D = Commodity trading advisor E = Direct participation program F = Futures commission merchant G = Futures floor broker H = Futures floor trader I = Introducing Broker-Futures J = Investment advisor K= Investment Company L = Market Maker M = Municipal securities dealer N = National Futures Assoc. O = Registered Entity-futures P = Other Registered Futures Q = Securities broker – clearing R = Securities broker – introducing S = Securities dealer T = Securities floor broker U = Securities options broker-dealer V = Self regulatory organization (SRO) W = Specialist X = Subsidiary of bank Y = US government broker-dealer Z = US government interdealer broker AA = Other
358--392	Contact for Assistance Name	35	Complete name of Contact person (Last name/first name/middle initial format)
393--417	Contact Title/Position	25	Contact Title/Position
418--420	Contact Area Code	3	Contact area code.
421--427	Contact Phone Number	7	Contact phone number.
428 -435	Prepared Date	8	Date Report prepared.
436 -437	Number of Subjects	2	Required. Number of Subject Records. Must be equal to the number of Subject 4A Records.
438-439	Number of Explanation/Description records	2	Required. Number of Explanation/Description records Must be equal to the number of Explanation/Description 6A Records.

Field Pos	Field Name	Length	Description and Remarks
440 – 510	Filler	71	
511 – 520	User Field	10	

Subject Information (4A) Record - Required

This record contains information related to the Subjects identity. There can be more than one of these records if there are multiple Subjects for the same suspicious activity.

Field Pos	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter "4A".
3 – 7	Branch Code	5	Required. Enter the branch number for the submitting branch.
8 – 12	Transaction Seq. No.	5	Required. Enter the transaction sequence number from the associated 3A record.
13 – 47	Subject's Name	35	Enter the name of the Subject in the format last name/ first name/middle initial. Left justified and space filled. Follow the Name Editing Conventions shown in the attachment.
48 – 82	AKA or DBA Name	35	Enter the AKA or DBA name of the subject. Individuals name should follow the format last name/first name/middle initial. Left justified and space filled. Follow the Name Editing Conventions shown in the attachment.
83 –112	Subject's Occupation	30	Enter the occupation, profession, or business of the suspect (i.e. attorney, securities broker, auto dealer, etc.)".
113 142	Subject's Address	30	Enter the street address of the subject. Left justified and space filled.
143--167	Subject's City	25	Enter the Subject's city. Left justified and space filled.
168--169	Subject's State	2	From the attachment, select the appropriate state code for the suspect.
170 –178	Subject's Zip Code	9	Enter the zip code for the subject.
179 –180	Subject's Country	2	From the attachment, select the appropriate country code.
181 –210	Subject's Email address	30	Enter the Email address of the subject.
211 –219	Subject's TIN	9	Enter the SSN/TIN of subject.
220 –237	Subject Account Number 1	18	Enter the account number affected.
238	Subject Account number 1 closed	1	Enter 'Y', if the account number is closed.
239 –256	Subject Account Number 2	18	Enter the account number affected.

Field Pos	Field Name	Length	Description and Remarks
	Number2		
257	Subject Account number 2 Closed	1	Enter 'Y', if the account number is closed.
258 – 275	Subject Account Number3	18	Enter the account number affected.
276	Subject Account number 3 Closed	1	Enter 'Y', if the account number is closed.
277 – 294	Subject Account Number 4	18	Enter the account number affected.

Subject Information (4A) Record - continued

Field Pos	Field Name	Length	Description and Remarks
295	Subject Account number 4 Closed	1	Enter 'Y', if the account number is closed.
296 –303	Subject's Date of Birth	8	Enter Subject's date of birth. It is to be a numeric eight digit field in the format century, year, month, day (i.e. 19470930).
304	Subject's Identification	1	Enter the appropriate code for identification provided as follows: A = Driver's License/State ID B = Passport C = Alien Registration D = Corporate/Partnership Resolution E = Other
305 –344	Subject's Id Other Description	40	If 'E - Other' enter the description of Identification.
345 –366	Subject's Identification Number	22	Enter the number used for identification.
367 –368	Subject's Issuing Authority	2	Enter the appropriate code to designate the state/country where the identification was issued.
369 –371	Subject's Work Area Code	3	Enter Subject's work area code.
372 –378	Subject's Work Phone Number	7	Enter Subject's work telephone number.
379 –381	Subject's Area Code	3	Enter Subject's home area code.
382 –388	Subject's Phone No.	7	Enter Subject's home telephone number.
389	Subject's Association	1	Is individual/business associated/affiliated with the reporting institution A = yes, B = no.
390 –510	Filler	122	
511 –520	User Field	10	

Information Explanation/Description (5A) Record - Required

This record contains a detailed Explanation/Description of known or suspected violation of law. This record may occur multiple times. Include the following data elements in this record:

Field Pos.	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter "5A".
3 – 7	Branch Code	5	Required. Enter the branch number for the submitting branch.
8 – 12	Transaction Sequence No.	5	Required. Enter the transaction sequence number from the associated 3A record.
13--510	Explanation/Description	498	Enter a detailed explanation/description of the Suspicious Activity. Upper case characters only. Do not use low values or special characters. Refer to Instructions on the document.
511--520	User Field	10	

Branch Summary (9A) Record - Required

There should be one of these records on the file for each broker-dealer branch, which is being reported. This record contains counts of the number of each type record associated with the branch. Include the following data elements in these records:

Field Pos.	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter '9A'.
3 – 7	Branch Code	5	Required. Enter the branch number for the submitting branch. Right justified and zero filled.
8 – 14	Suspicious Activity Count	7	Required. Enter a count of the number of Suspicious Activity Records (3A) for the branch.
15 – 21	Subject Record Count	7	Required. Enter the number of Subject (4A) records for the branch.
22 – 28	Explanation/Description	7	Required. Enter the number of description/explanation (5A) records for the branch.
29 – 510	Filler	483	
511--520	User Field	10	

Broker-dealer Parent Summary (9B) Record - Required

There should be one of these records on the file for each broker-dealer that is being reported. This record is to follow the last reported Broker-dealer (Branch) '9A' Summary Record for the broker-dealer. This record contains counts of the number of each type record associated with the broker-dealers. Include the following data elements for these records:

Field Pos.	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter '9B'.
3 – 9	Branch Record Count	7	Required. Enter count of Branch Records for the broker-dealer.
10 – 16	SARFS Count	7	Required. Enter count of SARFS for the financial institution.
17 – 23	Subject Record Count	7	Required. Enter count of Subject records for the broker-dealer.
24 – 30	Explanation/Description Count	7	Required. Enter count of explanation/description records for the broker-dealer.
31 – 510	Filler	481	
511 – 520	User Field	10	

File Summary (9Z) Record - Required

There should only be one of these records on the file and it must be the very last record on the file. This record contains counts of the number of the various record types, which are on the file. These records should contain the following:

Field Pos.	Field Name	Length	Description and Remarks
1 – 2	Record Type	2	Required. Enter '9Z'.
3 – 9	Parent Institution Record Count	7	Required. Enter count of parent institution records.
10 – 16	Branch Transaction Record Count	7	Required. Enter count of branch institution records.
17 – 23	SARFS Count	7	Required. Enter count of SARFS.
24 – 30	Subject Record Count	7	Required. Enter count of Subject records.
31 – 37	Explanation/Description	7	Required. Enter count of explanation/description records.
38 – 510	Filler	474	
511 – 520	User Field	10	

El Salvador	ES	Italy	IT
England	UK	Ivory Coast (Cote d'Ivoire)	IV
Equatorial Guinea	EK	Jamaica	JM
Eritrea	ER	Jan Mayen	JN
Estonia	EN	Japan	JA
Ethiopia	ET	Jersey	JE
Europa Island	EU	Jordan	JO
Falkland Islands (Islas Malvinas)	FA	Juan De Nova Island	JU
Faroe Island	FO	Kazakhstan	KZ
Fiji	FJ	Kenya	KE
Finland	FI	Kiribati	KR
France	FR	Korea, North	KN
French Guiana	FG	Korea, South	KS
French Polynesia	FP	Kuwait	KU
French Southern & Antarctic	FS	Kyrgyzstan	KG
Gabon	GB	Laos	LA
Gambia	GA	Latvia	LG
Gaza Strip	GZ	Lebanon	LE
Georgia	GG	Lesotho	LT
Germany	GM	Liberia	LI
Ghana	GH	Libya	LY
Gibraltar	GI	Liechtenstein	LS
Glorioso Islands	GO	Lithuania	LH
Golan Heights	SY	Luxembourg	LU
Great Britain	UK	Macao	MC
Greece	GR	Macedonia	MK
Greenland	GL	Madagascar	MA
Grenada	GJ	Malawi	MI
Guadeloupe	GP	Malaysia	MY
Guatemala	GT	Maldives	MV
Guernsey	GK	Mali	ML
Guinea	GV	Malta	MT
Guinea-Bissau	PU	Marshall Islands	RM
Guyana	GY	Martinique	MB
Haiti	HA	Mauritania	MR
Heard & McDonald Islands	HM	Mauritius	MP
Holy See (Vatican City)	VT	Mayotte	MF
Honduras	HO	Mexico	MX
Hong Kong	HK	Moldova	MD
Hungary	HU	Monaco	MN
Iceland	IC	Mongolia	MG
India	IN	Montserrat	MH
Indonesia	ID	Morocco	MO
Iran	IR	Mozambique	MZ
Iraq	IZ	Namibia	WA
Ireland	EI	Nauru	NR
Isle of Man	IM	Navassa Island	BQ
Israel	IS	Nepal	NP

Netherlands	NL	Spain	SP
Netherlands (Antilles)	NT	Spratley Islands	PG
New Caledonia	NC	Sri Lanka (Ceylon)	CE
New Zealand	NZ	Sudan	SU
Nicaragua	NU	Suriname	NS
Niger	NG	Svalbard	SV
Nigeria	NI	Swaziland	WZ
Niue	NE	Sweden	SW
Norfolk Island	NF	Switzerland	SZ
Norway	NO	Syria	SY
Oman (Muscat)	MU	Taiwan	TW
Pakistan	PK	Tajikistan	TI
Palau	PS	Tanzania	TZ
Panama	PM	Thailand	TH
Papua-New Guinea	PP	Togo	TO
Paracel Islands	PF	Tokelau Islands	TL
Paraguay	PA	Tonga	TN
Peru	PE	Trinidad & Tobago	TD
Philippines	RP	Tromelin Island	TE
Pitcairn Island	PC	Tunisia	TS
Poland	PL	Turkey	TU
Portugal	PO	Turkmenistan	TX
Qatar	QA	Turks & Caicos Islands	TK
Reunion	RE	Tuvalu	TV
Romania	RO	Uganda	UG
Russia	RS	Ukraine	UP
Rwanda	RW	United Arab Emirates	AE
Saint Helena	SH	United Kingdom	UK
Saint Kitts & Nevis	SC	United States of America	US
Saint Lucia	ST	Uruguay	UY
Saint Pierre & Miquelon	SB	Uzbekistan	UZ
Saint Vincent & Grenadines	VC	Vanuatu	NH
Samoa	WS	Vatican City	VT
San Marino	SM	Venezuela	VE
Sao Tome & Principe	TP	Vietnam	NM
Saudi Arabia	SA	Virgin Islands (British)	VI
Scotland	UK	Wales	UK
Senegal	SG	Wallis & Futuna	WF
Serbia & Montenegro	YI	West Bank	WB
Seychelles	SE	Western Sahara	WI
Sierre Leone	SL	Yemen	YM
Singapore	SN	Zambia	ZA
Slovakia	LO	Zimbabwe	ZI
Slovenia	SI	Unknown	XX
Solomon Island	BP	Various (more than one)	XV
Somalia	SO		
South Africa	SF		
S. Georgia & S. Sandwich Islands	SX		

Attachments - Standard Abbreviations

Word Abbreviation

Accounting ACCTG
Accounts ACCTS
Administration ADMIN
Air Force Base AFB
Apartment APT
American AMER
Associates ASSOC
Association ASSN
Avenue AVE
Bank BK
Banking BKG
Branch BR
Broadway BWY
Building BLDG
Casualty CASLTY
Center CTR
Certificate CERT
Certificate of Deposit CD
Circle CRL
Commerce CMRC
Commission COMM
Company CO
Comptroller COMPT
Consolidated CONS
Construction CONST
Corporation CORP
Cooperative
COOP
County CNTY
Court CT
Credit Union CU
Department DEPT
Deposit DEP
Distributor, Distributing, DISTB
District DIST
Division DIV
Drive DR
East, Eastern E
Electrical ELEC
Exchange XCHG
Federal FED
Federal Credit Union FCU
Finance FIN
Financial FINCL
First National Bank FNB
Foreign FORGN
General GEN
Government GOVT
Group GRP
Headquarters HDQTRS

Highway HWY
Hospital HOSP
Incorporated INC

Word Abbreviation

Industry(ies) INDUST
Information INFO
Institute, Institution INST
Insurance INS
International INT
Lane LN
Limited LTD
Management MGMT
Manufacturers MFTRS
Manufacturing MFG
Market MKT
Municipal MUN
Mutual MUTL
National NAT
Northeast NE
Northern, North NO
Northwest NW
Organization ORG
Park PK
Place PL
Plaza PLZ
Post Office PO
Railroad RR
Realty RLTY
Road RD
Room RM
Route RT
Savings SAV
Savings and Loan SL
Security SEC
Service SERV
Southeast SE
Southern, South SO
Southwest SW
Street ST
Suite STE
Transportation TRANS
Trust TR
University UNIV
US Air Force USAF
US Army USA
US Coast Guard USCG
US Marine Corps USMC
US Navy USN
Village VLGE
Western, West W

Note: All abbreviations listed may be changed from singular to plural, and vice versa, by the addition or deletion of the letter 's'.

Attachments - Name Editing Instructions

- A. Delete any titles, prefixes, suffixes or other descriptive information such as Mr., Mrs., Dr., Reverend, Partner, or Trustee. Do not delete suffixes which distinguish family members such as Jr., Sr., III or IV. Suffixes should be edited to follow the middle initial (e.g. Doe\ John\ L Jr).
- B. Delete all punctuation (e.g., 'JR.' would be submitted as 'JR').
- C. Do not use the following words in fields:
- a. THE
 - b. SEE ABOVE
 - c. SAME AS ABOVE
 - d. SAME
 - e. COMPUTER GENERATED
 - f. SIGNATURE CARD
 - g. NONE
 - h. NON CUSTOMER
 - i. CUSTOMER
 - j. T/A
 - k. VARIOUS
 - l. OTHER
 - m. N/A
 - n. UNKNOWN
- D. Spanish surnames. Care must be taken in formatting Spanish surnames as the names are usually written in the order of first name, father's last name, and then mother's last name, i.e., Juan Vega Santiago. The father's last name, Vega would be used as the last name; however, both last names should be retained. Example: Vega/Santiago/Juan.
- E. Place a slash (/) before each name (including suffixes) except the first surname (e.g., White/Elizabeth/A) but not between compound names such as 'Van Gogh'.
- F. If only the surname of an individual is present, then place a slash after it (e.g., Jones/).
- G. If a non-individual is listed, do not enter slashes between names. Delete the word, 'The' whenever it appears. Drop the subdivision name (e.g., 'The First National Bank of Chicago-Manchester Branch' will be 'FNB of Chicago-Manchester').

Definition of Terms

AKA Also known as

b Denotes a blank position. Enter blanks(s) when this symbol is used.

Corrected A report which is used to correct a **Report** that was previously filed.

Currency For SARSF purposes, currency is the coin and paper money of the United States or any country, which is circulated and customarily used and accepted as money.

DBA Doing Business As

DCC The Detroit Computing Center

EIN Employer Identification Number

File For purposes of this procedure, a file consists of all magnetic tape, cartridge or diskette records submitted by a transmitter.

SARSF Suspicious Activity Report By the Securities and Futures Industry, FinCEN Form 101.

SSN Social Security Number

Subject For SARSF purposes, a Subject is a person with questionable/suspicious activities.

Transmitter Person(s) or organization(s) who prepare the magnetic files.