U.S. Department of the Treasury
Internal Revenue Service
Detroit Computing Center - (DCC)

SAR PC Software User Guide

Version 5.0

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Overview

The SAR PC Program was originally developed to aid Financial Institutions in the paperless preparation of Suspicious Activity Reports. The fifth version of this program has been upgraded to include the following:

- Improved Importing and Exporting Capabilities
- Improved SAR Printing Capabilities
- New Reports
- Ability to import SARs from SAR Version 1.0, SAR Version 2.0, SAR Version 3.0 and SAR Version 4 software packages
- Allows for multiple user environments

All questions regarding the use of the SAR Software should be directed to the following:

IRS-Detroit Computing Center Help Desk
Business Phone: (313) 234-2000

System Requirements

The minimum systems requirements are listed below:

- Pentium Processor
- 16 Mb RAM
- Hard Drive with 30 Mb
- CD-ROM Drive
- 3.5” HD floppy disk drive
- VGA color monitor
- Windows 98 or Higher
- Mouse
- Printer

Note: *If your computer is part of a networked environment with installation privileges for software limited to System Administrators, you may not be able to install this software. If you get an error while installing this software, contact your System Administrator for help.*

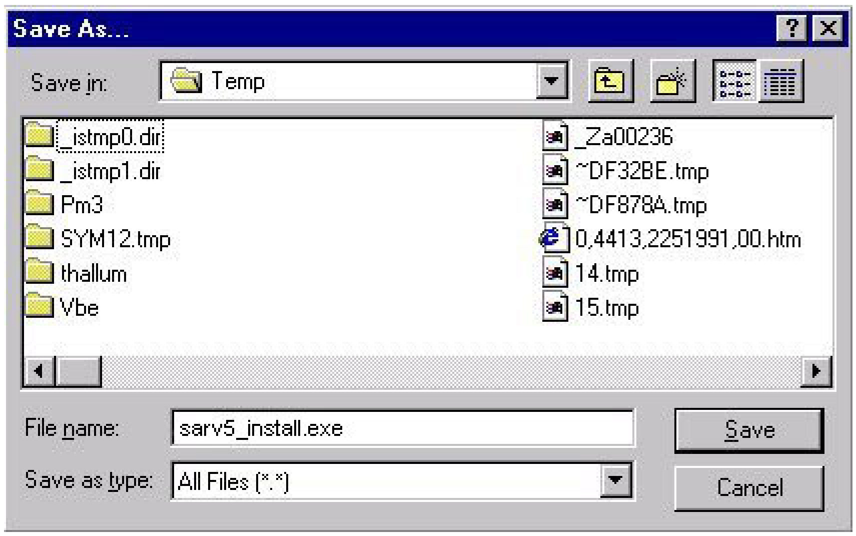
Installing & Running SAR Version 5.0

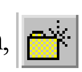
* ***Please see the FinCEN Website to view information about important updates needed for Windows 98, NT, 2000 and XP. If you do not download and install the necessary updates, the SAR Version 5.0 software will not work correctly.***

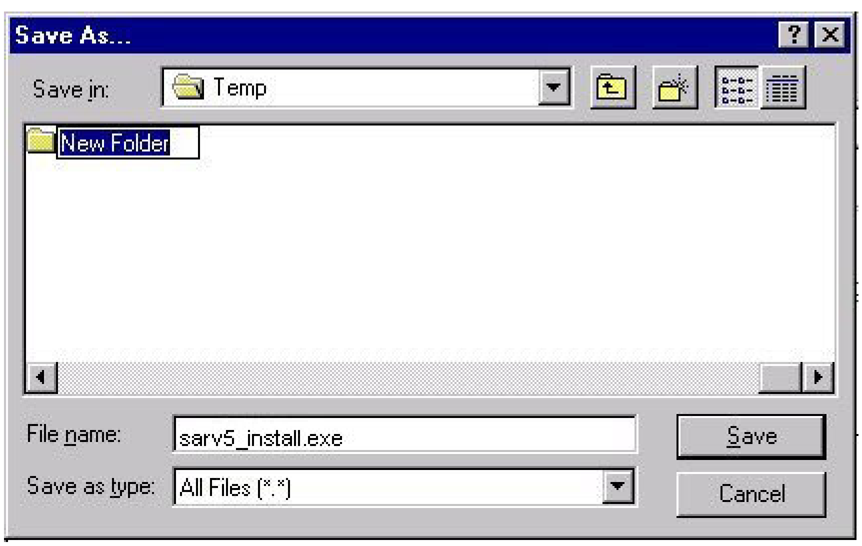
To install the software from the FinCEN Website, follow the steps listed below:

- Download the self-extracting executable file into a NEW Directory by clicking on the sarv5_install.exe link.

  When you click on the sarv5_install.exe, a ***Save As*** Dialog Box will appear similar to the one below:



Create a new directory by clicking on the ***New Folder*** Icon,  within the ***Save As*** Dialog Box. The ***Save As*** Dialog Box's appearance will change by creating a new folder with its name highlighted:



Change the name to something meaningful (e.g. SARv5Install) and press the ***RETURN*** or ***ENTER*** Key on your keyboard to save the folder name.

Move into the folder by double-clicking with your left mouse button on the newly created folder.

Click the ***Save*** Button 

and the executable will be saved into your newly created directory.

- Extract and run the setup program automatically by executing **sarv5_install.exe**.

  In Windows 98, Windows NT, Windows 2000 and XP, click on the START Button and select ***RUN***. If you know the path name to the executable, type it into the box shown; otherwise, locate the executable using the ***BROWSE*** Button.

- Once the setup program is complete, the program will be installed into the directory you specified; the default is C:\Program Files\SAR Version 5.

- Invoke the program by clicking on the ICON labeled ***SAR Version*** 5 under the ***START/ Programs*** Menu.

Maneuvering Through SAR Version 5.0

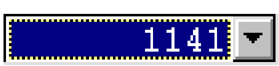
The following list describes common commands that work throughout the system:

Keyboard Commands	**Response**
TAB	Move forward one field
Shift+TAB	Move backward one field
Ctrl+C	Copy selected text
Ctrl+V	Paste selected text
Ctrl+X	Cut/Delete selected text

The following section shows the different types of objects used in the software and gives a brief description of each:

System Objects	**Data/Response Expected**

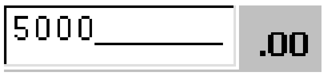
Command Buttons	Use the mouse to click on a Command Button.



Combo Boxes	Use the mouse to click on the arrow to show all the contents of the Combo Box. Use the mouse to select one of the options within the Combo Box.

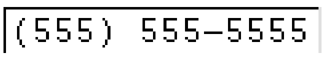
Check Boxes	Use the mouse to select/deselect a Check Box.

Date Fields	Enter the dates in MM/DD/YYYY format.



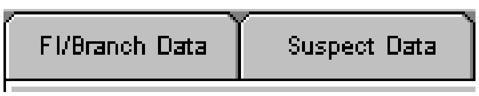
Money Fields

Enter monetary amounts using numeric input only. The field will not accept any other type of input. Decimals or commas are not allowed.



Phone Fields

Enter the phone numbers in (###) ###-#### format. The field will only accept numeric input.

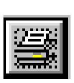


Section Tabs

These tabs resemble the tabs in a file folder. To move to different parts of the SAR and the User Defaults, use the mouse to click on the tab of the section you wish to work with.

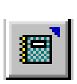
Tool Tips/Hints

When the mouse cursor is placed over a Command Button, a Tool Tip/Hint will appear that gives more information about what will happen if the Command Button is clicked.



Print Button

When viewing a report using Print Preview, this button will allow you to print the report. Click on this button with the mouse and a print dialog box will appear.



Export Button

When viewing a report using Print Preview, this button will allow you to export the report to a text or HTML file. It is important to note that the report may not appear exactly as shown on the screen when using this option.

Zoom Box

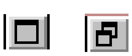
When viewing a report using Print Preview, this box will allow you to adjust the size of the report in the viewing window.

Page Buttons

When viewing a report using Print Preview, these buttons will allow you to maneuver through the pages of the report. The button on the far left moves to the beginning of the report and the button on the far right moves to the end of the report. The inside button that points to the left moves one page to the left and the inside button that points to the right moves one page to the right.

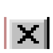
Minimize Button

When using the system, this button will allow you to minimize the window.



Maximize Buttons

When using the system, these buttons allow you to maximize and change the size of your window. The first button with one box allows the window to take the entire space of your computer screen. The second button with two boxes reduces the size of the window in the space of your computer screen. You are then able to move the window around within the computer screen.



Close Button

When using the system, this button allows you to close the window that was most recently opened.

Main Menu Screen

The Main Menu Screen is the starting point for the software. You can reach every option within the system from the Main Menu Screen. Please see Exhibit A.1 for an example of this screen. The following list explains the purpose of each option within the system:

Option	Purpose
User Defaults	The user should use the User Defaults section to enter information about the Financial Institution, Branches within the Financial Institution and the system printing defaults. The User Defaults section must be filled out before the system will allow you to enter any SAR information.
Create a New SAR	Use this option to begin work on a new SAR. This option will not function until the User Defaults have been filled out.
Work on an Old SAR	Use this option to retrieve an old SAR and continue working on it. You may also use this option to retrieve a SAR that has already been filed. If the SAR has been filed, the system will make a copy of it and add it as a new record.
Print SARs	Use this option to print the full SAR. This option also allows you to print multiple SARs.
Reports	Use this option to choose from a variety of reports to print. The following report options are available: • SAR List • Suspect List • State and Zip Code List • Country Code List
Create SAR Diskette	Use this option to create a diskette to send the SARs to Detroit or create a backup of your SARs.
Import SARs	Use this option to import SARs into your system that were created on another system or in a previous software version.
Delete SARs	Use this option to delete existing SARs.
Exit	Use this option to leave the system.

User Defaults Section

The User Defaults Section allows the user to input the default information for the Financial Institution, Branches within the Financial Institution and the system print defaults. To enter this section, click the ***User Defaults*** Button on the Main Menu Screen. This section must be filled out before the system will allow the creation of a SAR report. Only one Financial Institution may be stored in this system. Multiple Branches are allowed. The following table gives information about the fields that are displayed on the User Default Screens. Please see Exhibits A.2 - A.4 in Appendix A for an example of these screens.

Financial Institution Information Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Financial Institution Name	Financial Institution	The Name of the Financial Institution.	YES
Primary Federal Regulator	Financial Institution	Use the mouse to select one of the five regulators.	YES
Address	Financial Institution	Address of the Financial Institution using any combination of text and numbers.	YES
City	Financial Institution	City of the Financial Institution using any combination of text and numbers.	YES
State	Financial Institution	State of the Financial Institution. A two character entry is expected.	YES
Zip Code	Financial Institution	Zip Code of the Financial Institution. A five or nine digit entry is expected.	YES
EIN	Financial Institution	EIN of the Financial Institution. A nine digit entry is expected.	YES
Transmitter Control Code	Financial Institution	Transmitter Control Code that has been assigned by the DCC. An eight character entry is expected.	YES

Branch Information Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Branch Number	Branch	The Branch Number assigned to the Branch. A numeric entry is expected.	YES
Address	Branch	The Address of the Branch.	YES
City	Branch	The City where the Branch is located.	YES
State	Branch	The State where the Branch is located. A two character entry is expected.	YES
Zip Code	Branch	The Zip Code where the Branch is located. A five or nine digit entry is expected.	YES
If Closed, Date Closed	Branch	The date that the Branch closed. The entry is expected to be in MM/DD/YYYY format.	NO
Contact Last Name	Branch	The Last Name of the Contact Person at the Branch.	YES
Contact First Name	Branch	The First Name of the Contact Person at the Branch.	YES
Contact Middle Initial	Branch	The Middle Initial of the Contact Person at the Branch.	NO
Title/Occupation	Branch	The Job Title of the Contact Person at the Branch.	YES
Phone Number	Branch	The Phone Number of the Contact Person at the Branch. A phone number in (###) ###-#### format is expected.	YES
Agency	Branch	If not filed by Financial Institution, the Agency with whom the Contact Person is affiliated.	NO

Print Options Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Always show "Print Preview" Screen	Print Option	Use the mouse to select this box. If selected, reports will be shown on the screen before they are sent to the printer.	NO
Always show "Confirm Print" Dialog	Print Option	Use the mouse to select this box. If selected, a dialog box will appear to confirm printing of reports. This box will automatically be grayed out if the "Always show Print Preview Screen" box is selected.	NO

General Instructions for User Defaults

How to Add the Financial Institution Information:

1. Click on the ***Financial Institution*** Section Tab.
2. Enter the required information in the expected format.
3. Click the ***Save*** Button when finished entering the information.

How to Edit the Financial Institution Information:

1. Click on the ***Financial Institution*** Section Tab.
2. Edit the information as follows:
   - If you are editing a text, phone number, date, or money field, click within the box to place the cursor. Use the ***Backspace*** or ***Delete*** Key to remove the current information. Type in your new information.
   - If you are editing a check box, use the mouse to select or deselect the check box.
   - If you are editing a combo box, use the mouse to select the arrow to display the entire contents of the combo box. Use the mouse to choose your new selection from the combo box.
3. Click the ***Save*** Button when finished editing the information.

* If you edit the Financial Institution Information after you have already filed SARs with the DCC, the Financial Institution Information for the filed SARs will not change to the new information. If you have created SARs, but have not filed them, they will have the latest Financial Institution Information when they are filed. If this happens, the system will return a message that states:

"You have # SARs that you have not filed yet. Changing your default Financial Institution information will put that information onto your unfiled SARs when you create your diskette. Do you wish to continue?", where # equals the total number of unfiled SARs.

If this is what you want to do, click the ***Yes*** Button, otherwise click the ***No*** Button.

How to Print the Financial Institution Information:

1. Click on the ***Financial Institution*** Section Tab.
2. Click on the ***Print*** Button that resides within the ***Financial Institution*** Section.
3. If you have the ***Print Preview*** option selected, the "Financial Institution Information Report" will appear on the screen. See Exhibit A.5 for an example of how this report will appear on the screen. To print this report, click the ***Print*** Button. The ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation.
4. If you have the ***Confirm Print*** option selected, the ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation. When the report is sent to

the printer, a message box will appear that states "Your default Financial Institution Information has been sent to print." Click the ***OK*** Button in the message box to continue.

How to Add a Branch:

1. Click on the ***Branch*** Section Tab.
2. Click on the ***New*** Button.
3. Enter the Branch Number in the Dialog Box that appears and then click the ***OK*** Button.
4. Enter the required information in the expected format.
5. Click the ***Save*** Button when finished entering the information.

How to Edit a Branch:

1. Click on the ***Branch*** Section Tab.
2. Edit the information as follows:
   - If you are editing a text, phone number, date, or money field, click within the box to place the cursor. Use the ***Backspace*** or ***Delete*** Key to remove the current information. Type in your new information.
   - If you are editing a check box, use the mouse to select or deselect the check box.
   - If you are editing a combo box, use the mouse to select the arrow to display the entire contents of the combo box. Use the mouse to choose your new selection from the combo box.
3. Click the ***Save*** Button when finished editing the information.

How to Move through multiple Branches:

1. Click on the ***Branch*** Section Tab.
2. To move forward through the Branches, click the ***Next*** Button.
3. To move backward through the Branches, click the ***Previous*** Button.

How to Delete a Branch:

1. Click on the ***Branch*** Section Tab.
2. Use the ***Next*** and ***Previous*** Buttons to move to the Branch that you want to delete.
3. Click the ***Delete*** Button.

How to Print the current Branch:

1. Click on the ***Branch*** Section Tab.
2. Click the ***Print*** Button that resides within the ***Branch*** Section.
3. If you have the ***Print Preview*** option selected, the "Current Branch Information Report" will appear on the screen. See Exhibit A.6 for an example of how this report will appear on the screen. To print this report, click the ***Print*** Button. The ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation.

4. If you have the ***Confirm Print*** option selected, the ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation. When the report is sent to the printer, a message box will appear that states "The current branch information has been sent to print." Click the ***OK*** button in the message box to continue.

How to set the Printing Defaults:

1. Click on the ***Print Options*** Section Tab.
2. To change the ***Print Preview*** option, use the mouse to select or deselect the check box.
3. To change the ***Confirm Print*** option, use the mouse to select or deselect the check box.

How to Print all the User Default Information:

1. Click on the ***Print All Defaults*** Button that resides near the bottom of the screen, next to the ***Return to Main Menu*** Button.
2. If you have the ***Print Preview*** option selected, the "Default Information Report" will appear on the screen. See Exhibit A.7 for an example of how this report will appear on the screen. To print this report, click the ***Print*** Button. The ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation.
3. If you have the ***Confirm Print*** option selected, the ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation. When the report is sent to the printer, a message box will appear that states "Your default information has been sent to print." Click the ***OK*** Button in the message box to continue.

Return to the Main Menu Screen:

1. Click the ***Return to Main Menu*** Button.

Create a New SAR Section

The Create a New SAR Section allows the user to add new SARs to the system. When a SAR is created, the user needs to remember that up to 99 Suspects are allowed per SAR. The Narrative part of the SAR will hold approximately 32K or 32,000 bytes. For reference purposes, 1 byte is generally equivalent to 1 character. To enter this section, click the ***Create a New SAR*** Button on the Main Menu Screen. The following tables give information about the fields that are displayed on the SAR Information Screens. Please see Exhibits A.8 - A.14 in Appendix A for an example of these screens.

FI/Branch Data Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Check box below only if correcting a prior report	FI/Branch Data	Check if Corrected Report.	NO
Name of Financial Institution	FI/Branch Data	Automatically retrieved from User Defaults.	YES
EIN	FI/Branch Data	Automatically retrieved from User Defaults.	YES
Address of Financial Institution	FI/Branch Data	Automatically retrieved from User Defaults.	YES
Primary Federal Regulator	FI/Branch Data	Automatically retrieved from User Defaults.	YES
City	FI/Branch Data	Automatically retrieved from User Defaults.	YES
State	FI/Branch Data	Automatically retrieved from User Defaults.	YES
Zip	FI/Branch Data	Automatically retrieved from User Defaults.	YES
Branch Code	FI/Branch Data	Select the Branch Code from the Combo Box.	NO
Address of Branch Office(s) where activity occurred	FI/Branch Data	The Address of the Branch Office.	YES
Multiple Branches	FI/Branch Data	Check if multiple branches were involved.	NO
City	FI/Branch Data	The City where the Branch Office resides.	YES
State	FI/Branch Data	The State where the Branch Office resides. A two character abbreviation is expected.	YES
Zip	FI/Branch Data	The Zip Code where the Branch Office resides. A five or nine digit numeric entry is expected.	YES
If institution closed, date closed	FI/Branch Data	The date that the institution closed, if applicable. A date in MM/DD/YYYY format is expected.	NO
Account number(s) affected, if any	FI/Branch Data	The Account Numbers of any affected account. There are four input boxes for a maximum of four account number entries.	NO
Account(s) closed	FI/Branch Data	Check Yes or No for any of the four affected accounts.	NO

Suspect Data Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Suspect Information Unavailable	Suspect Data	Check if no Suspect data is available. All other Suspect fields will be grayed out if this box is checked.	NO
Last Name or Name of Entity	Suspect Data	The Last Name of the Suspect or the Entity.	NO
First Name	Suspect Data	The First Name of the Suspect.	NO
Middle	Suspect Data	The Middle Initial of the Suspect.	NO
Address	Suspect Data	The Address of the Suspect or Entity.	NO
SSN, EIN, or TIN	Suspect Data	The SSN, EIN or TIN of the Suspect or Entity.	NO
City	Suspect Data	The City where the Suspect or Entity resides.	NO
State	Suspect Data	The State where the Suspect or Entity resides. A two character abbreviation is expected.	NO
Zip Code	Suspect Data	The Zip Code where the Suspect or Entity resides. A five or nine digit numeric entry is expected.	NO
Country	Suspect Data	The Country where the Suspect or Entity resides. A two character abbreviation is expected.	NO
Date of Birth	Suspect Data	The Date of Birth of the Suspect. The date is expected to be in MM/DD/YYYY format.	NO
Admission/Confession	Suspect Data	Check Yes if the Suspect made an admission or confession. Otherwise, check No.	NO
Phone Number - Residence	Suspect Data	The Home Phone Number of the Suspect . The phone number is expected to be in (###) ###-#### format.	NO
Phone Number - Work	Suspect Data	The Work Phone Number of the Suspect. The phone number is expected to be in (###) ###-#### format.	NO
Occupation/Type of Business	Suspect Data	The Occupation of the Suspect or the Type of Business of the Entity.	NO

* If no suspect was identified on the date of detection of the incident requiring the filing, a Financial Institution may delay filing a Suspicious Activity Report (SAR) 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. Due to the importance of this information, it is hoped that all possible measures will be taken to identify the suspect biographical data.

Suspect Data Cont Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Forms of Identification for Suspect	Suspect Data Cont.	Check one of the following Identification Types: 1. Driver's License/State ID 2. Passport 3. Alien Registration 4. Other - if checked, include description of the ID	NO
Number	Suspect Data Cont.	The number from the Identification.	NO
Issuing Authority	Suspect Data Cont.	The state/country that issued the ID. A two character abbreviation is expected.	NO
Relationship to Financial Institution	Suspect Data Cont.	Check a maximum of four of the following: 1. Accountant 2. Agent 3. Appraiser 4. Attorney 5. Borrower 6. Broker 7. Customer 8. Director 9. Employee 10. Officer 11. Shareholder 12. Other - if checked, include description of relationship	NO
Is the relationship an insider relationship	Suspect Data Cont.	If the Suspect was an insider, check Yes. If you check Yes, check only one of the following: Still Employed at Financial Institution, Terminated, Suspended or Resigned. If the Suspect was not an insider, check No.	NO
Date of Suspension, Termination, Resignation	Suspect Data Cont.	If the Suspect was Suspended, Terminated or Resigned, enter the date. A date in MM/DD/YYYY format is expected.	NO

Field Name	***Section Tab***	***Data Expected***	***Field Required***
From Date of suspicious activity	SAR Data	The beginning date that the suspicious activity occurred. A date in MM/DD/YYYY is expected.	YES
To Date of suspicious activity	SAR Data	The ending date that the suspicious activity occurred. A date in MM/DD/YYYY format is expected. If the suspicious activity occurred only on one day, do not enter any information in this box.	NO
Total dollar amount involved in known or suspicious activity	SAR Data	The amount of money involved in the suspicious activity. A numeric entry is expected. No commas or decimals are allowed.	NO
Suspicious Activity Type	SAR Data	Check a maximum of ten of the following: 1. Bank Secrecy Act/Structuring/Money Laundering 2. Bribery/Gratuity 3. Check Fraud 4. Check Kiting 5. Commercial Loan Fraud 6. Computer Intrusion 7. Consumer Loan Fraud 8. Counterfeit Check 9. Counterfeit Credit/Debit Card 10. Counterfeit Instrument (other) 11. Credit Card Fraud 12. Debit Card Fraud 13. Defalcation/Embezzlement 14. False Statement 15. Misuse of Position or Self Dealing 16. Mortgage Loan Fraud 17. Mysterious Disappearance 18. Wire Transfer Fraud 19. Other 20. Terrorist Financing 21. Identity Theft	YES (at least one must be checked)

SAR Data Cont Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Amount of loss prior to recovery	SAR Data Cont.	The amount of money lost prior to recovery. A numeric entry is expected. No commas or decimals are allowed.	NO
Dollar amount of recovery	SAR Data Cont.	The amount of money recovered. A numeric entry is expected. No commas or decimals are allowed.	NO
Has the suspicious activity had a material impact on, or otherwise affected the financial soundness of the institution	SAR Data Cont.	If the activity had a material impact or affected the financial soundness or the institution, check Yes. Otherwise, check No.	NO
Has the institution's bonding company been notified	SAR Data Cont.	If the bonding company has been notified, check Yes. Otherwise, check No.	NO
Has any enforcement agency already been advised by telephone, written communication or otherwise	SAR Data Cont.	Check any or all of the following: 1. DEA 2. FBI 3. IRS 4. Postal Inspection 5. Secret Service 6. U.S. Customs 7. Other Federal 8. State 9. Local * If Other Federal, State or Local, include the Agency Name in the box provided.	NO
Name of person(s) contacted at Law Enforcement Agency	SAR Data Cont.	These names should be people that were contacted about the suspicious activity. There are two input boxes for a maximum of two contact name entries.	NO
Phone Number	SAR Data Cont.	The phone numbers for any of the contact persons. The phone numbers are expected to be in (###) ###-#### format.	NO

Contact Data Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Last Name	Contact Data	The Last Name of the Contact. This information is automatically retrieved from the User Defaults when a Branch is selected. It can be edited.	NO
First Name	Contact Data	The First Name of the Contact. This information is automatically retrieved from the User Defaults when a Branch is selected. It can be edited.	NO
Middle Initial	Contact Data	The Middle Initial of the Contact. This information is automatically retrieved from the User Defaults when a Branch is selected. It can be edited.	NO
Title	Contact Data	The Title of the Contact. This information is automatically retrieved from the User Defaults when a Branch is selected. It can be edited.	NO
Phone Number	Contact Data	The Phone Number of the Contact. This information is automatically retrieved from the User Defaults when a Branch is selected. It can be edited.	NO
Date	Contact Data	The date that the SAR was filed. The current system date is captured by the system.	YES
Agency (if not filed by financial institution)	Contact Data	The Agency that the Contact Person is affiliated with.	NO

Narrative Tab:

Field Name	***Section Tab***	***Data Expected***	***Field Required***
Explanation/Description	Narrative	The explanation/description of the suspicious activity.	YES

General Instructions for SAR Creation

How to Add the SAR Data:

1. Click on the ***FI/Branch***, ***SAR Data***, ***SAR Data Cont., Contact Data*** and ***Narrative*** Section Tabs to input the information in the expected formats.
2. See below to add Suspect Data.
3. Click on the ***Save*** Button that resides at the bottom of the screen, to the left of the ***Return to Main Menu*** Button when finished entering the information.

How to Edit the SAR Data:

1. Click on the ***FI/Branch***, ***SAR Data***, ***SAR Data Cont., Contact Data*** or ***Narrative*** Section Tabs.
2. Edit the information as follows:
   - If you are editing a text, phone number, date, or money field, click within the box to place the cursor. Use the ***Backspace*** or ***Delete*** Key to remove the current information. Type in your new information.
   - If you are editing a check box, use the mouse to select or deselect the check box.
   - If you are editing a combo box, use the mouse to select the arrow to display the entire contents of the combo box. Use the mouse to choose your new selection from the combo box.
3. See below to edit Suspect Data.
4. Click on the ***Save*** Button that resides at the bottom of the screen, to the left of the ***Return to Main Menu*** Button when finished editing the information.

How to Print SARs that have only one Suspect:

1. From any Section Tab, click the ***Print*** Button that resides at the bottom of the screen, to the right of the ***Return to Main Menu*** Button.
2. If you have the ***Print Preview*** option selected, the "SAR Part 1" Report will appear on the screen. See Exhibit A.15 for an example of how this report will appear on the screen. To print this report, click the ***Print*** Button. The ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation.
3. If you have the ***Confirm Print*** option selected, the ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation. When the report has been sent to the printer, a message box will appear that states "Your SAR has been sent to print." Click the ***OK*** Button in the message box to continue.

How to Print SARs that have multiple Suspects:

1. From any Section Tab, click the ***Print*** Button that resides at the bottom of the screen, to the right of the ***Return to Main Menu*** Button.
2. A message box will appear that states "Since there is more than one suspect associated with this

SAR, your SAR will come us as two separate reports. First print the main SAR with the first suspect, the print the remaining suspect(s)."

What this message means to you is that two reports will appear on the screen. The "SAR Part 1" Report will appear first. The "Multiple Suspects" Report will appear on the screen when you close the "SAR Part 1" Report.

3. If you have the ***Print Preview*** option selected, the "SAR Part 1" Report will appear on the screen. See Exhibit A.15 to for an example of how this report will appear on the screen. To print this report, click the ***Print*** Button. The ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation.
4. Once you are finished with the "SAR Part 1" Report, click the ***Close*** Button to close it. The "Multiple Suspects" Report will now appear on the screen. See Exhibit A.16 for an example of how this report will appear on the screen. To print this report, click the ***Print*** Button. The ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation.
5. If you have the ***Confirm Print*** option selected, the ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation. At this point, both the "SAR Part 1" and "Multiple Suspects" Reports will be sent to the printer. Once the reports have been sent, a message box will appear that states "Your SAR has been sent to print." Click the ***OK*** Button in the message box to continue.

How to Add a Suspect:

1. Click on the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab.
2. Everytime that you start a new SAR, the system will be ready to accept the first Suspect without the user having to click the ***New*** Button. Please remember that this only works for the first Suspect. If you need to add more than one Suspect to the SAR, you will have to click the ***New*** Button to reset the fields so that they will accept the additional Suspect Data.
3. Because of the size of the Suspect Data, it was necessary to separate the Suspect Data between two Section Tabs. To enter all the information for the Suspect Data, you will find it necessary to click between the two Suspect Section Tabs.
4. Click the ***Save*** Button that resides within the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab when finished entering the information.

How to Edit a Suspect:

1. Click on the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab.
2. Edit the information as follows:
   - If you are editing a text, phone number, date or money field, click within the box to place the cursor. Use the ***Backspace*** or ***Delete*** Key to remove the current information. Type in your new information.
   - If you are editing a check box, use the mouse to select or deselect the check box.
   - If you are editing a combo box, use the mouse to select the arrow to display the entire

contents of the combo box. Use the mouse to choose your new selection from the combo box.

3. Click the ***Save*** Button that resides within the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab when finished editing the information.

How to Move through multiple Suspects:

1. Click on the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab.
2. To move forward through the Suspects, click the ***Next*** Button
3. To move backward through the Suspects, click the ***Previous*** Button.

How to Delete a Suspect:

1. Click on the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab.
2. Use the ***Next*** and ***Previous*** Buttons to move to the Suspect that you want to delete.
3. Click the ***Delete*** Button.

How to Print the current Suspect:

1. Click on the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab.
2. Click the ***Print*** Button that resides within the ***Suspect Data*** Section Tab or the ***Suspect Data Cont.*** Section Tab.
3. If you have the ***Print Preview*** option selected, the "Printing One Suspect" Report will appear on the screen. See Exhibit A.17 for an example of how this report will appear on the screen. To print this report, click the ***Print*** Button. The ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation.
4. If you have the ***Confirm Print*** option selected, the ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation. When the report is sent to the printer, a message box will appear that states "This suspect information has been sent to print." Click the ***OK*** Button in the message box to continue.

How to Print the Explanation:

1. Click on the ***Narrative*** Section Tab.
2. Click the ***Print Explanation*** Button.
3. If you have the ***Print Preview*** option selected, the "SAR Explanation/Narrative" Report will appear on the screen. See Exhibit A.18 for an example of how this report will appear on the screen. To print this report, click the ***Print*** Button. The ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation.
4. If you have the ***Confirm Print*** option selected, the ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation. When the report is sent to the printer, a message box will appear that states "Your explanation has been sent to print." Click the ***OK*** Button in the message box to continue.

How to Return to the Main Menu:

1. Click the ***Return to Main Menu*** Button.

Other Features Found in the SAR Data Entry Screens

How to Create a New Branch Entry While Working on a SAR:

1. Click on the ***FI/Branch Data*** Section Tab.
2. Click on the ***Add New Branch*** Button. See Exhibit A.19 for an example of this screen.
3. A Dialog Box will appear with the title ***Adding a new branch while working on a SAR***.
4. Enter the information for the new Branch using the expected formats.
5. Click the ***OK*** Button to save the information, or the ***Cancel*** Button to cancel the operation.

To View Help for the Narrative:

1. Click on the ***Narrative*** Section Tab.
2. Click the ***Help*** Button.
3. A Dialog Box will appear with the title ***Help for SAR Explanation***. See Exhibit A.20 for an example of this screen. After viewing it, click the ***OK*** button to return to the SAR Data Entry Screens.

To Paste the Narrative from another Software Package:

1. Select the text from the Software Package that you are using. An example would be Microsoft Word or WordPerfect.
2. Copy the text using the menu options in the Software Package or the Key Combination of CTRL+C.
3. Click on the ***Narrative*** Section Tab.
4. Click in the text area to place the cursor.
5. Paste the copied text by clicking on the ***Paste*** Button or using the Key Combination of CTRL+V.

Work on an Old SAR

General Information:

When you click on the ***Work on an Old SAR*** Button from the ***Main Menu*** Screen, a data grid will appear that contains all of the SARs that you have previously created. The data grid contains the following information about each SAR:

Column	Information Displayed
Date	Lists the Date that the SAR was input into the system
Time	Lists the Time that the SAR was input into the system
Branch	Lists the Branch Code
Suspect Last Name	Displays the Last Name of the Suspect
Exp?	Displays a Y if this SAR has been filed and sent to the DCC

To see an example of this data grid, please see Exhibit A.21

Sorting:

The Buttons at the top of each column allow you to sort the data grid. By default, the data grid is sorted by the Date column in Ascending order. What this means is that the oldest date is displayed first in the data grid. When you first look at the data grid, the Date button will have an arrow pointing up. This tells you that the column is sorted in Ascending order. If you wanted to sort in Descending order (the most recent date is displayed first), you would need to click the button once. The sort order will change. The direction of the arrow on the button will now be pointing down. This is your indicator that the sort has taken place. You may sort on any button at the top of the data grid.

How to Retrieve a SAR:

1. Click on the ***Work on an Old SAR*** Button from the Main Menu Screen.
2. Click on any SAR in the data grid to highlight it.
3. Click on the ***OK*** Button to select the SAR and continue into the SAR Data Entry Screens, or click the ***Cancel*** Button to return to the ***Main Menu*** Screen.
4. If the SAR that you have retrieved has already been filed with the DCC, you will not be allowed to make changes to the SAR. When you highlight the SAR and retrieve it, the system makes a copy of the SAR and allows you to edit the copy. When you click the ***Save*** Button to save the changes, the copy is saved with the new information and the filed SAR is left unchanged.
5. See the instructions for ***Creating a New SAR*** if you have questions about editing an Old SAR.

Printing SARs

General Information:

When you click on the ***Print SARs*** Button from the ***Main Menu*** Screen, a data grid will appear that contains all of the SARs that you have previously created. The data grid contains the following information about each SAR:

Column	Information Displayed
Date	Lists the Date that the SAR was input into the system
Time	Lists the Time that the SAR was input into the system
Branch	Lists the Branch Code
Suspect Last Name	Displays the Last Name of the Suspect
Exp?	Displays a Y if this SAR has been filed and sent to the DCC

To see an example of this data grid, please see Exhibit A.22

Sorting:

The Buttons at the top of each column allow you to sort the data grid. By default, the data grid is sorted by the Date column in Ascending order. What this means is that the oldest date is displayed first in the data grid. When you first look at the data grid, the Date button will have an arrow pointing up. This tells you that the column is sorted in Ascending order. If you wanted to sort in Descending order (the most recent date is displayed first), you would need to click the button once. The sort order will change. The direction of the arrow on the button will now be pointing down. This is your indicator that the sort has taken place. You may sort on any button at the top of the data grid.

How to Print a single SAR:

1. Click on the ***Print SARs*** Button from the Main Menu Screen.
2. Click on any SAR in the data grid to highlight it.
3. Click on the ***Print*** Button to select the SAR and send it to the printer, or click the ***Cancel*** Button to return to the ***Main Menu*** Screen.
4. If you have the ***Print Preview*** option selected, the “SAR Part 1” Report will appear on the screen. See Exhibit A.15 for an example of how this report will appear on the screen. To print this report, click the ***Print*** Button. The ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation.
5. If you have the ***Confirm Print*** option selected, the ***Print*** Dialog Box will appear. Click the ***OK***

Button to print the report or the ***Cancel*** Button to cancel the operation. When the report has been sent to the printer, a message box will appear that states "Your SAR(s) have been sent to print.". Click the ***OK*** Button in the message box to continue.

How to Print a single SAR with Multiple Suspects:

1. Click on the ***Print SARs*** Button from the Main Menu Screen.
2. Click on any SAR in the data grid to highlight it.
3. Click on the ***Print*** Button to select the SAR and send it to the printer, or click the ***Cancel*** Button to return to the ***Main Menu*** Screen.
4. A message box will appear that states "Since there is more than one suspect associated with this SAR, your SAR will come up as two separate reports. First print the main SAR with the first suspect, then print the remaining suspect(s)."

   What this message means to you is that two reports will appear on the screen. The "SAR Part 1" Report will appear first. The "Multiple Suspects" Report will appear on the screen when you close the "SAR Part 1" Report.

5. If you have the ***Print Preview*** option selected, the "SAR Part 1" Report will appear on the screen. See Exhibit A.15 to for an example of how this report will appear on the screen. To print this report, click the ***Print*** Button. The ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation.
6. Once you are finished with the "SAR Part 1" Report, click the ***Close*** Button to close it. The "Multiple Suspects" Report will now appear on the screen. See Exhibit A.16 for an example of how this report will appear on the screen. To print this report, click the ***Print*** Button. The ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation.
7. If you have the ***Confirm Print*** option selected, the ***Print*** Dialog Box will appear. Click the ***OK*** Button to print the report or the ***Cancel*** Button to cancel the operation. At this point, both the "SAR Part 1" and "Multiple Suspects" Reports will be sent to the printer. Once the reports have been sent, a message box will appear that states "Your SAR has been sent to print.". Click the ***OK*** Button to continue.
8. To Return to the Main Menu, click the ***Cancel*** Button.

How to Print multiple SARs:

1. Click on the ***Print SARs*** Button from the Main Menu Screen.
2. Click on multiple SARs in the data grid to highlight them. To select multiple SARs, use one of the following techniques:
   A. Click on the first SAR with the mouse and hold the mouse button down. Drag the mouse pointer to the last record that you want to print and then let the mouse button go. All the records between the first SAR selected and the last SAR selected should be highlighted.
   B. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***SHIFT*** Key and move the mouse pointer to the last record that you want to print. Click on it with

the mouse and then let the ***SHIFT*** Key go. All the records between the first SAR selected and the last SAR selected should be highlighted.

C. Click on the first SAR with mouse and let the mouse button go. Hold down the ***CTRL*** Key and move the mouse pointer over the next record that you want to print. Click on it with the mouse. Continue to do this until you have selected all the SARs that you want to print. After you have selected your last SAR, let the ***CTRL*** Key go. This method allows you to select SARs in any order. An example of this would be selecting the first, fifth and ninth SARs to print. Only those rows should be highlighted when this process has been completed.

3. Click on the ***Print*** Button to select the SARs and send them to the printer, or click the ***Cancel*** Button to return to the ***Main Menu*** Screen.
4. If you have the ***Print Preview*** option selected, all of your SARs will automatically be sent to the printer without any user interaction. Once the SARs have been sent, the system will return a message box that states "Your SAR(s) have been sent to print." Click the ***OK*** Button to continue.
5. If you have the ***Confirm Print*** option selected, the ***Printer*** Dialog Box will appear for each SAR that you have selected. If you selected five SARs to print, the Printer Dialog Box will appear only once. Click the ***OK*** Button to proceed or the ***Cancel*** button to cancel the print operation for all the SARs. Once the reports have been sent, a message box will appear that states "Your SAR(s) have been sent to print." Click the ***OK*** Button to continue.
6. To Return to the Main Menu click the ***Cancel*** Button.

Printing Reports

General Information:

When you click on the ***Reports*** Button from the ***Main Menu*** Screen, the SAR Queries and Reports Screen will appear with the following Command Button options:

Command Button	Purpose
SAR Report	Prints a report listing all of the SARs stored in the system.
Suspect Report	Prints a report listing all of the Suspects stored in the system.
Country Code Report	Prints a report listing Country Names and Abbreviations.
State & Zip Code Report	Prints a report listing States and Territory abbreviations within the United States and valid Zip Codes for each.
Return to Main Menu	Returns the user to the Main Menu Screen.

To see an example of this screen, please see Exhibit A.23.

How to Print the SAR Report:

1. Click the ***SAR Report*** Button from the ***SAR Queries and Reports*** Screen.
2. A Print Preview will always appear for this report. This is because this report could possibly span many pages and you may not want to print the whole report. See Exhibit A.24 for an example of how this report will appear on the screen.
3. To print the report, click on the ***Print*** Button. The ***Printer*** Dialog Box will appear. Notice on the bottom left of the dialog box is an option called ***Print Range***. Within the ***Print Range*** box, there are three options: ***All***, ***Page from # to #*** and ***Selection***. The default option will be ***All***. If you wish to only print certain pages, you can select the ***Page*** option and then type in the page range that you wish to print. If you would like to print only the first page, your option should appear as follows:

   Page to: 1 from: 1

   If you would like to print the fourth and fifth pages, your option should appear as follows:

   Page to: 4 from: 5

   The ***Selection*** option should be grayed out. Once you've made your ***Print Range*** options, click the ***OK*** Button to send the report to the printer or the ***Cancel*** Button to cancel the operation.
4. Click the ***Close*** Button on the report to return to the ***SAR Queries and Reports*** Screen.

How to Print the Suspect Report:

1. Click the ***Suspect Report*** Button from the ***SAR Queries and Reports*** Screen.
2. A ***Print Preview*** will always appear for this report. This is because this report could possibly span many pages and you may not want to print the whole report. See Exhibit A.25 for an example of how this report will appear on the screen.
3. To print the report, click on the ***Print*** Button. The ***Printer*** Dialog Box will appear. Notice on the bottom left of the dialog box is an option called ***Print Range***. Within the ***Print Range*** box, there are three options: ***All***, ***Page from # to #*** and ***Selection***. The default option will be ***All***. If you wish to only print certain pages, you can select the ***Page*** option and then type in the page range that you wish to print. If you would like to print only the first page, your option should appear as follows:

   Page to: 1 from: 1

   If you would like to print the fourth and fifth pages, your option should appear as follows:

   Page to: 4 from: 5

   The ***Selection*** option should be grayed out. Once you've made your ***Print Range*** options, click the ***OK*** Button to send the report to the printer or the ***Cancel*** Button to cancel the operation.
4. Click the ***Close*** Button on the report to return to the ***SAR Queries and Reports*** Screen.

How to Print the State & Zip Code Report:

1. Click on the ***State & Zip Code Report*** Button from the ***SAR Queries and Reports*** Screen.
2. A ***Print Preview*** will always appear for this report. This is because this report could possibly span many pages and you may not want to print the whole report. See Exhibit A.26 for an example of how this report will appear on the screen.
3. To print the report, click on the ***Print*** Button. The ***Printer*** Dialog Box will appear. Notice on the bottom left of the dialog box is an option called ***Print Range***. Within the ***Print Range*** box, there are three options: ***All***, ***Page from # to #*** and ***Selection***. The default option will be ***All***. If you wish to only print certain pages, you can select the ***Page*** option and then type in the page range that you wish to print. If you would like to print only the first page, your option should appear as follows:

   Page to: 1 from: 1

   If you would like to print the fourth and fifth pages, your option should appear as follows:

   Page to: 4 from: 5

   The ***Selection*** option should be grayed out. Once you've made your ***Print Range*** options, click the ***OK*** Button to send the report to the printer or the ***Cancel*** Button to cancel the operation.
4. Click the ***Close*** Button on the report to return to the ***SAR Queries and Reports*** Screen.

How to Print the Country Code Report:

1. Click on the ***Country Code Report*** Button from the ***SAR Queries and Reports*** Screen.
2. A ***Print Preview*** will always appear for this report. This is because this report could possibly span many pages and you may not want to print the whole report. See Exhibit A.27 for an example of how this report will appear on the screen.
3. To print the report, click on the ***Print*** Button. The ***Printer*** Dialog Box will appear. Notice on the bottom left of the dialog box is an option called ***Print Range***. Within the ***Print Range*** box, there are three options: ***All***, ***Page from # to #*** and ***Selection***. The default option will be ***All***. If you wish to only print certain pages, you can select the ***Page*** option and then type in the page range that you wish to print. If you would like to print only the first page, your option should appear as follows:

   Page to: 1 from: 1

   If you would like to print the fourth and fifth pages, your option should appear as follows:

   Page to: 4 from: 5

   The ***Selection*** option should be grayed out. Once you've made your ***Print Range*** options, click the ***OK*** Button to send the report to the printer or the ***Cancel*** Button to cancel the operation.
4. Click the ***Close*** Button on the report to return to the ***SAR Queries and Reports*** Screen.

How to Return to the Main Menu Screen:

1. Click the ***Return to Main Menu*** Button.

Creating SAR Diskettes

General Information:

- Drives are the letters assigned to the different storage devices in your computer system. <A> typically stands for the Floppy Diskette Drive and <C> typically stands for the Hard Drive. For the remainder of this section, they will be referred to as <A> and <C>. Directories are file storage locations on Drives. A Directory can be thought of as a folder. Within each Directory or folder, you can store files. The complete structure of a filename is as follows:

  [Drive]:\[Directory]\FileName

- To see an example of this screen, please see Exhibit A.28

- The data grid that is on the screen is similar to those you have encountered in other parts of the system. If desired, use the Buttons at the top of each column to sort the data. For an explanation on sorting, please see the sorting section in ***Working on an Old SAR*** or ***Printing SARs***.

- The File Information Section of this screen contains the following information:

Output File Name	Includes the File Name, along with the Drive and Directory locations.
Drive & Directory Box	Allows you to select the Drive and Directory where you would like to save the output file.
File Type/Purpose	Allows you to choose the type of file that you want to create. The options are to create a Backup/Consolidation File, to Create a Diskette for Mailing to the DCC or Other - Custom File Name.

- If you choose to create a Backup/Consolidation file or a Diskette for mailing, you cannot change the names of the files created. If you select the Custom File option, a dialog box will appear that allows you to type in any file name you would like. This dialog box is similar to those in other Windows Programs. The default Drive and Directory will be the one where your SAR Program was installed. If you want to save the file in a different location, you will need to change the Drive and Directory information.

- If you are creating a diskette for mailing, the file name will be SARMAG. If you are creating a backup or consolidation, the file name will be BACKUP. The Drive and Directory will vary. For example, if you wanted to create a diskette for mailing and were using the <A> Drive, the name in the ***Output File Name*** Box would be:

  A:\SARMAG

Another example is if you wanted to create a diskette for mailing, but wanted to store the SARMAG file to your <C> Drive in the Windows Directory until you are ready to copy the file to a Floppy Diskette, the name in the ***Output File Name*** Box would be:

C:\Windows\SARMAG

The same rules apply when creating backup or consolidation files. The only change for this would be the SARMAG file name would be replaced by the BACKUP file name. This would look as follows in the ***Output File Name*** Box:

A:\BACKUP
C:\Windows\BACKUP

If you created a custom file name, such as sardata.txt, examples of how it could appear in the ***Output File Name*** Box are shown:

A:\sardata.txt
C:\Windows\sardata.txt

- At the bottom of the screen, you have the option of choosing a date range for creating your files.

How to Create a Diskette for Mailing to the DCC:

1. If you want to save the file to the <A> Drive, the easiest thing to do is to insert the diskette into the <A> Drive before you click on the ***Create SAR Diskette*** Button from the ***Main Menu*** Screen. The ***Creating SAR(s)*** Screen will appear. The default option on this screen is to Create a Diskette for Mailing. Because of this, the system automatically tries to access the <A> Drive of your computer system. If there is no diskette present, an error message will return from the system that states:

   "There is an error with your a: drive. This is probably because there is no diskette in that drive. You can put a diskette in the drive and re-select a:".

   If you want to use a diskette, put one in the <A> Drive and then click the ***Retry*** Button. If you would like to save your file to the <C> Drive, click the ***Cancel*** Button. * ***If you save to the <C> Drive, make sure you copy the file to the <A> Drive before mailing the diskette to the DCC.***

2. If you are saving the file to the <A> Drive, all of the File Information options should already be set. The information should appear as follows:

   - Output File Name: A:\SARMAG
   - The Drive and Directory Box should show the <A> Drive selected
   - The File Type/Purpose should be Create Diskette for Mailing

If you are saving to any other Drive and/or Directory, your options will be set to the following:

- Output File Name: [Drive]:\[Directory]\SARMAG
- The Drive and Directory Box should show the Drive and Directory you have selected
- The File Type/Purpose should be Create Diskette for Mailing

3. At this point you would want to select the SARs to include in the SARMAG file. You have two options available to you, as described below:

   A. You may select the SARs from the data grid at the top of the screen. To accomplish this, use one of the following techniques:

      1. Click on the first SAR with the mouse and hold the mouse button down. Drag the mouse pointer to the last record that you want to include and then let the mouse button go. All the records between the first SAR selected and the last SAR selected should be highlighted.

      2. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***SHIFT*** Key and move the mouse pointer to the last record that you want to include. Click on it with the mouse and then let the ***SHIFT*** Key go. All the records between the first SAR selected and the last SAR selected should be highlighted.

      3. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***CTRL*** Key and move the mouse pointer over the next record that you want to include. Click on it with the mouse. Continue to do this until you have selected all the SARs that you want to include on the SARMAG file. After you have selected your last SAR, let the ***CTRL*** Key go. This method allows you to select SARs in any order. An example of this would be selecting the first, fifth and ninth SARs to include on the SARMAG file. Only those rows should be highlighted when this process has been completed.

   B. You may select the SARs by using the date range feature at the bottom of the screen. You must input a Start and End Date in MM/DD/YYYY format.

4. To create the SARMAG file, you must click one of the ***Create*** Buttons that is displayed on the screen. If you selected SARs using the data grid, click the ***Create*** Button just beneath it. If you selected SARs using the date range feature, click the ***Create*** Button at the bottom of the screen.

5. If you already have a SARMAG file stored in the Drive and Directory location, a message will return from the system that states:

   "File '[DRIVE]:\[DIRECTORY]\SARMAG' Already exists. Do you want to replace it?"

   Click the ***Yes*** Button to overwrite the existing file. Click the ***No*** Button to cancel the operation.

6. Once the SARMAG file has been created, the system will return a message that states:

   "Your file ([DRIVE]:\[DIRECTORY]\SARMAG) has been created."

   Click the ***OK*** Button in the message box. The system will return to the ***Main Menu*** Screen.

How to Create a Diskette For Backup:

1. If you want to save the file to the <A> Drive, the easiest thing to do is to insert the diskette into the <A> Drive before you click on the ***Create SAR Diskette*** Button from the ***Main Menu*** Screen. The ***Creating SAR(s)*** Screen will appear. The default option on this screen is to Create a Diskette for Mailing. Because of this, the system automatically tries to access the <A> Drive of your computer system. If there is no diskette present, an error message will return from the system that states:

   "There is an error with your a: drive. This is probably because there is no diskette in that drive. You can put a diskette in the drive and re-select a:".

   If you want to use a diskette to Backup your data, put one in the <A> Drive and then click the ***Retry*** Button. If you would like to Backup your file to the <C> Drive, click the ***Cancel*** Button.

2. Click the Backup or Consolidation FileType/Purpose.

3. If you are saving the file to the <A> Drive, all of the File Information options should be set. The information should appear as follows:

   - Output File Name: A:\BACKUP
   - The Drive and Directory Box should show the <A> Drive selected
   - The File Type/Purpose should be Backup or Consolidation

   If you are saving to any other Drive and/or Directory, your options will be set to the following:

   - Output File Name: [Drive]:\[Directory]\BACKUP
   - The Drive and Directory Box should show the Drive and Directory you have selected
   - The File Type/Purpose should be Backup or Consolidation

4. At this point you would want to select the SARs to include in the BACKUP file. You have two options available to you, as described below:

   A. You may select the SARs from the data grid at the top of the screen. To accomplish this, use one of the following techniques:

      1. Click on the first SAR with the mouse and hold the mouse button down. Drag the mouse pointer to the last record that you want to include and then let the mouse button

go. All the records between the first SAR selected and the last SAR selected should be highlighted.

2. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***SHIFT*** Key and move the mouse pointer to the last record that you want to include. Click on it with the mouse and then let the ***SHIFT*** Key go. All the records between the first SAR selected and the last SAR selected should be highlighted.

3. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***CTRL*** Key and move the mouse pointer over the next record that you want to include. Click on it with the mouse. Continue to do this until you have selected all the SARs that you want to include on the BACKUP file. After you have selected your last SAR, let the ***CTRL*** Key go. This method allows you to select SARs in any order. An example of this would be selecting the first, fifth and ninth SARs to include on the BACKUP file. Only those rows should be highlighted when this process has been completed.

B. You may select the SARs by using the date range feature at the bottom of the screen. You must input a Start and End Date in MM/DD/YYYY format.

5. To create the BACKUP file, you must click one of the ***Create*** Buttons that is displayed on the screen. If you selected SARs using the data grid, click the ***Create*** Button just beneath it. If you selected SARs using the date range feature, click the ***Create*** Button at the bottom of the screen.

6. If you already have a BACKUP file stored in the Drive and Directory location, a message will return from the system that states:

   "File '[DRIVE]:\[DIRECTORY]\SARMAG' Already exists. Do you want to replace it?"

   Click the ***Yes*** Button to overwrite the existing file. Click the ***No*** Button to cancel the operation.

7. Once the BACKUP file has been created, the system will return the following message:

   "Your file ([DRIVE]:\[DIRECTORY]\BACKUP) has been created."

   "Note: Do not send the file you just created to DCC. DCC can only except diskettes with the file name 'SARMAG' - any other diskettes will be returned."

   Click the ***OK*** Button in the message box. The system will return to the ***Main Menu*** Screen.

How to Create a Custom File:

1. If you want to save the file to the <A> Drive, the easiest thing to do is to insert the diskette into the <A> Drive before you click on the ***Create SAR Diskette*** Button from the ***Main Menu*** Screen. The ***Creating SAR(s)*** Screen will appear. The default option on this screen is to

Create a Diskette for Mailing. Because of this, the system automatically tries to access the <A> Drive of your computer system. If there is no diskette present, an error message will return from the system that states:

"There is an error with your a: drive. This is probably because there is no diskette in that drive. You can put a diskette in the drive and re-select a:"

If you want to use a diskette to save your data, put one in the <A> Drive and then click the ***Retry*** Button. If you would like to save your file to the <C> Drive, click the ***Cancel*** Button.

2. Click the Other - Custom File Name File Type/Purpose. The ***Custom Name*** Dialog Box will appear. Enter your custom file name information and then click the ***OK*** Button. To cancel the operation, click the ***Cancel*** Button.

3. If you are saving the file to the <A> Drive, all of the File Information options should be set. The information should appear as follows:

   - Output File Name: A:\[FileName]
   - The Drive and Directory Box should show the <A> Drive selected
   - The File Type/Purpose should be Other - Custom File Name

   If you are saving to any other Drive and/or Directory, your options will be set to the following:

   - Output File Name: [Drive]:\[Directory]\[FileName]
   - The Drive and Directory Box should show the Drive and Directory you have selected
   - The File Type/Purpose should be Other - Custom File Name

4. At this point you would want to select the SARs to include in the file. You have two options available to you, as described below:

   A. You may select the SARs from the data grid at the top of the screen. To accomplish this, use one of the following techniques:

      1. Click on the first SAR with the mouse and hold the mouse button down. Drag the mouse pointer to the last record that you want to include and then let the mouse button go. All the records between the first SAR selected and the last SAR selected should be highlighted.

      2. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***SHIFT*** Key and move the mouse pointer to the last record that you want to include. Click on it with the mouse and then let the ***SHIFT*** Key go. All the records between the first SAR selected and the last SAR selected should be highlighted.

      3. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***CTRL*** Key and move the mouse pointer over the next record that you want to include.

Click on it with the mouse. Continue to do this until you have selected all the SARs that you want to include on the file. After you have selected your last SAR, let the ***CTRL*** Key go. This method allows you to select SARs in any order. An example of this would be selecting the first, fifth and ninth SARs to include on the file. Only those rows should be highlighted when this process has been completed.

B. You may select the SARs by using the date range feature at the bottom of the screen. You must input a Start and End Date in MM/DD/YYYY format.

5. To create the Custom file, you must click one of the ***Create*** Buttons that is displayed on the screen. If you selected SARs using the data grid, click the ***Create*** Button just beneath it. If you selected SARs using the date range feature, click the ***Create*** Button at the bottom of the screen.

6. If you already have a Custom file stored in the Drive and Directory location, a message will return from the system that states:

   "File '[DRIVE]:\[DIRECTORY]\[FileName]' Already exists. Do you want to replace it?"

   Click the ***Yes*** Button to overwrite the existing file. Click the ***No*** Button to cancel the operation.

7. Once the Custom file has been created, the system will return the following message:

   "Your file ([DRIVE]:\[DIRECTORY]\[FileName]) has been created."

   "Note: Do not send the file you just created to DCC. DCC can only except diskettes with the file name 'SARMAG' - any other diskettes will be returned."

   Click the ***OK*** Button in the message box. The system will return to the ***Main Menu*** Screen.

Importing SARs

General Information:

- This version of the software has changed how it saves file names. You have the additional option of creating a custom file name instead of just SARMAG and BACKUP. Because of this, the Import feature will import any file name that you want. You are no longer limited to only SARMAG, SAREXPOR or BACKUP as you were in SAR Version 3.0.

- Drives are the letters assigned to the different storage devices in your computer system. <A> typically stands for the Floppy Diskette Drive and <C> typically stands for the Hard Drive. For the remainder of this chapter, they will be referred to as <A> and <C>. Directories are file storage locations on Drives. A Directory can be thought of as a folder. Within each Directory or folder, you can store files. The complete structure of a filename is as follows:

  [Drive]:\[Directory]\[FileName]

- To see an example of this screen, please see Exhibit A.29

- This screen contains the following information:

Import File Name	Includes the File Name, along with the Drive and Directory locations.
Branch Information	Allows you to choose how you want to import branch default information. There are three options. The first option replaces the information already in your system with the information contained in the import file. The second option creates new branch default information records in the system and doesn't replace any existing records. The last option ignores the branch information in the import file.

How to Import SARs:

1. If you want to import the SARs from the <A> Drive, the easiest thing to do is to insert the diskette into the <A> Drive before you click on the ***Import SARs*** Button from the ***Main Menu*** Screen. The ***Importing SARs*** Screen will appear. The default option on this screen is to Import SARs that were created for mailing to the DCC. Because of this, the system automatically tries to access the <A> Drive of your computer system. If there is no diskette present, an error message will return from the system that states:

   "There is an error with your a: drive. This is probably because there is no diskette in that drive. You can put a diskette in the drive and re-select a:".

If the SARs that you want to Import are on a floppy diskette, put the diskette in the <A> Drive and then click the ***Retry*** Button. If the SARs that you want to Import are on the <C> Drive, click the ***Cancel*** Button.

2. If you are importing from the <A> Drive, the Drive and Directory should both have A: displayed. If you are importing from any other Drive and/or Directory, you need to select the Drive from the ***Drop-Down*** Drive Box/***Combo*** Drive Box. You can then select a Directory by double-clicking on any of the ones listed in the Directory box. If you don't see the one you are looking for, try scrolling down through the box by using the scroll bar on the right side of the box.

3. Once you have the Drive and Directory selected, the ***Files*** Box will list any file names in that location. You can then select a file by clicking on any of the ones listed in the ***Files*** Box.

4. Once the file has been selected, you need to select the Branch Information Option. The last option, ignoring the Branch Information on the import file, is already selected by default. If you want to replace your existing Branch Information or Create new Branch Information Records, you must select option one or two. Once this is done, click the ***Import*** Button to begin importing records or the ***Cancel*** Button to return to the ***Main Menu*** Screen.

5. If you are importing prior version information or have changed your default Financial Institution Information, the system will return a message that states:

   "The records you are importing will have your default Financial Institution information associated with them, even though the Financial Institution information on your import file is different."

   This is only an information message. Since this software only allows one Financial Institution at a time, the default information currently stored in your system will be used when you create a new diskette. Click the ***OK*** Button to continue.

6. Once the system is finished importing the records, a message will be displayed that states:

   "Import of version # file complete. # records read."

   The # after version will be a 1, 2, 3 or 4 depending upon which version of the software your file was created from. The # before records will vary depending upon how many records were in the file. Click the ***OK*** Button to return to the ***Main Menu*** Screen.

Deleting SARs

General Information:

When you click on the ***Delete SARs*** Button from the ***Main Menu*** Screen, a data grid will appear that contains all of the SARs that you have previously created. The data grid contains the following information about each SAR:

Column	Information Displayed
Date	Lists the Date that the SAR was input into the system
Time	Lists the Time that the SAR was input into the system
Branch	Lists the Branch Code
Suspect Last Name	Displays the Last Name of the Suspect
Filed	Displays a Y if this SAR has been filed and sent to the DCC

To see an example of this data grid, please see Exhibit A.30

Sorting:

The data grid that is on the screen is similar to those you have encountered in other parts of the system. If desired, use the Buttons at the top of each column to sort the data. For an explanation on sorting, please see the sorting section in ***Work on an Old SAR*** or ***Printing SARs***.

How to Delete a single SAR:

1. Click on the ***Delete SARs*** Button from the ***Main Menu*** Screen.
2. Click on any SAR in the data grid to highlight it.
3. Click on the ***Delete*** Button to delete the SAR, or click the ***Cancel*** Button to return to the ***Main Menu*** Screen.
4. The ***Deletion Confirmation*** Dialog Box will appear. Click the ***Yes*** Button if you really want to delete the SAR, otherwise click the ***No*** Button. If you click the ***Yes*** Button, a message will return from the system that states "All selected SAR records have been deleted." Click the ***OK*** Button in the message box. If you click the ***No*** Button, a message will return from the system that states "Deletion Cancelled." Click the ***OK*** Button in the message box. Click the ***Cancel*** Button to return to the ***Main Menu*** Screen.

How to Delete multiple SARs:

1. Click on the ***Delete SARs*** Button from the ***Main Menu*** Screen

2. Click on multiple SARs in the data grid to highlight them. To select multiple SARs, use one of the following techniques:
   A. Click on the first SAR with the mouse and hold the mouse button down. Drag the mouse pointer to the last record that you want to print and then let the mouse button go. All the records between the first SAR selected and the last SAR selected should be highlighted.
   B. Click on the first SAR with the mouse and let the mouse button go. Hold down the ***SHIFT*** Key and move the mouse pointer to the last record that you want to print. Click on it with the mouse and then let the ***SHIFT*** Key go. All the records between the first SAR selected and the last SAR selected should be highlighted.
   C. Click on the first SAR with mouse and let the mouse button go. Hold down the ***CTRL*** Key and move the mouse pointer over the next record that you want to print. Click on it with the mouse. Continue to do this until you have selected all the SARs that you want to print. After you have selected your last SAR, let the ***CTRL*** Key go. This method allows you to select SARs in any order. An example of this would be selecting the first, fifth and ninth SARs to print. Only those rows should be highlighted when this process has been completed.
3. Click on the ***Delete*** Button to delete the SARs, or click the ***Cancel*** Button to return to the ***Main Menu*** Screen.
4. The ***Deletion Confirmation*** Dialog Box will appear. Click the ***Yes*** Button if you really want to delete the SARs, otherwise click the ***No*** Button. If you click the ***Yes*** Button, a message will return from the system that states "All selected SAR records have been deleted." Click the ***OK*** Button in the message box. If you click the ***No*** Button, a message will return from the system that states "Deletion Cancelled." Click the ***OK*** Button in the message box. Click the ***Cancel*** Button to return to the ***Main Menu*** Screen.

Appendix A

Exhibit A.1

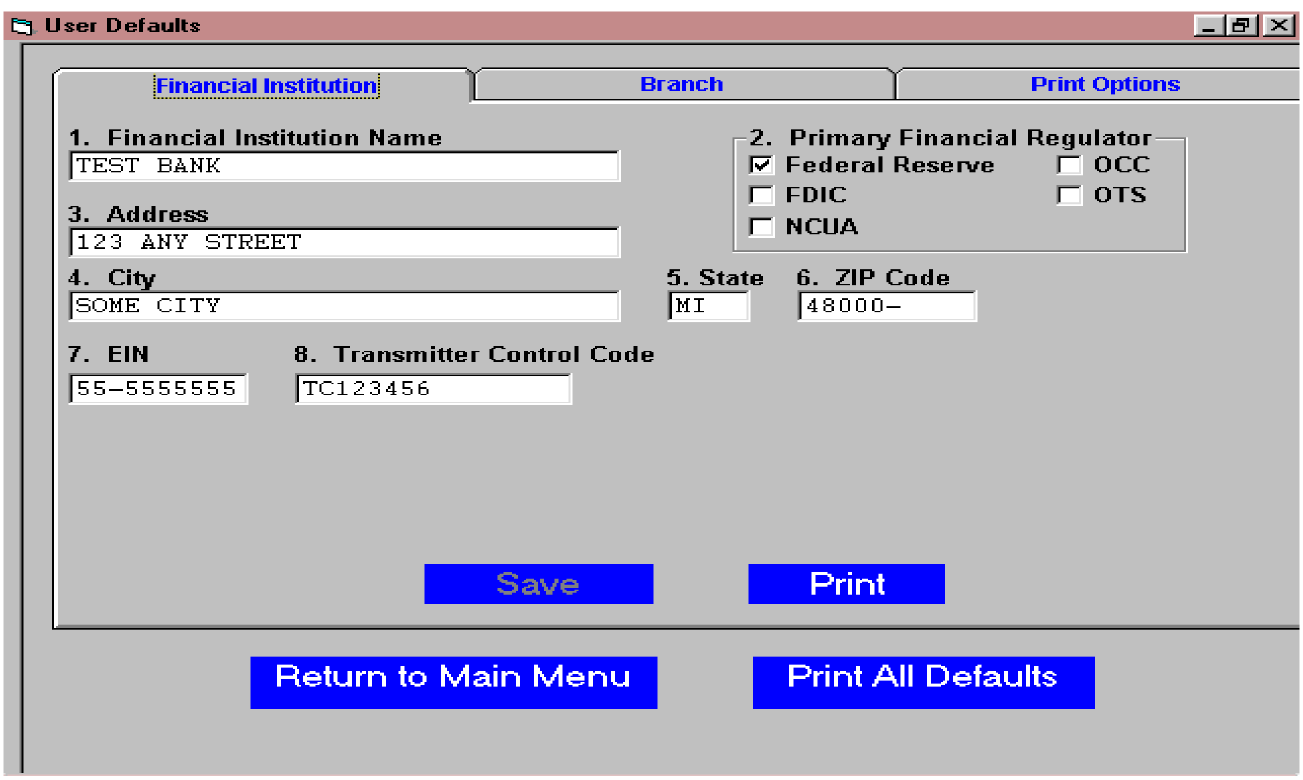


Exhibit A.2

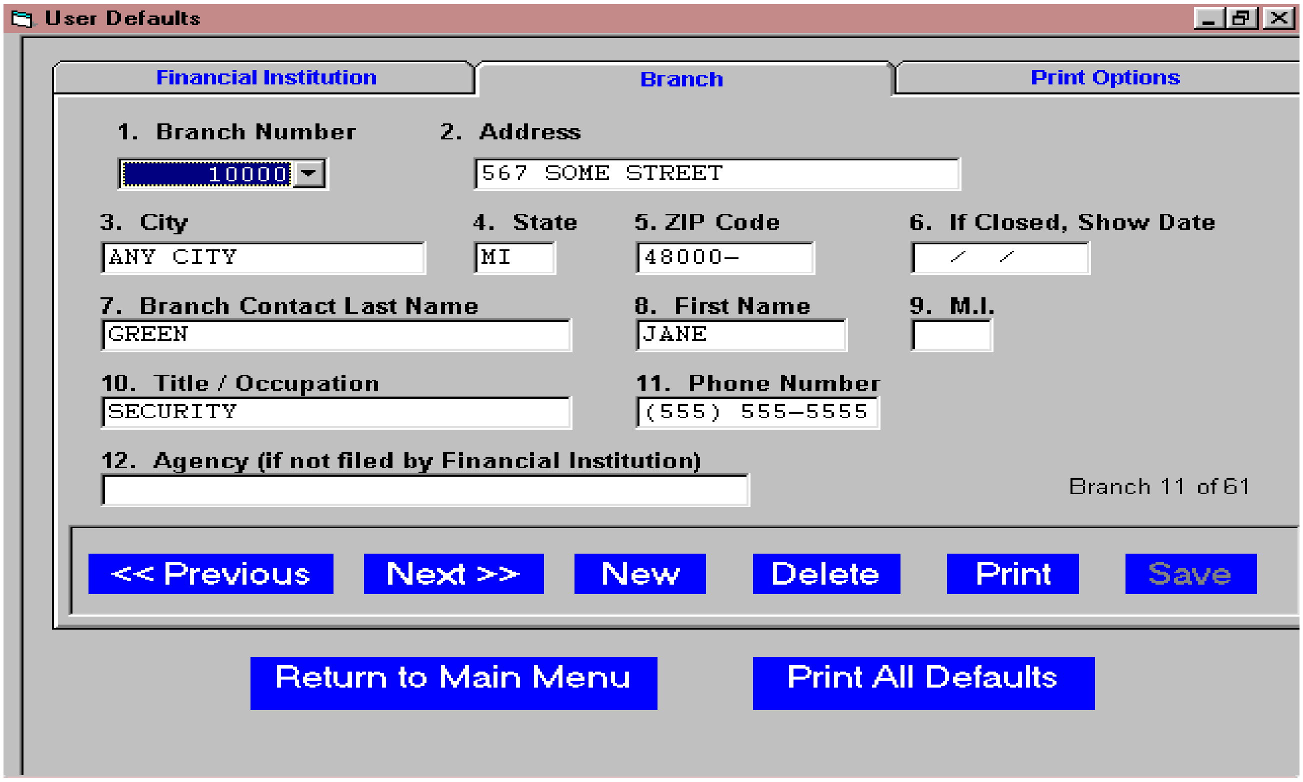


Exhibit A.3

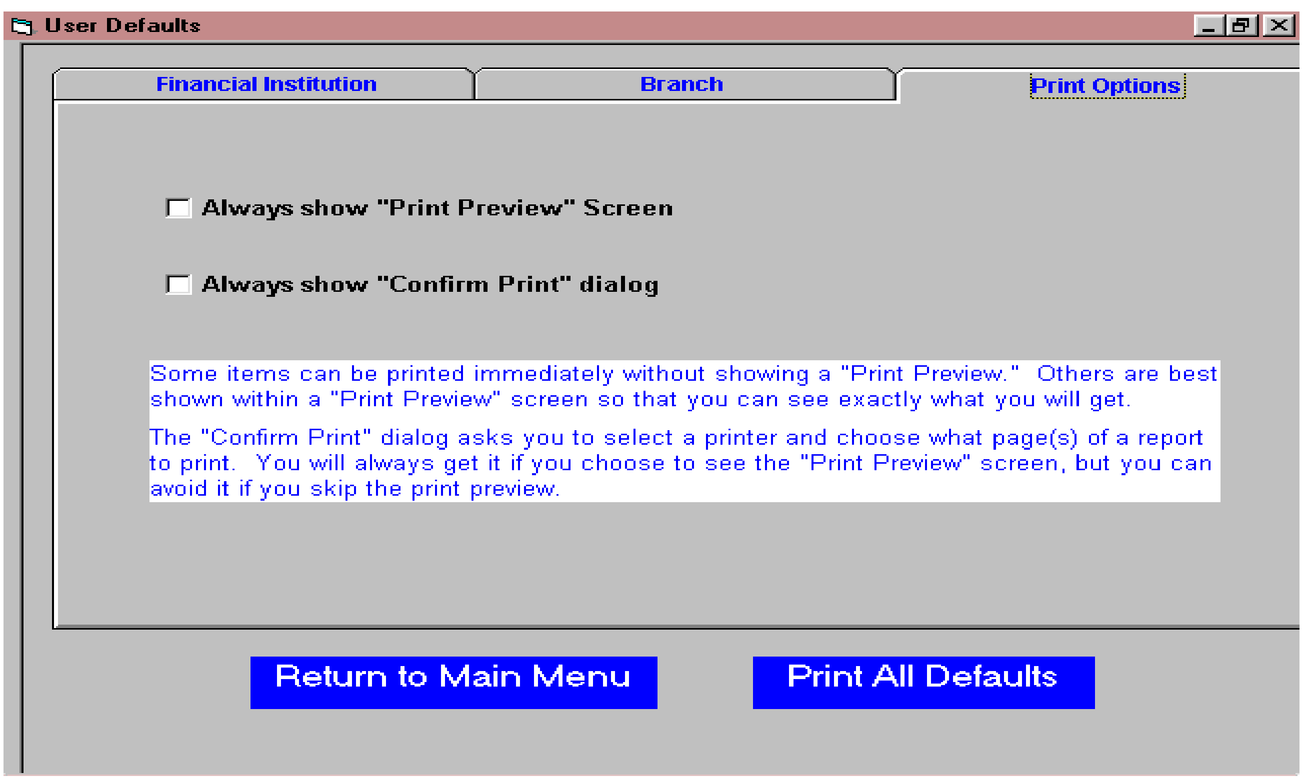


Exhibit A.4

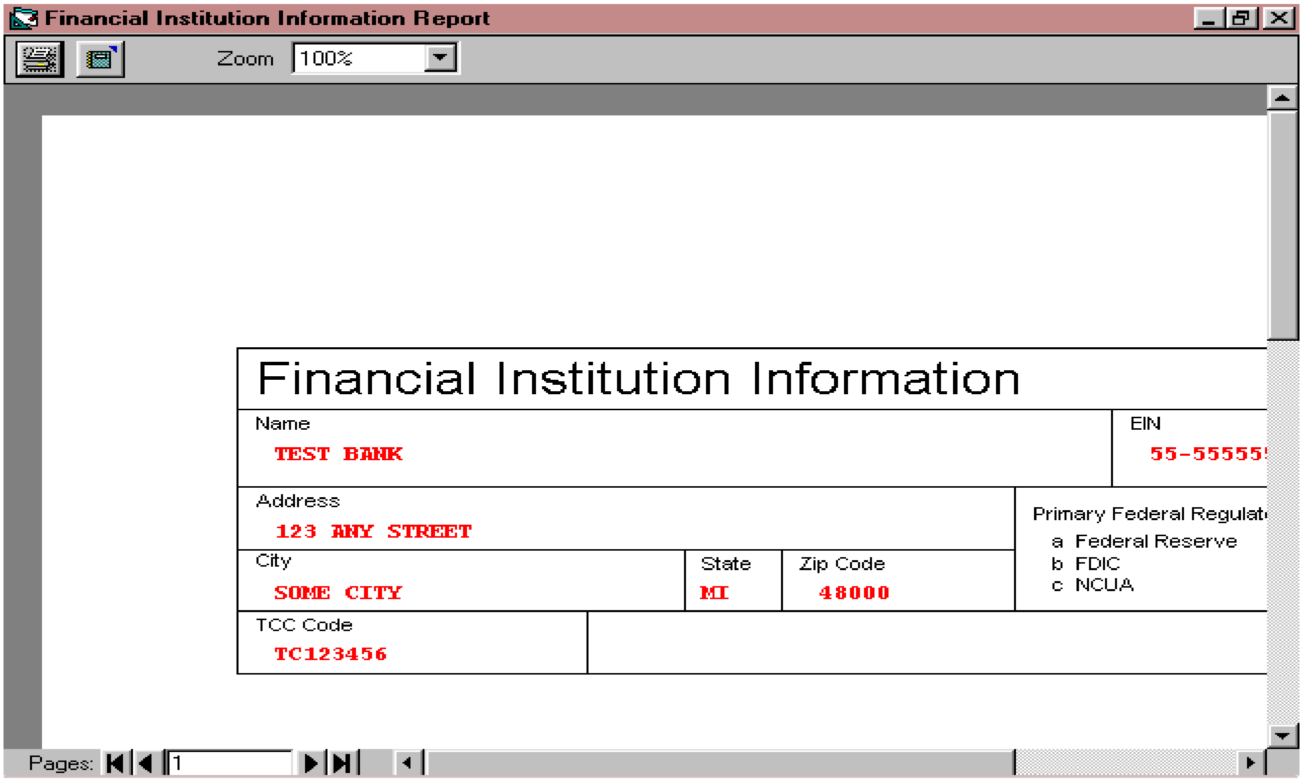


Exhibit A.5

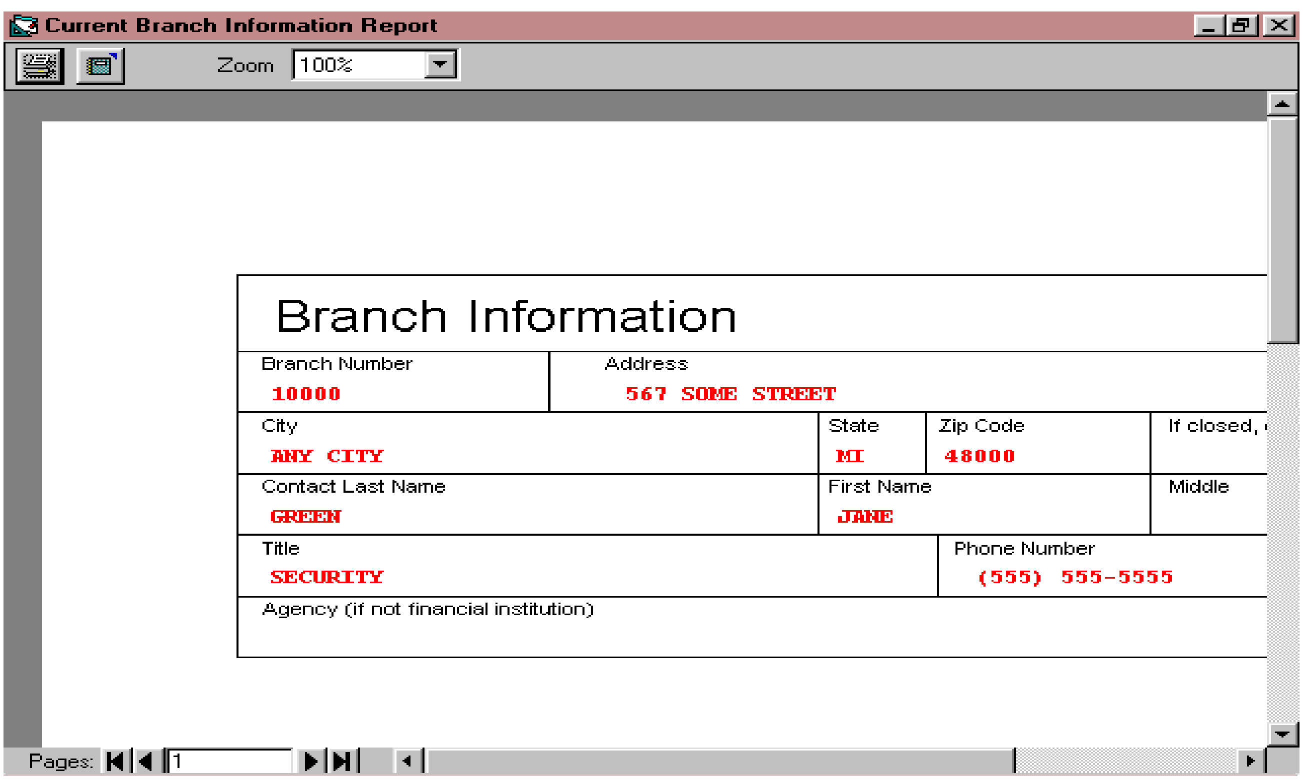
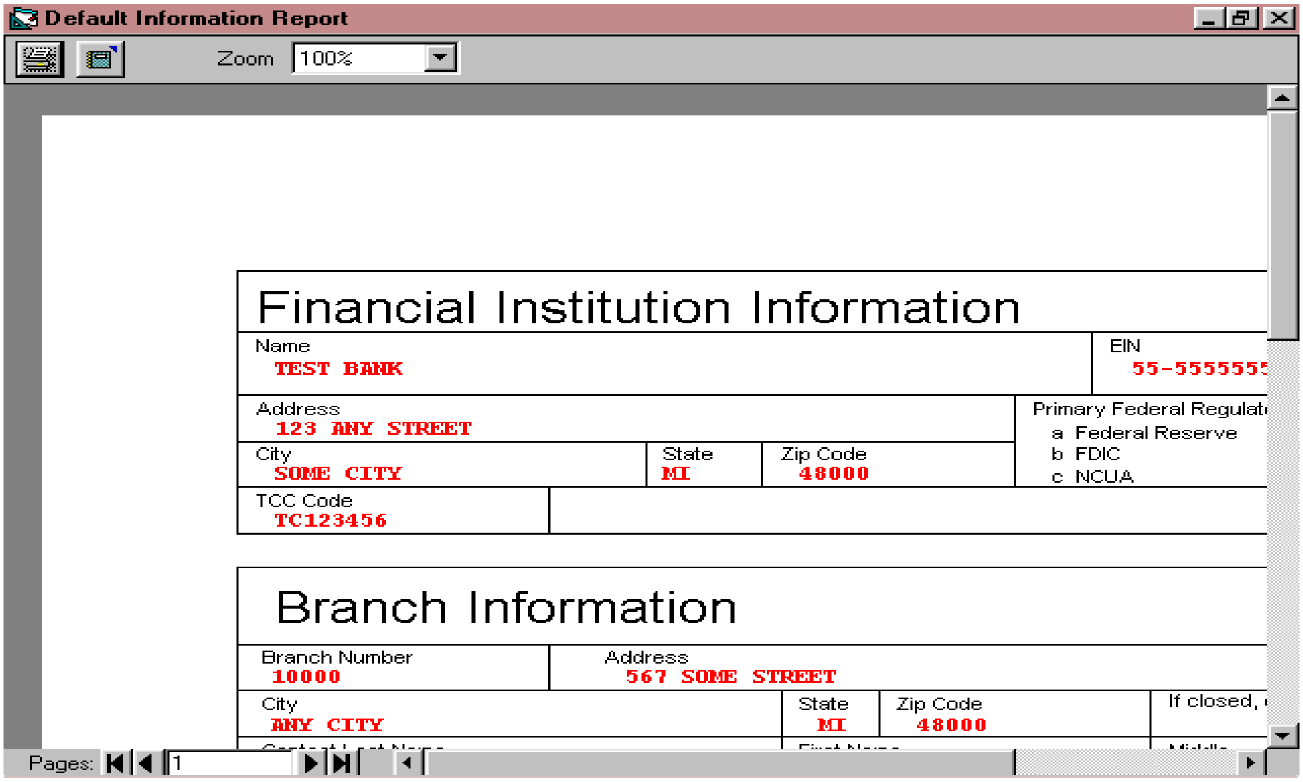


Exhibit A.6



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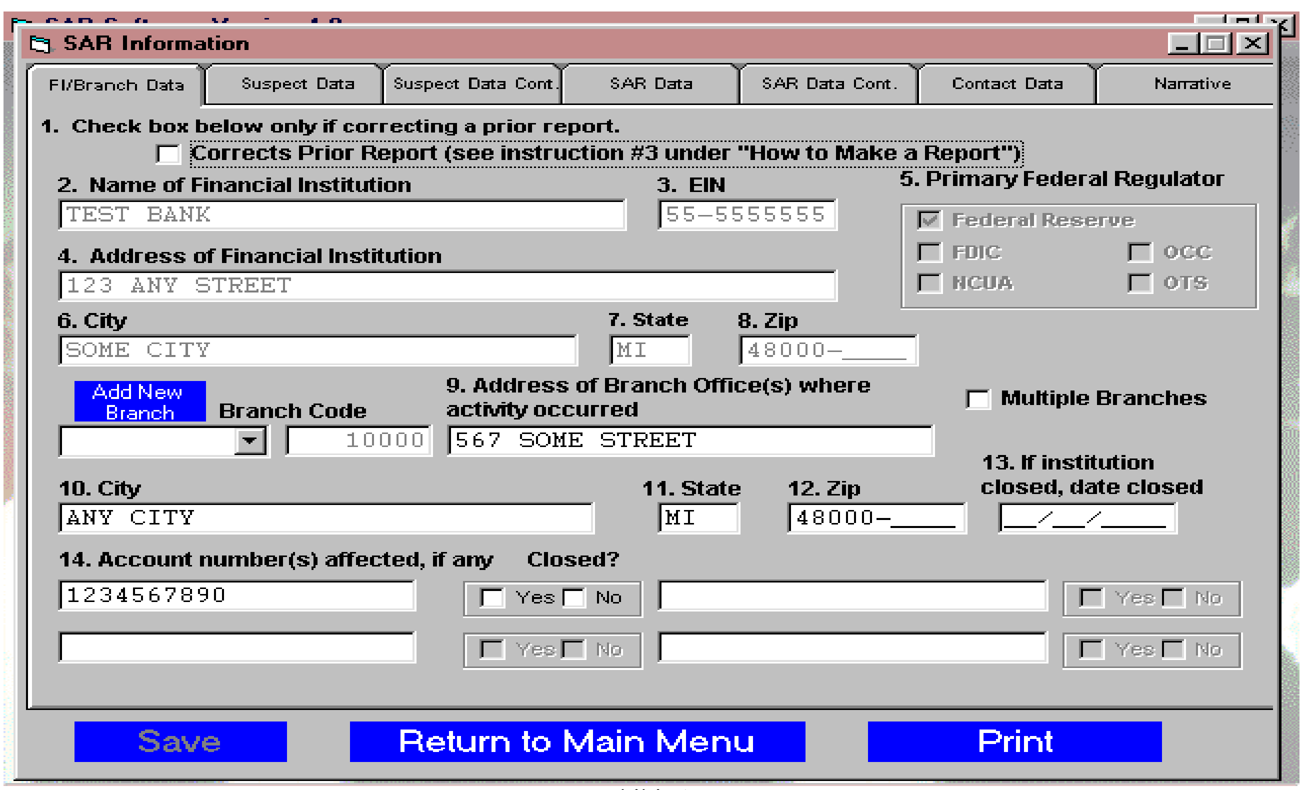


Exhibit A.8

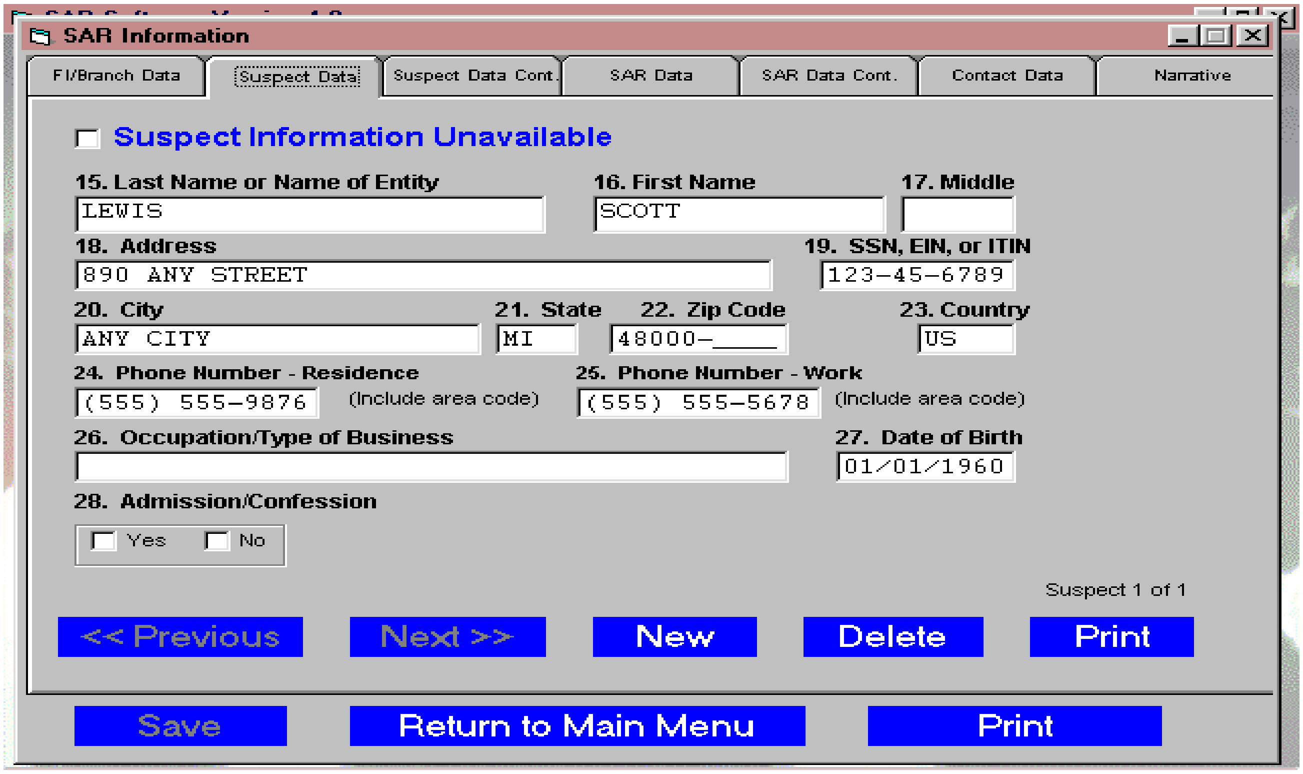


Exhibit A.9

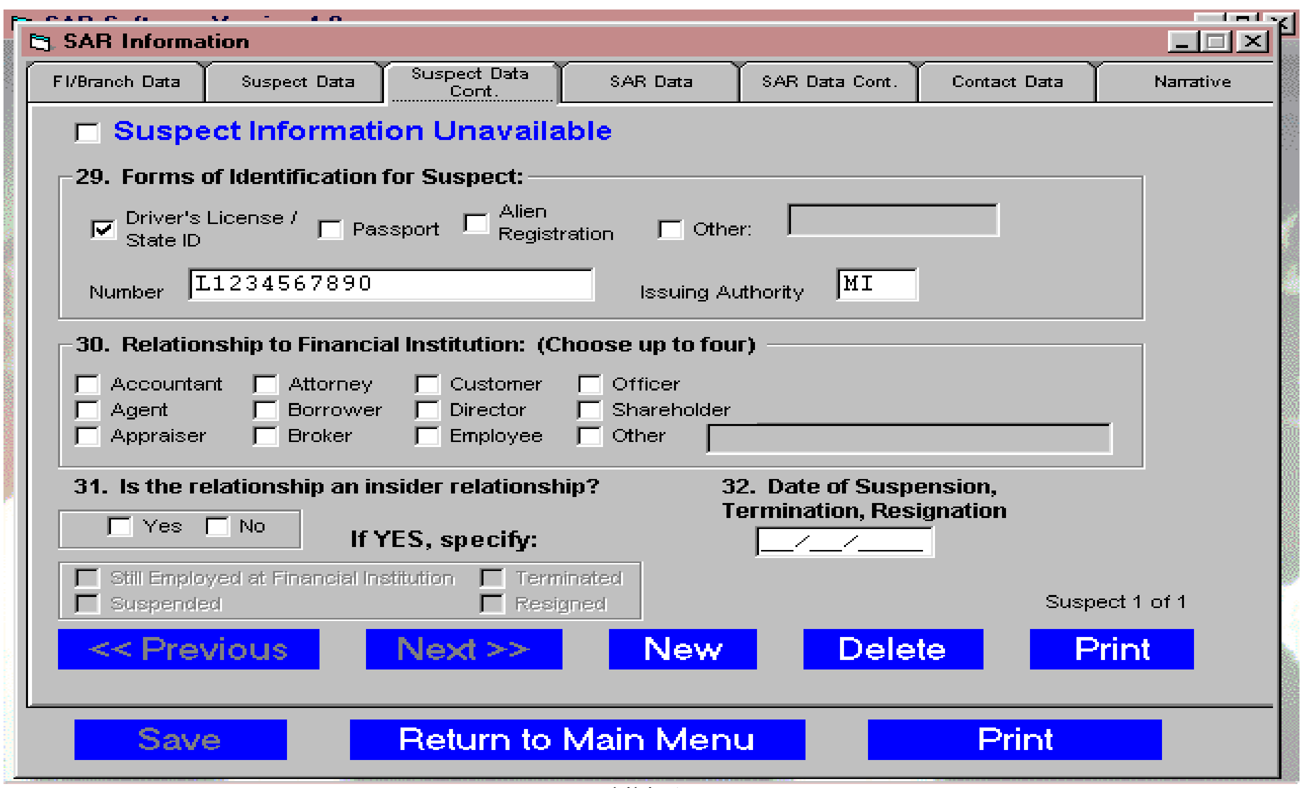
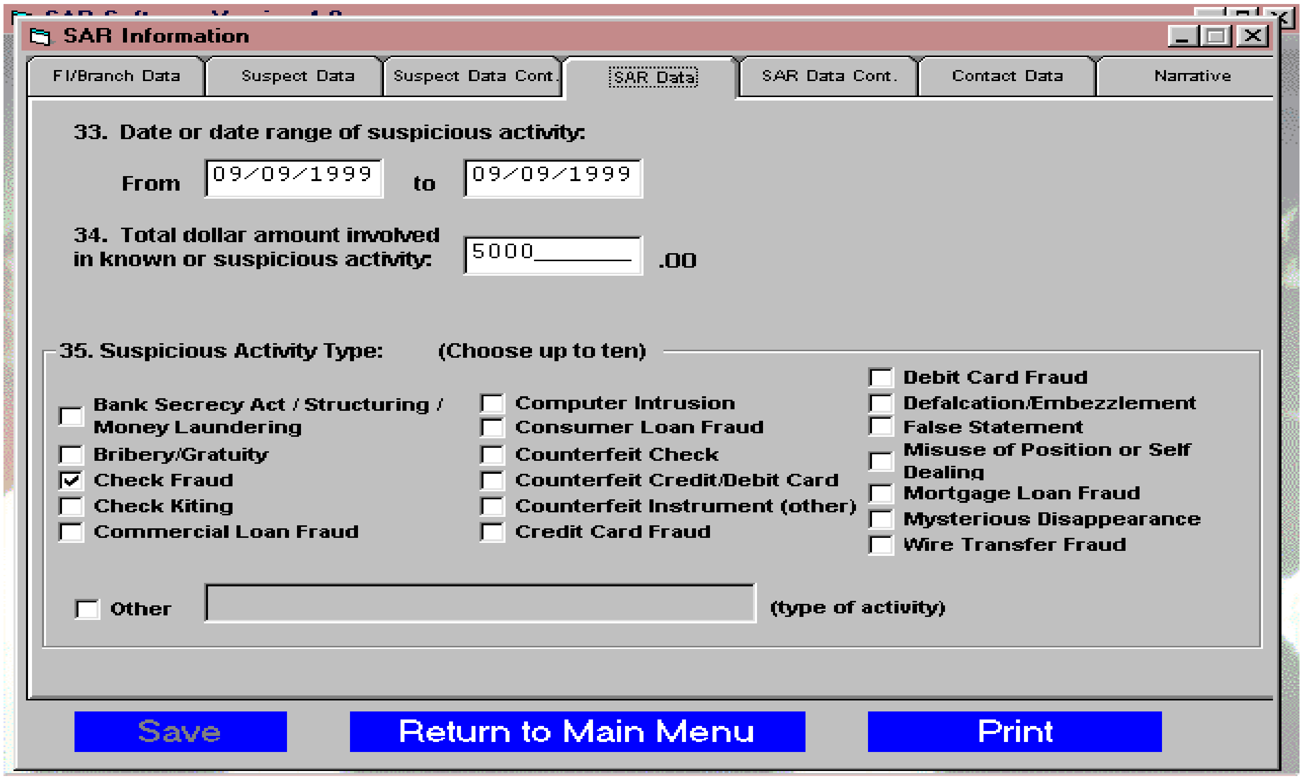


Exhibit A.10


SAR Information

F I/Branch Data | Suspect Data | Suspect Data Cont. | SAR Data | SAR Data Cont. | Contact Data | Narrative

33. Date or date range of suspicious activity:

From 09/09/1999 to 09/09/1999

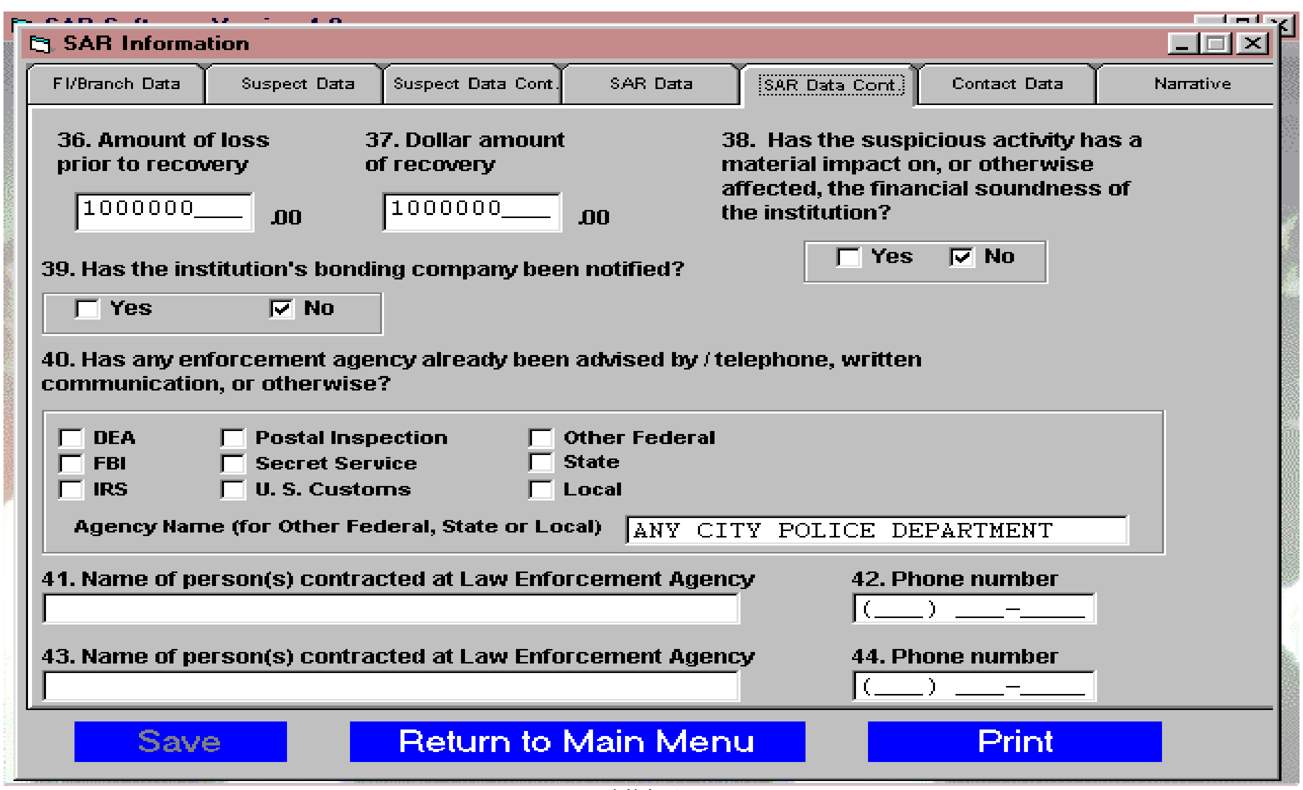
34. Total dollar amount involved in known or suspicious activity: 5000 .00

35. Suspicious Activity Type: (Choose up to ten)

- [ ] Bank Secrecy Act / Structuring / Money Laundering
- [ ] Bribery/Gratuity
- [x] Check Fraud
- [ ] Check Kiting
- [ ] Commercial Loan Fraud
- [ ] Computer Intrusion
- [ ] Consumer Loan Fraud
- [ ] Counterfeit Check
- [ ] Counterfeit Credit/Debit Card
- [ ] Counterfeit Instrument (other)
- [ ] Credit Card Fraud
- [ ] Debit Card Fraud
- [ ] Defalcation/Embezzlement
- [ ] False Statement
- [ ] Misuse of Position or Self Dealing
- [ ] Mortgage Loan Fraud
- [ ] Mysterious Disappearance
- [ ] Wire Transfer Fraud
- [ ] Other (type of activity)

Save | Return to Main Menu | Print

Exhibit A.11


SAR Information

F I/Branch Data | Suspect Data | Suspect Data Cont. | SAR Data | SAR Data Cont. | Contact Data | Narrative

36. Amount of loss prior to recovery: 1000000 .00

37. Dollar amount of recovery: 1000000 .00

38. Has the suspicious activity has a material impact on, or otherwise affected, the financial soundness of the institution?

- [ ] Yes
- [x] No

39. Has the institution's bonding company been notified?

- [ ] Yes
- [x] No

40. Has any enforcement agency already been advised by / telephone, written communication, or otherwise?

- [ ] DEA
- [ ] FBI
- [ ] IRS
- [ ] Postal Inspection
- [ ] Secret Service
- [ ] U. S. Customs
- [ ] Other Federal
- [ ] State
- [ ] Local

Agency Name (for Other Federal, State or Local) ANY CITY POLICE DEPARTMENT

41. Name of person(s) contracted at Law Enforcement Agency

42. Phone number (___) ___-____

43. Name of person(s) contracted at Law Enforcement Agency

44. Phone number (___) ___-____

Save | Return to Main Menu | Print

Exhibit A.12

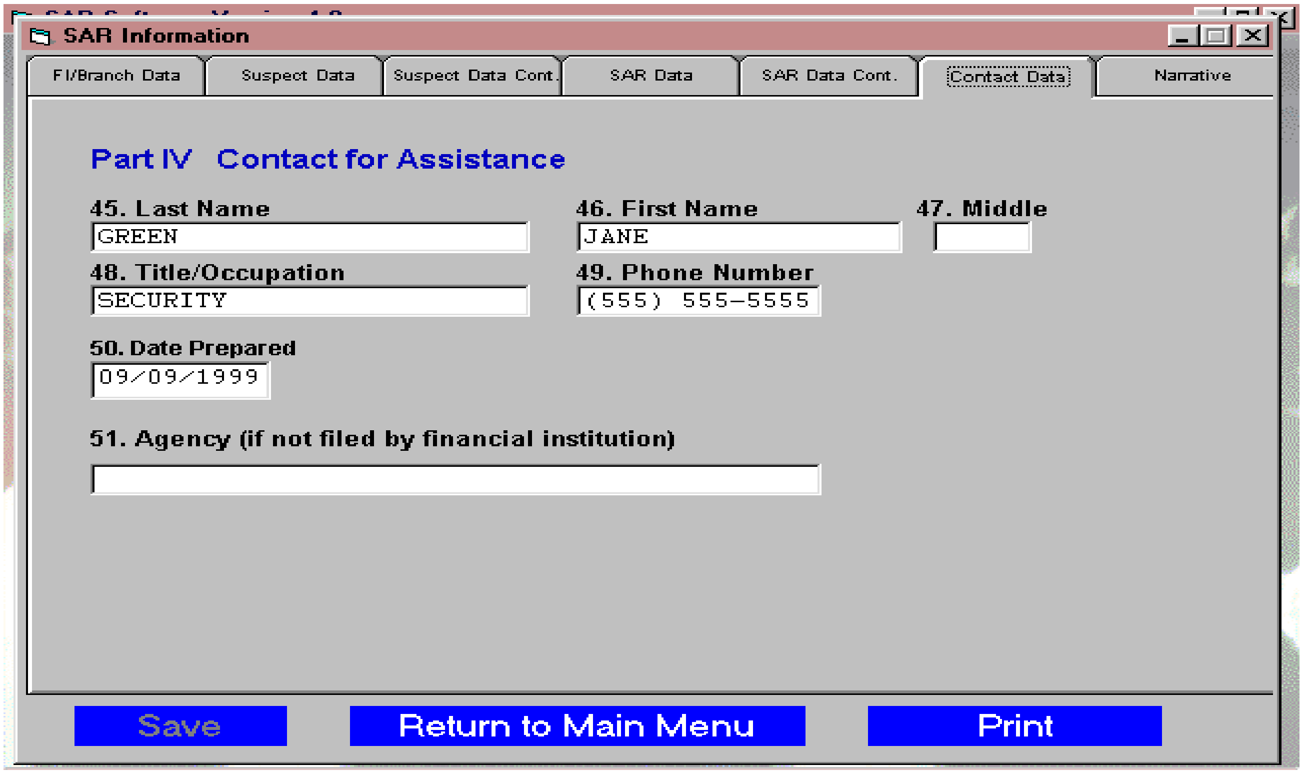


Exhibit A.13

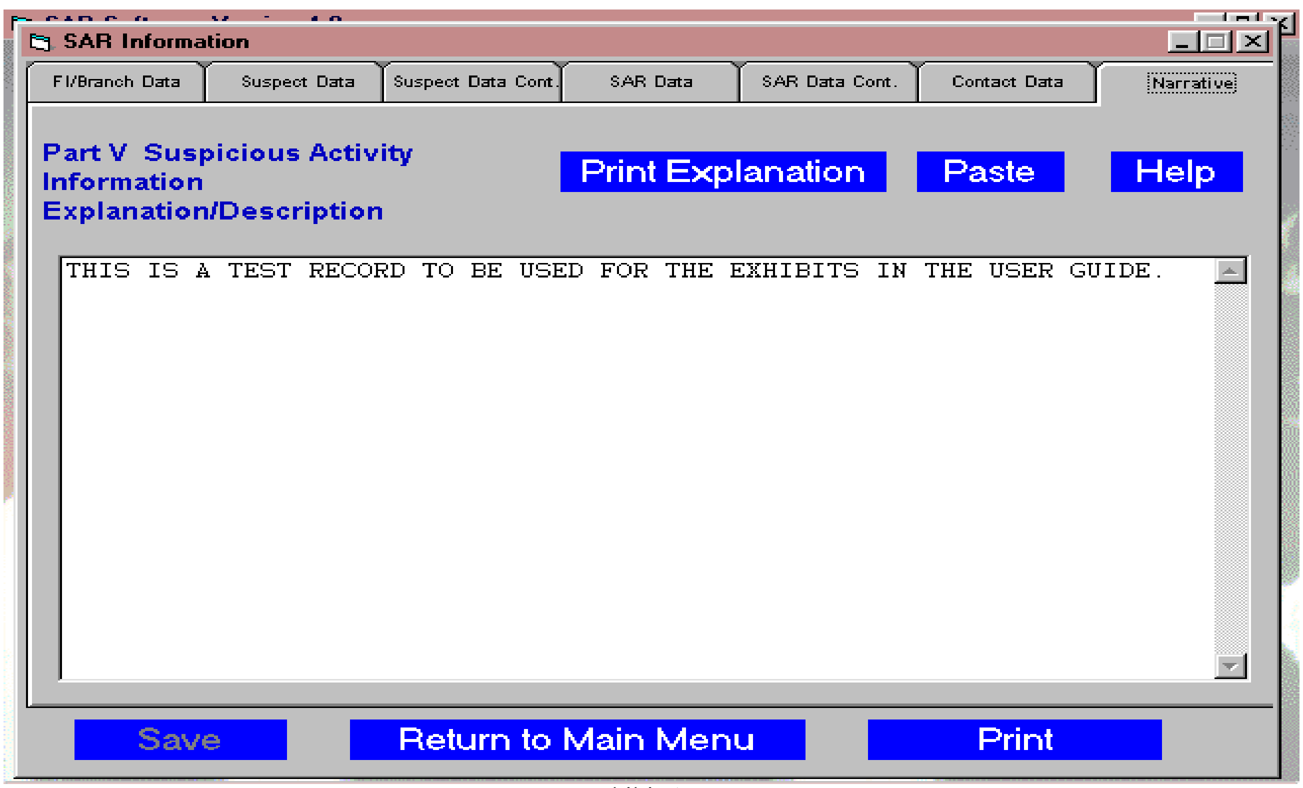


Exhibit A.14

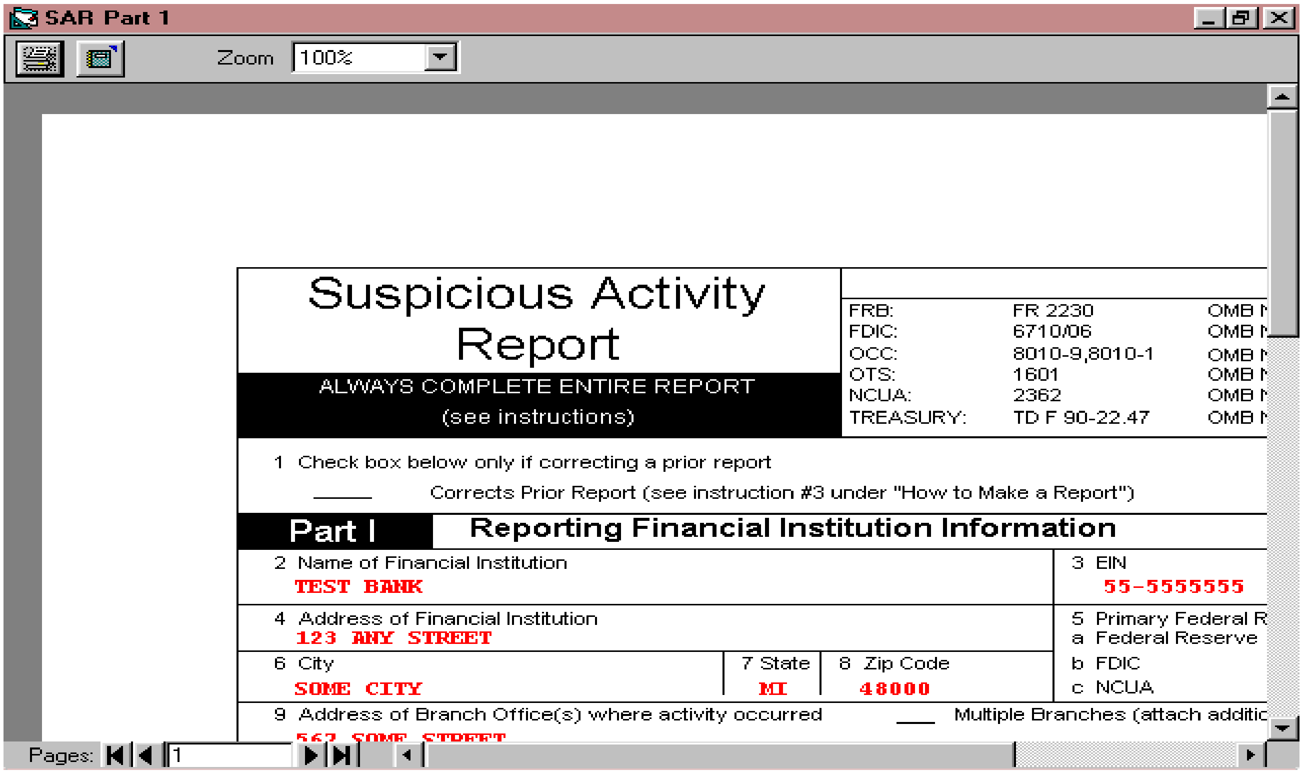


Exhibit A.15

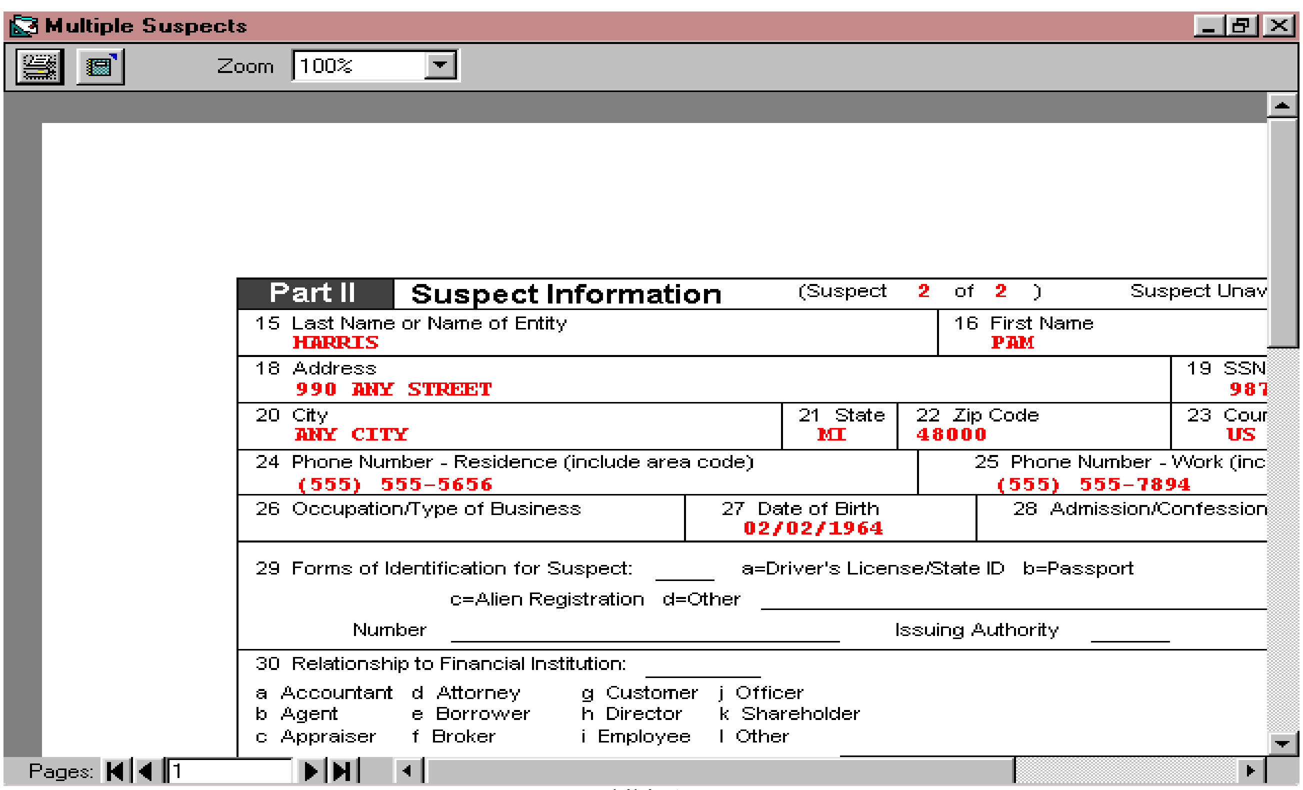


Exhibit A.16

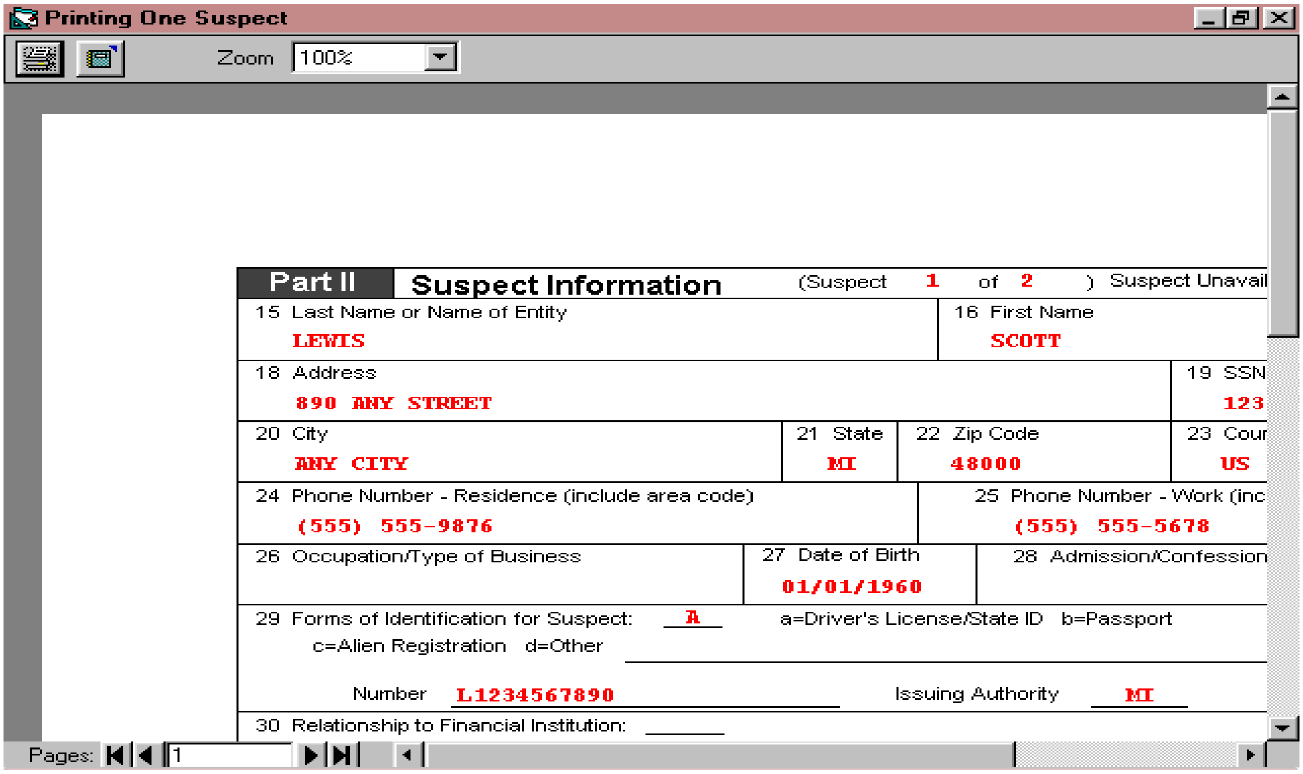


Exhibit A.17

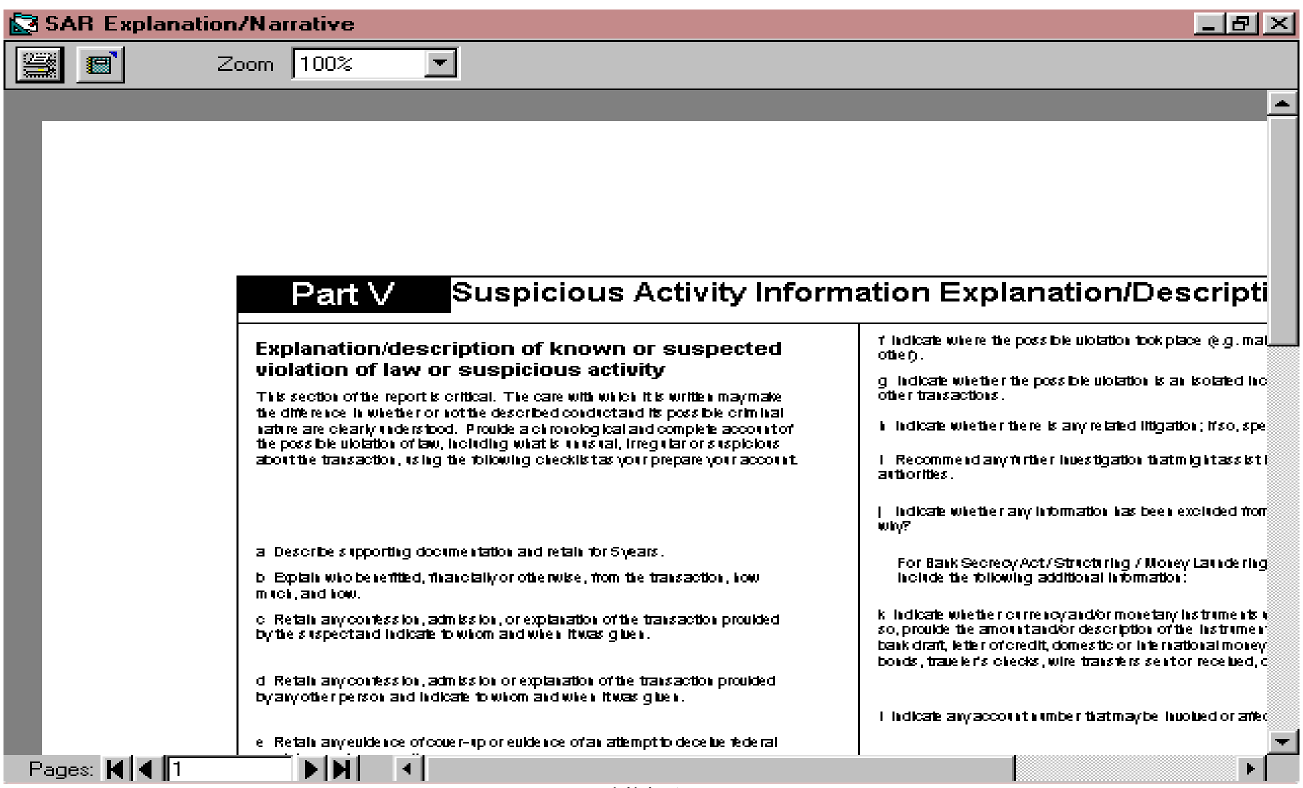


Exhibit A.18

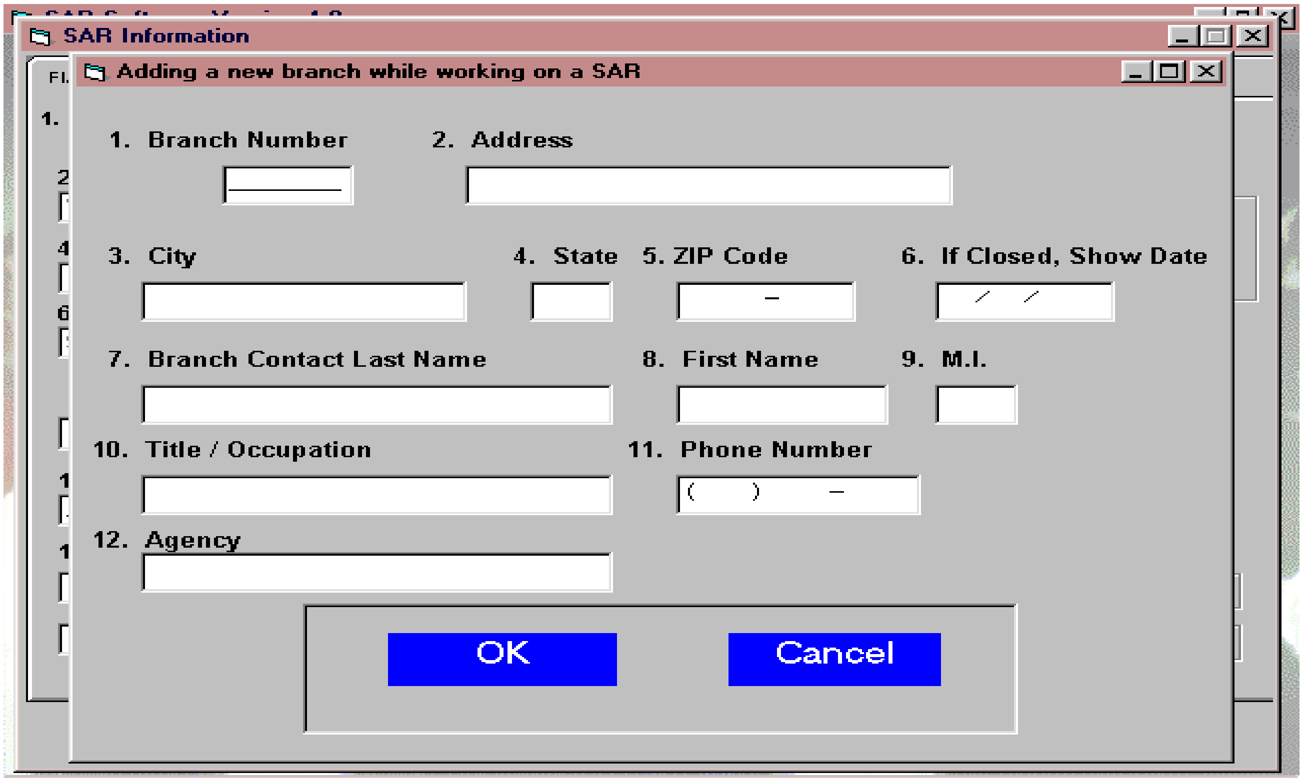


Exhibit A.19

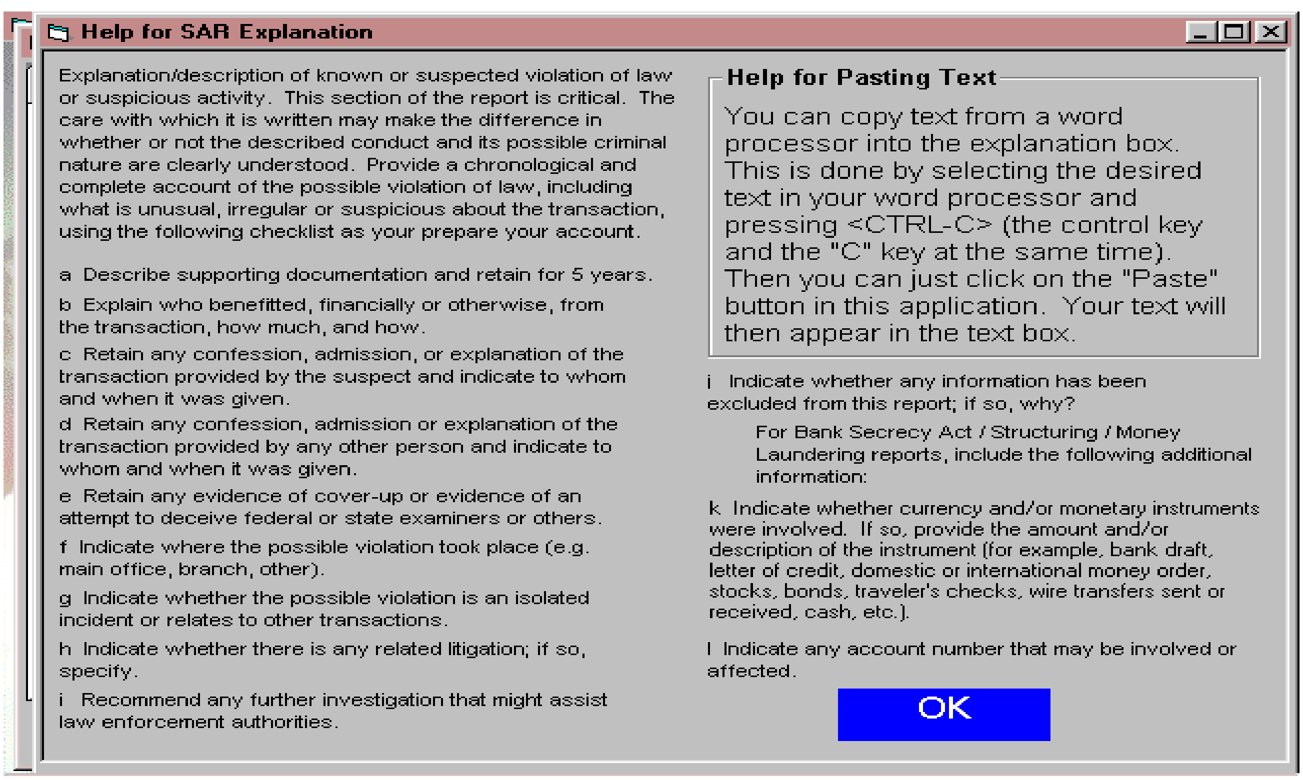
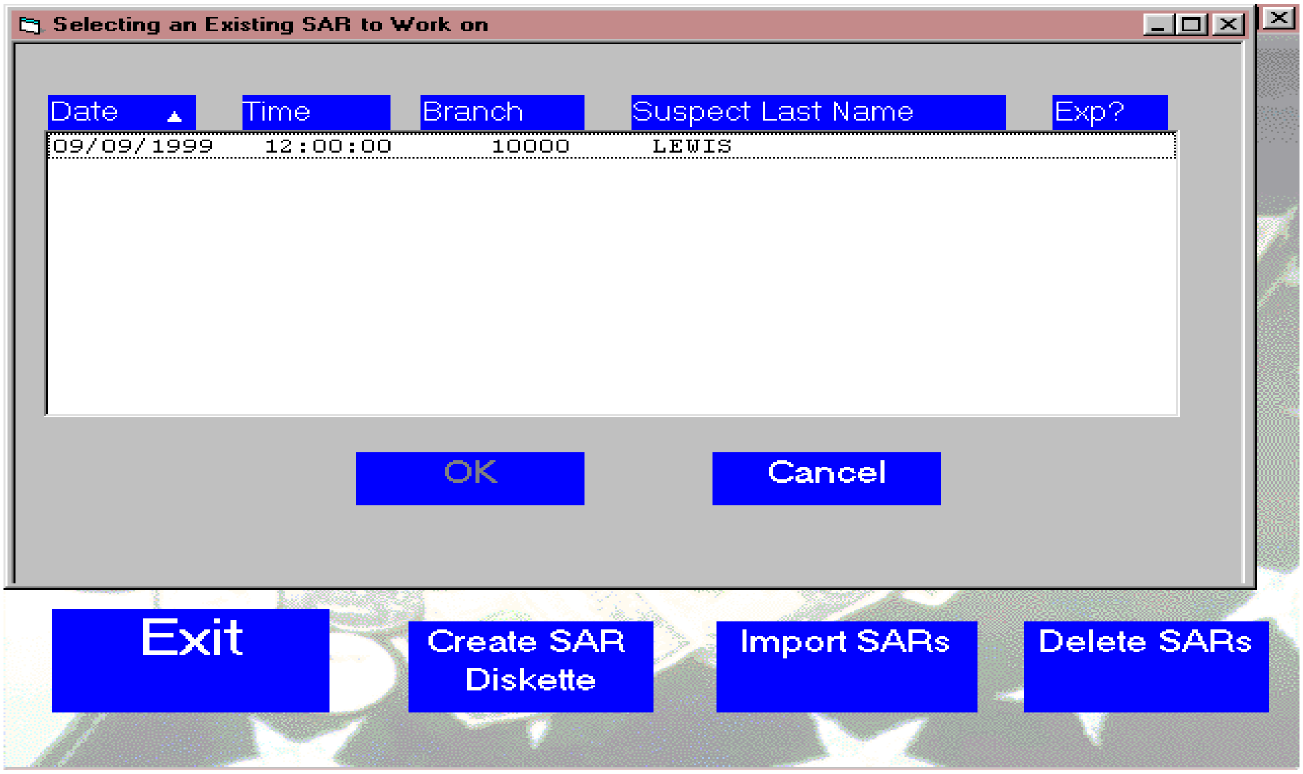


Exhibit A.20



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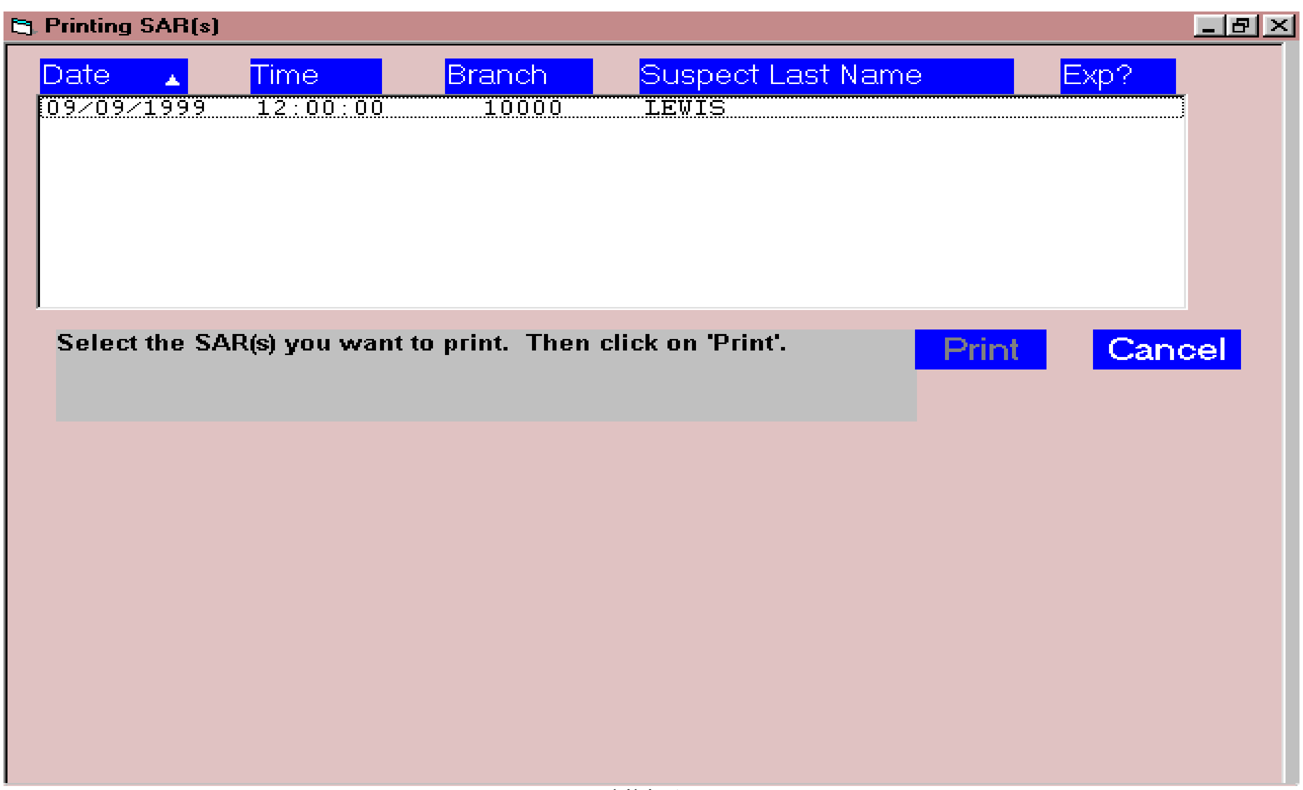

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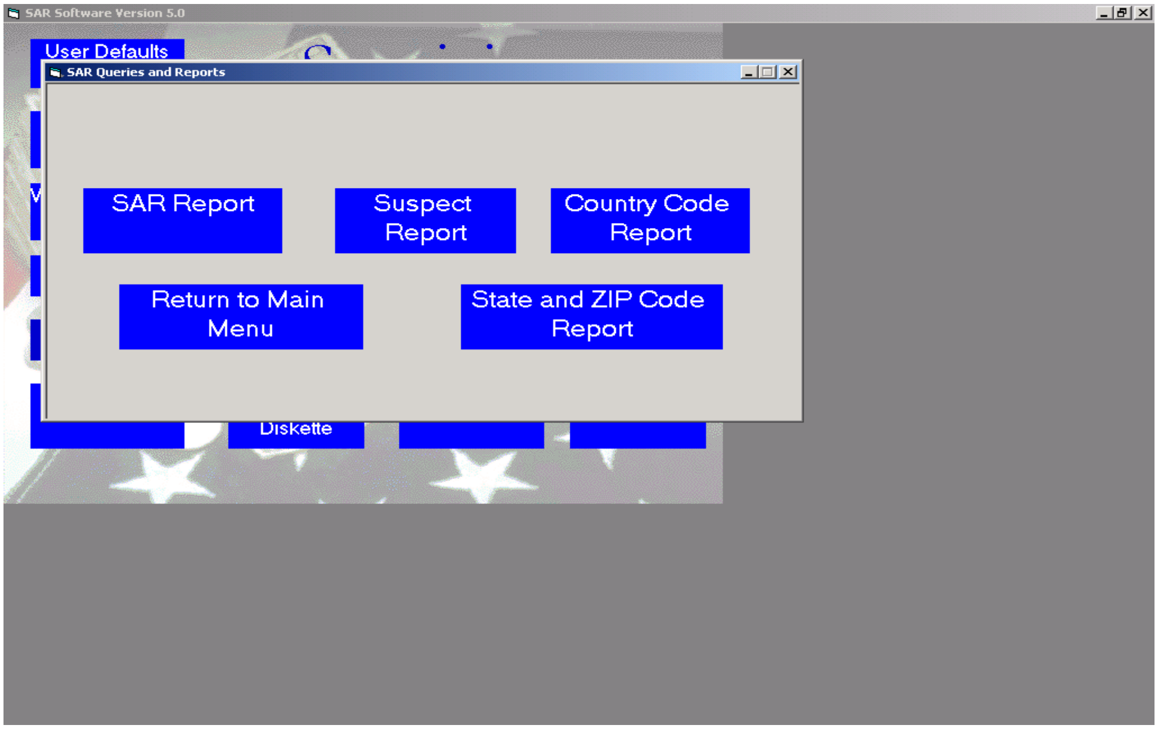

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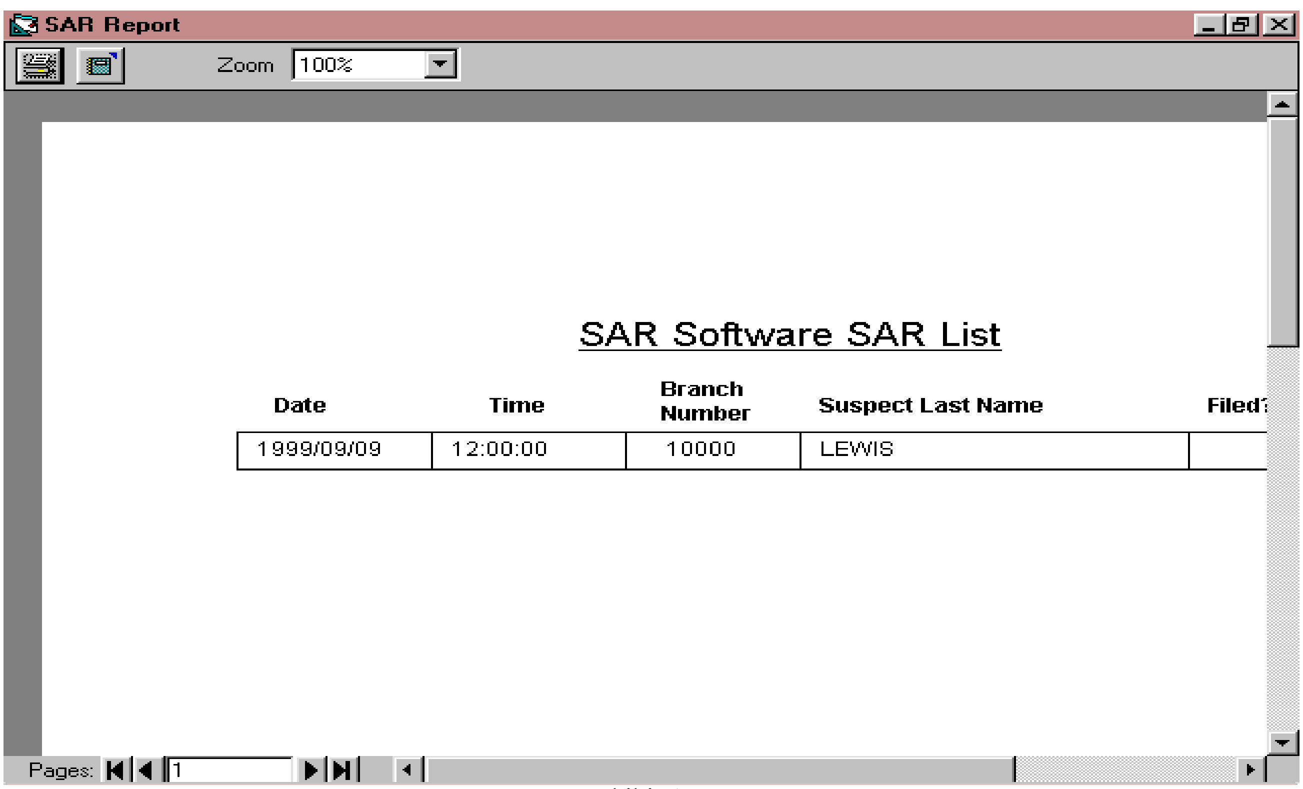

Exhibit A.24

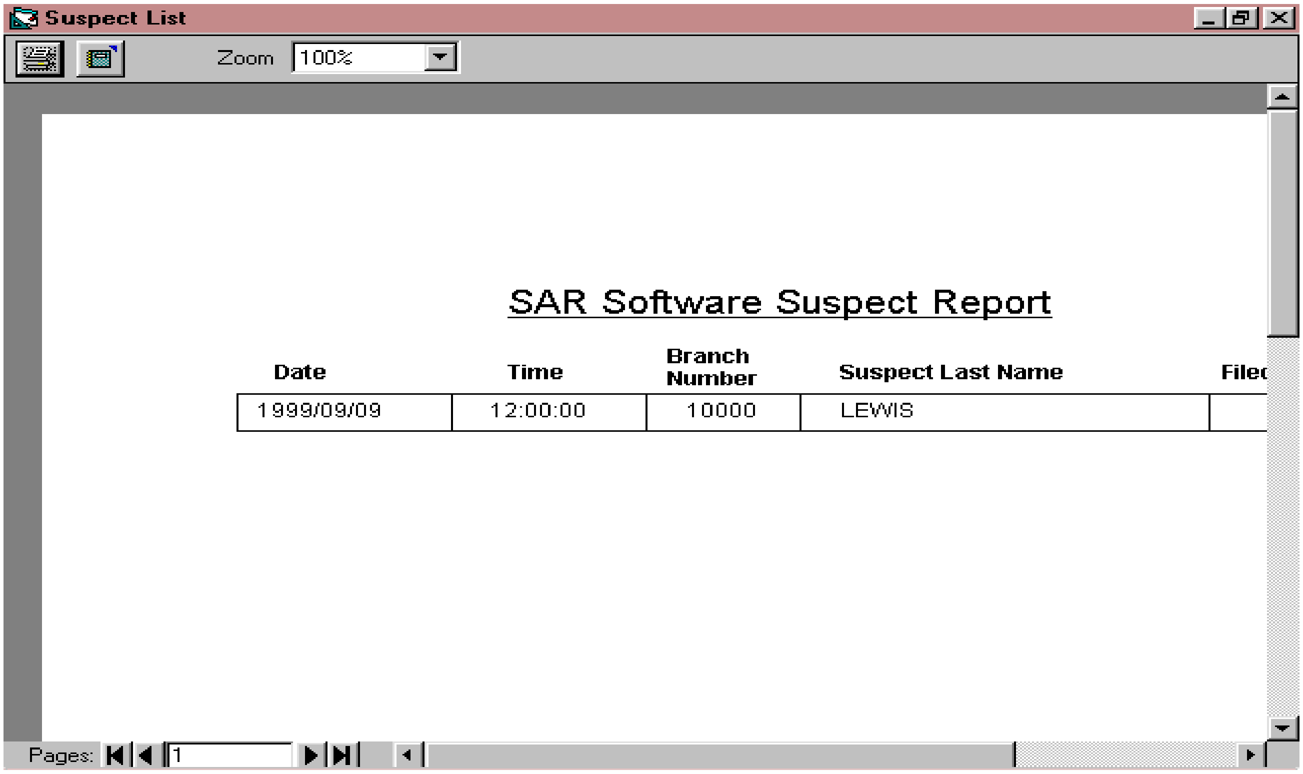

Exhibit A.25

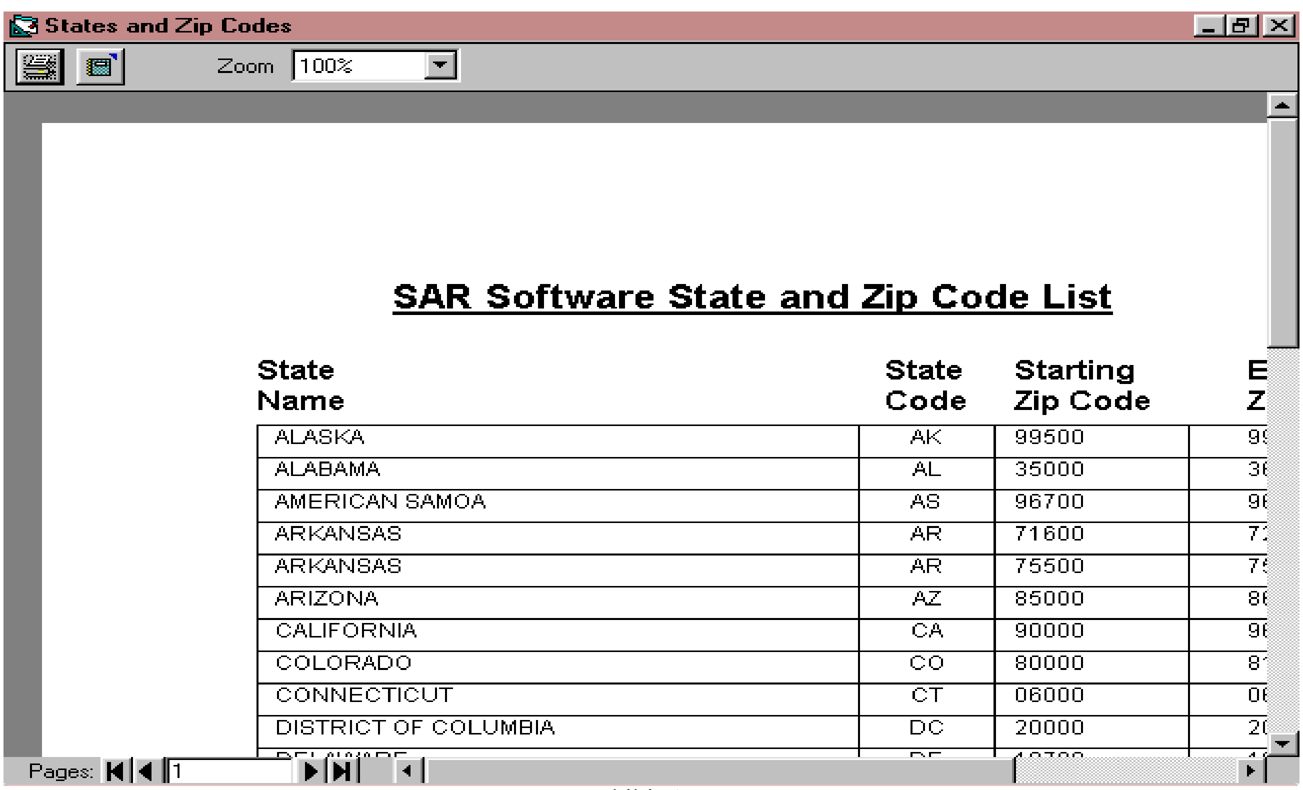

Exhibit A.26

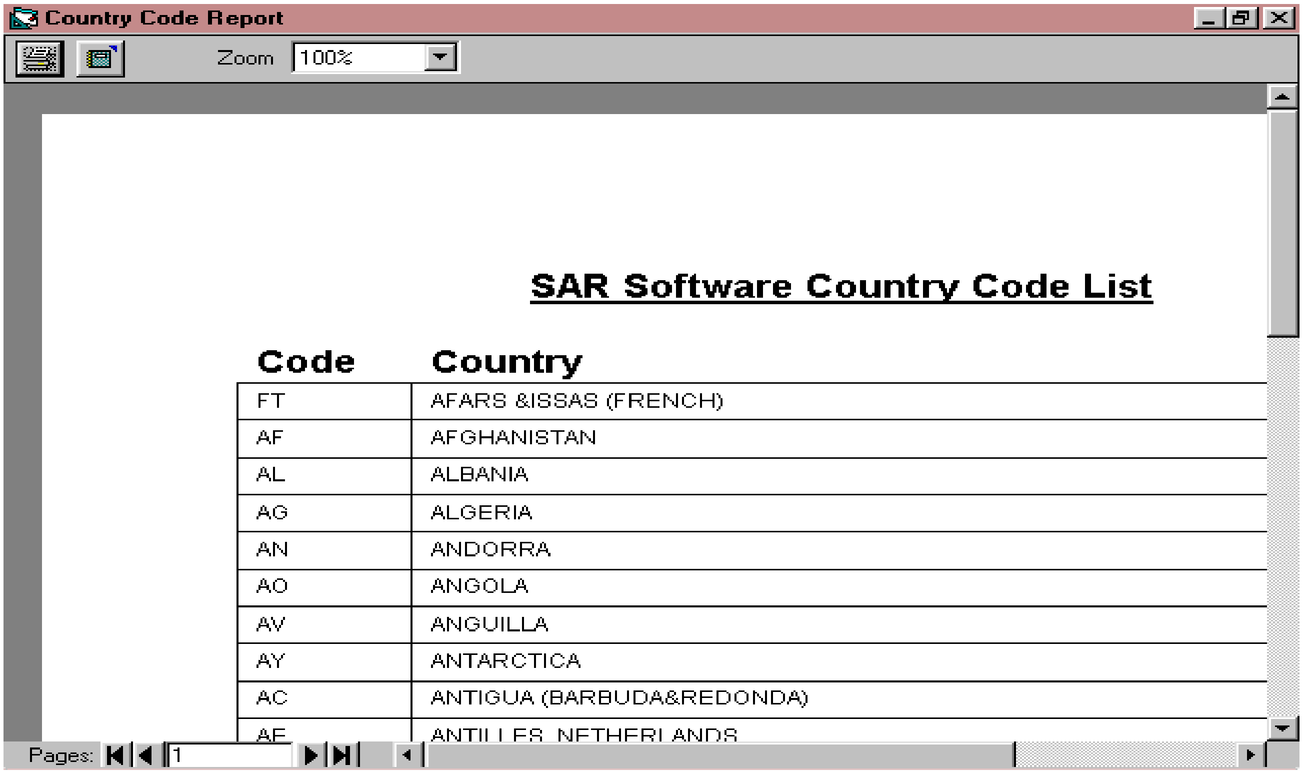

Exhibit A.27

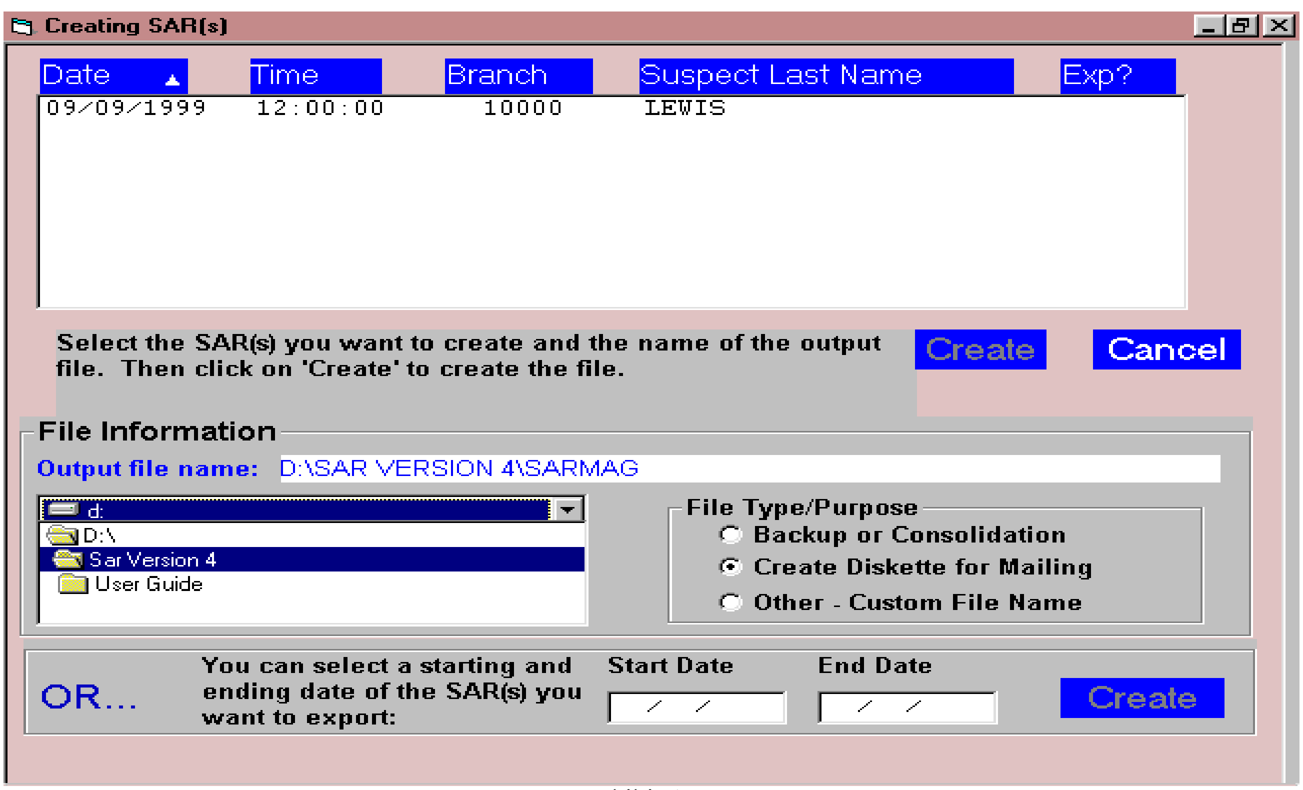

Exhibit A.28

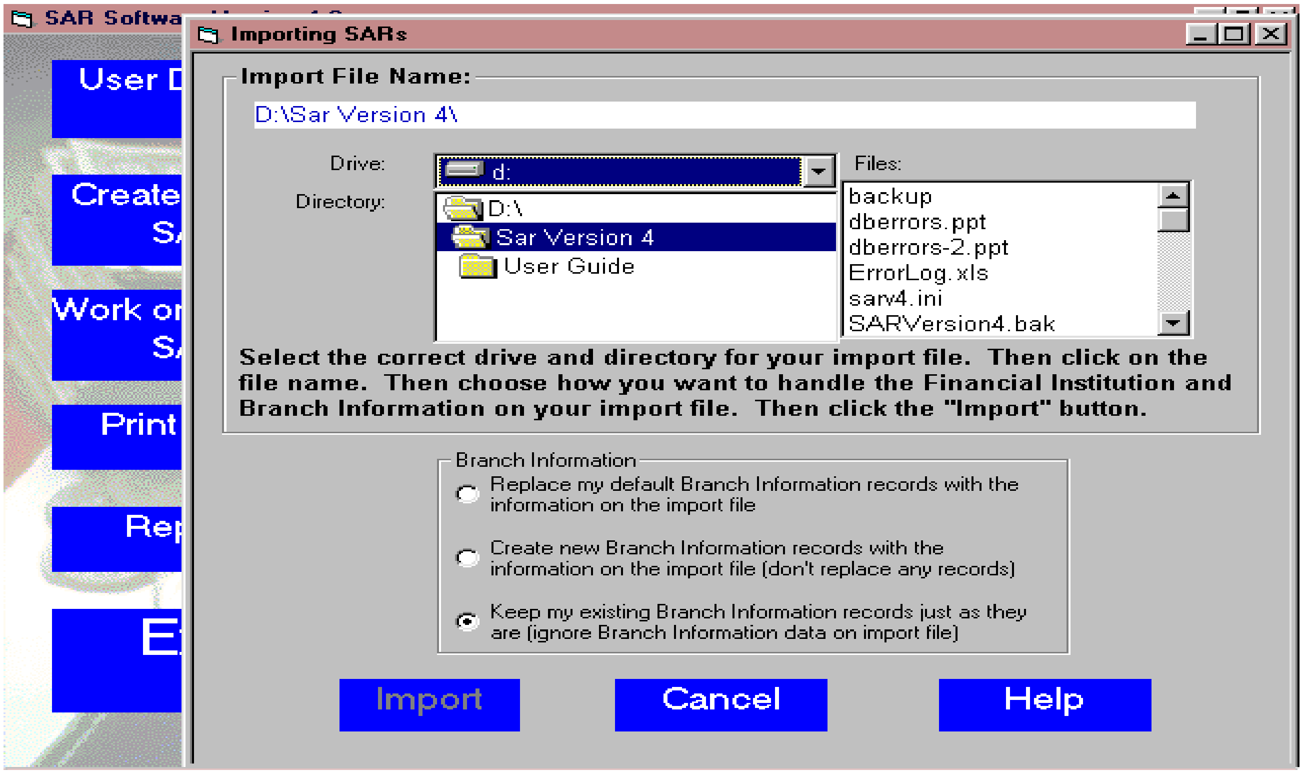

Exhibit A.29

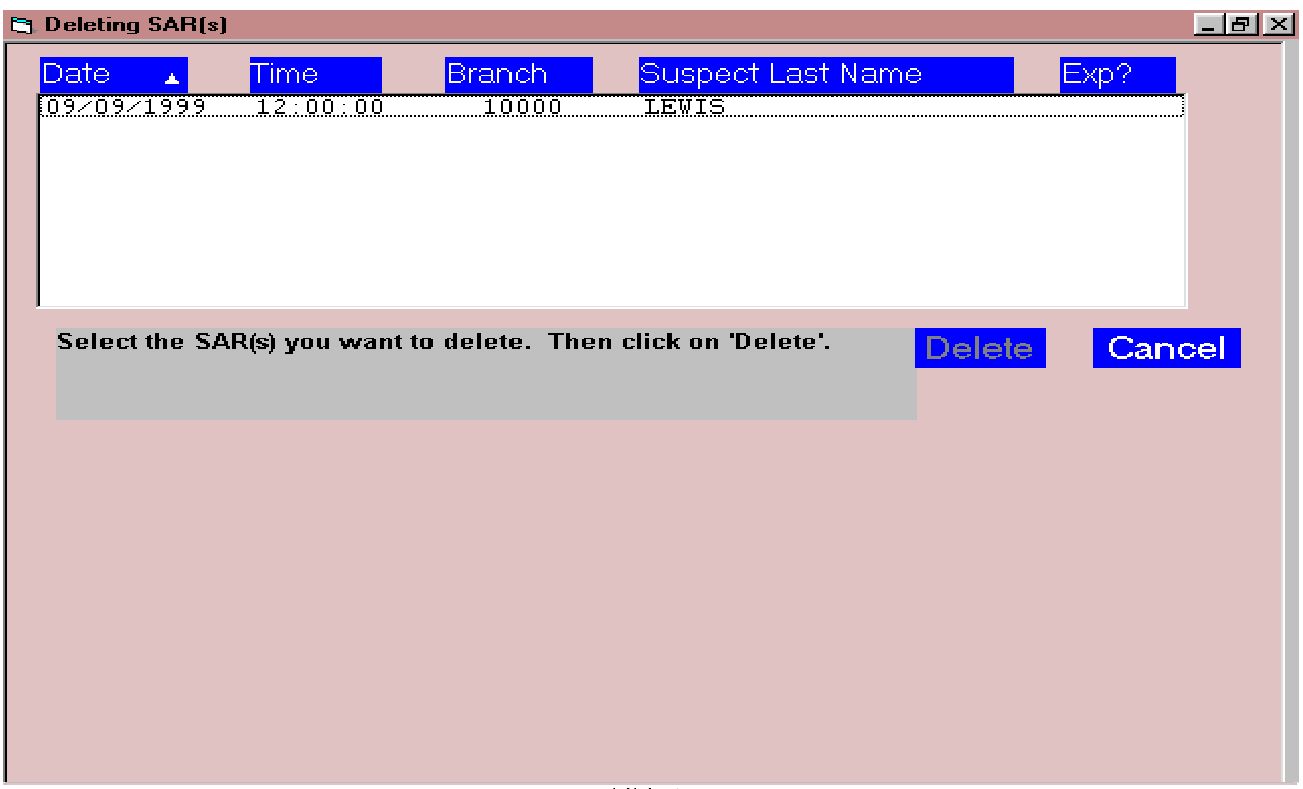

Exhibit A.30

How To Use Form 4419A

- Select the hand tool from the Acrobat toolbar menu. You can use the hand tool to move the page around so that you can view all the areas on it.

- Position the hand pointer inside a form field and click. The I-beam pointer allows you to type text. The arrow pointer allows you to select a field, a check box, a radio button, or an item from a list.

- Press Tab to accept the field change and go to the next field.

- Press Shift + Tab to accept the field change and go to the previous field.

- Use your mouse to select an area of the form that is not inside a form field before printing your form. If a form field is active (contains the blinking bar) the contents will not print.

- If the fill-in form is displayed within your web browsers window be sure to use the printer button on the Acrobat toolbar menu to print the form instead of your web browsers print function.

Internal Use
TCC Code

FORM DCC-4419A

Application for Magnetic Reporting of Suspicious Activity Report (SAR)

1. Name and address of organization (street, city, state, zip code)	2. Person to contact about this request Name Title Telephone Number: (Include area code)
3. Employer Identification Number (EIN)	4. Calendar year for which you will begin to file on magnetic media (MM/YYYY)
5a. Transmitter name and address if different from item 1	5b. Employer Identification Number (EIN) 5c. Transmitter control code (TCC)

6. Type of magnetic media to be used:

☐ 5 1/4” Diskette ☐ 3 1/2” Diskette

7. Person responsible for DCC-Form 4419a

7a. Name	7b. Title
7c. Signature	7d. Date (MM/DD/YYYY)