

The Benefits of BSA E-Filing

In Focus: Money Services Businesses

To Access Audio: 1.) Dial 1-773-945-1011
2.) Enter Access Code: 600-337-158
3.) Enter Audio Pin shown on screen





Agenda

- New for BSA E-Filing: RMSB (Form 107)
 - MSB Requirements and BSA E-Filing
- BSA E-Filing Overview
- Benefits of BSA E-Filing
- Brief Tutorial
 - Enrolling and Using the BSA E-Filing System
 - Electronically Filing an RMSB
- Questions and Answers

MSB Requirements & BSA E-Filing



NEW! RMSB (Registration of Money Services Business)

- On July 18, 2011, FinCEN announced that MSBs can now E-File their registration forms

What other reports can MSBs file using BSA E-Filing?

- SAR-MSB (Suspicious Activity Report by Money Services Businesses)
- CTR (Currency Transaction Report)



MSB Requirements & BSA E-Filing

NEW! RMSB (Registration of Money Services Business)

- MSBs can E-File initial registrations, renewals, re-registrations, and corrections
 - To E-file a correction, you will need the Document Control Number (DCN) included in the acknowledgement letter. MSBs can also obtain the DCN by calling (866) 270-0733.
- Faster receipt of acknowledgement letter due to reduced processing times
- Same BSA reporting obligations



MSB Requirements & BSA E-Filing

BSA E-Filing System Acknowledgements

- Immediate: Submission Confirmation
- Two Business days: Acknowledgement from BSA E-Filing System
 - Includes Document Control Number

Acknowledgement Letter

- Faster receipt of acknowledgement letter compared to paper filing



MSB Requirements & BSA E-Filing

Who needs to register as an MSB?

➤ With few exceptions, each money services business (MSB) must register with FinCEN. A person that is an MSB solely because that person serves as an agent of another MSB is not required to register.

➤ *Example: A business acts as an agent of a money transmitter and does not conduct any other MSB activities*

➤ *Registration not required*

➤ *Example: A business acts as an agent of a money transmitter and also does its own check cashing*

➤ *Registration required*

MSB Requirements & BSA E-Filing



RMSB and Data Quality: Agent Request Initiative

- Letter dated April 27, 2011, sent to all MSBs whose RMSBs listed in Item 29 that they have agents. MSBs that receive this letter should respond in one of two ways:
 - if an MSB actually has agents, it must send FinCEN its agent list
 - if an MSB does not actually have agents, it must correct its RMSB
- MSBs should now use E-Filing to file the correction!



MSB Requirements & BSA E-Filing

What is an agent?

An “agent” is a separate business entity from the issuer (also sometimes referred to as the “principal”) that the issuer authorizes, through a written agreement or otherwise, to sell its instruments or, in the case of funds transmission, to sell its send and receive transfer services.

An agent is not: an employee, a second location

Note: many businesses *are* agents of another MSB, but this does not mean they themselves *have* agents.



MSB Requirements & BSA E-Filing

When is the RMSB due?

Requirements remain the same:

- **Initial Registration** – The deadline for initial registration is the end of the 180-day period beginning on the day following the date the business is established.
- **Renewal** – After an MSB completes its initial registration, the form to renew its registration must be filed by December 31 of the second calendar year preceding the 24-month renewal period. Thereafter, a registration renewal must be filed every 24 months by December 31.
- **Re-registration** – must be filed not later than 180 days after the date the *triggering event* occurs (re-registration under state law, >10% transfer of equity interest, >50% increase in agents.)



MSB Requirements & BSA E-Filing

What if I have questions on regulatory requirements?

Am I an MSB?

Do I have agents?

How do I fill out a SAR?

- Visit FinCEN's Website

http://www.fincen.gov/financial_institutions/msb/

- Call FinCEN's Regulatory Helpline at (800) 949-2732

What if I have questions on the status of my acknowledgement letter?

- Call the IRS at (866) 270-0733



BSA E-Filing Overview

What is BSA E-Filing?

- **A secure**, web-based electronic filing system that provides the capability for financial institutions to submit Bank Secrecy Act reports
- **A flexible solution** for your institution, whether you file one BSA report or thousands
- **An accessible service** that filers can use their existing Internet connections to access
- **A proven system** available since October 2002



BSA E-Filing Overview

Who uses BSA E-Filing?

- More than 31,000 active users representing approximately 10,000 financial institutions of all sizes and from a variety of industries
- Average of approximately 1.1 million reports submitted per month
- 84% of all BSA data is now filed electronically



BSA E-Filing Overview

What other reports can be filed using BSA E-Filing?

- CTR-C (Currency Transaction Report by Casinos)
- DEP (Designation of Exempt Person)
- SAR (Suspicious Activity Report by Depository Institutions)
- SAR-C (Suspicious Activity Report by Casinos and Card Clubs)
- SAR-SF (Suspicious Activity Report by the Securities and Futures Industries)
- **NEW!** FBAR (Report of Foreign Bank and Financial Accounts)



Benefits of BSA E-Filing

Why should financial institutions choose BSA E-Filing?

- Provided free to all filing institutions
- Streamlined BSA form submission process
- Faster routing of information to better protect the financial system from illicit actors and activities
- Greater data security and privacy compared with paper forms and traditional mail delivery
- Long-term cost savings to both financial organizations and the government
- Features not available to paper filers....



Benefits of BSA E-Filing

What features are only available through BSA E-Filing?

- Ability to obtain electronic notification of transmissions, receipt of submission, and errors, warnings, and alerts to improve filing quality
 - Batch validation—a vital quality check for your filings
 - CTR and SAR acknowledgements—a valuable auditing tool
 - Filer feedback reports—a helpful analytical report
- Faster receipt of acknowledgement letter for MSBs
- Ability to send and receive Secure Messages
- Use of Adobe Forms
 - Uses pre-populated Form Templates to reduce data entry
 - Ability to print paper copies can minimize change to existing internal review and approval processes
- Ability for your institution's Supervisory User to assign system roles
- Provision of helpful training materials to ease the transition



BSA E-Filing: The Right Choice for You

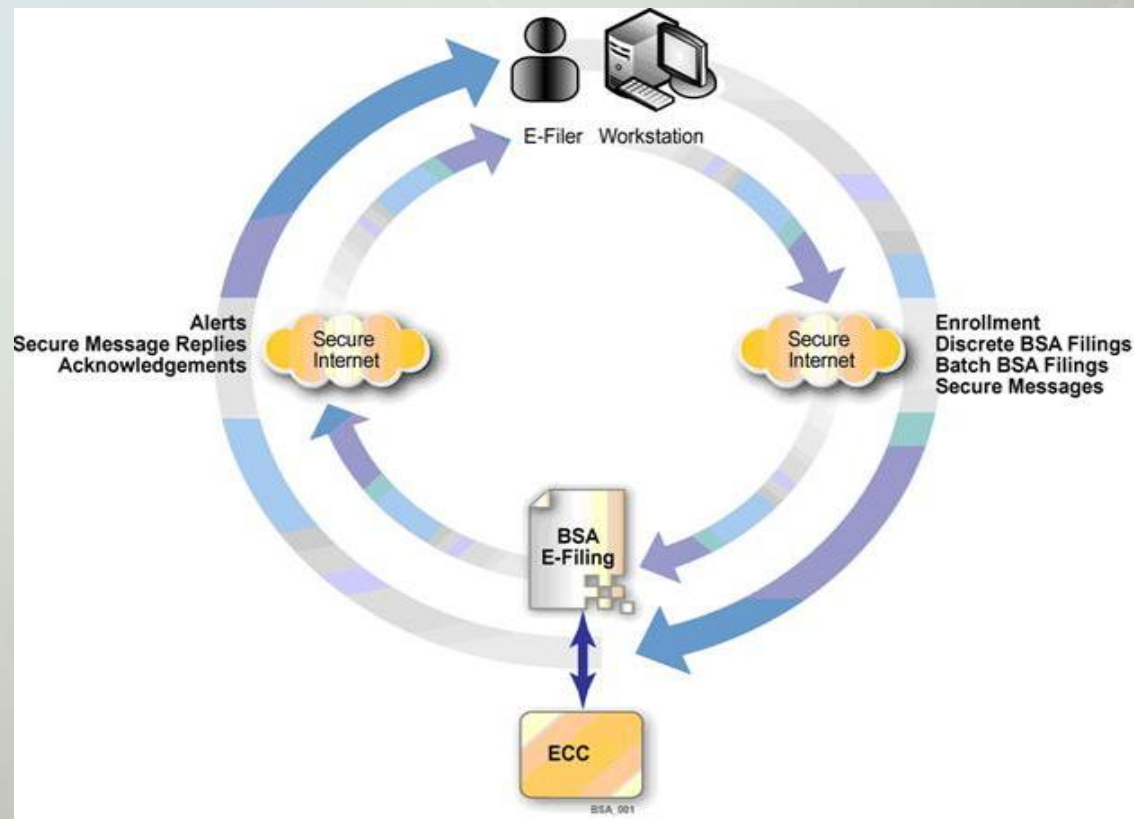
- For more information on regulatory requirements for MSBs, visit:
 - http://www.fincen.gov/financial_institutions/msb/
- Signing up is as easy as visiting FinCEN's BSA E-Filing Web site at <http://bsaefiling.fincen.treas.gov/>
 - Explore BSA E-Filing more by using FinCEN's "Take a Tour" feature on the Web site
 - See what else E-Filing can do for your institution at http://www.fincen.gov/whatsnew/pdf/E-File_Brochure.pdf

BRIEF TUTORIAL

***ENROLLING AND USING THE
BSA E-FILING SYSTEM***



System Architecture



Home Page



BSA E-Filing System - Welcome to the BSA E-Filing System - Windows Internet Explorer

http://bsae filing.fincen.treas.gov/main.html

Live Search

BSA E-Filing System - Welcome to the BSA E-Filing Sys...

BSA E-FILING SYSTEM

FINANCIAL CRIMES ENFORCEMENT NETWORK

- BSA Home
- Using BSA E-Filing
- Take a Tour
- Become a BSA E-Filer
- Frequently Asked Questions
- Help
- Site Map

E-Filing System Login

Welcome to the BSA E-Filing System

The BSA E-Filing System supports electronic filing of Bank Secrecy Act (BSA) forms (either individually or in batches) through a FinCEN secure network. BSA E-Filing provides a faster, more convenient, more secure, and more cost-effective method for submitting BSA forms. [Additional benefits](#) are listed under [Using BSA E-Filing](#).

How does BSA E-Filing work?

The BSA E-Filing System is hosted on a secure website accessible on the Internet. Organizations that file BSA forms with FinCEN can securely access the system after they apply for and receive a user ID and password from FinCEN. In addition, individuals can apply for and receive a user ID and password from FinCEN to file the FBAR report.

Become a BSA E-Filer

Take a Quick Tour

Hot Topics

- File an Individual FBAR
- Feb 15, 2011 - How To Enable New BSA E-Filing Security Requirements
- Nov 4, 2010 - Content of Today's E-Filing Informational Webinar

User Quick Links

FBAR Filers

- File an Individual FBAR

Supervisory Users

- Getting Started with BSA E-Filing
- Submitting the Supervisory User Application Form
- Obtaining Authorization as Supervisory User

General Users

- Downloading the Adobe Acrobat Reader

Batch Filers

- BSA E-Filing System Batch File Testing Procedures


Website Comments?

- Let us know what you think

U.S. Dept. Of Treasury FinCEN.gov Privacy Policy Accessibility



Become a Filer



BSA E-FILING SYSTEM

FINANCIAL CRIMES ENFORCEMENT NETWORK

- BSA Home
- Using BSA E-Filing
- Take a Tour
- Become a BSA E-Filer
 - Institution
 - FBAR Filer
- Frequently Asked Questions
- Help
- Site Map

E-Filing System Login

Become a BSA E-Filer

Complete the following four steps to enroll your organization in BSA E-Filing: ([Printable Version](#))


- 1** [Identify Your Organization's Point of Contact](#)

This person will serve as a liaison between BSA E-Filing and the filing organization and will complete the process to enroll him/herself as well as the filing organization.
- 2** [Fill Out and Submit the Supervisory User Application Form](#)

To obtain a user ID, the Supervisory User must fill out and submit the Supervisory User Application Form.
- 3** [Obtain Authorization as Supervisory User](#)

Once FinCEN verifies the identity/designation of the Supervisory User, he/she will receive a user ID to access the E-Filing system.
- 4** [Download the Forms Reader](#)

The Forms Reader allows preparation of CTR/SAR electronic forms, viewing of BSA E-Filing alerts, and transmittal of secure messages to FinCEN.



This enrollment process is for use by individuals who have been designated as the initial BSA E-Filing Supervisory User for their filing organizations. All other users from the filing organization, including any backup Supervisory Users, will enroll via a distinctly different process **only after** the Supervisory User has successfully enrolled him/herself and the filing organization.

FBAR

- [How To Enable Filing Security](#)
- [Nov 4, 2010 - Content of Today's E-Filing Informational Webinar](#)

User Quick Links

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Website Comments?

- [Let us know what you think](#)

Easy Four Step
Process To
Enroll !



Become a Filer



BSA E-FILING SYSTEM

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Easy Four Step
Process To
Enroll !



Become a Filer

1

Identify Your Organization's Point of Contact

This person will serve as a liason between BSA E-Filing and the filing organization and will complete the process to enroll him/herself as well as the filing organization.

2

Fill Out and Submit the Supervisory User Application Form

To obtain a user ID, the Supervisory User must fill out and submit the Supervisory User Application Form.

3

Obtain Authorization as Supervisory User

Once FinCEN verifies the identity/designation of the Supervisory User, he/she will receive a user ID to access the E-Filing system.

5 – 7 Business Days

4

Download the Forms Viewer

The Forms Viewer allows preparation of CTR/SAR electronic forms, viewing of BSA E-Filing alerts, and transmittal of secure messages to FinCEN.

BSA E-Filing - Microsoft Internet Explorer provided by TCS

https://bsae filing1.fincen.treas.gov/BSALoginServlet

File Edit View Favorites Tools Help

BSA E-Filing

Home Feeds (1) Print Page Tools

BSA E-FILING SYSTEM

FINANCIAL CRIMES ENFORCEMENT NETWORK

Logoff

BSA E-Filing Home

New to BSA E-Filing

- Next Steps for Using BSA E-Filing

Filing

- Track Status
- Obtain New PIN
- Track Organization Status
- File CTR
- File CTCR
- File DEP
- File SAR
- File SARC
- File SARMSB
- File SARSF
- File Batch CTR/DEP
- File Batch CTCR
- File Batch SAR
- File Batch SARC
- File Batch SARMSB
- File Batch SARSF

Documentation

- Frequently Asked Questions
- User Manual
- Quick Reference
- Computer Based Training
- Supervisory User Manual
- SDTM Requirements

Next Steps for Using BSA E-Filing

Welcome to BSA E-Filing!

Now that your organization's point of contact (Supervisory User) for BSA E-Filing has enrolled your organization, here are the next steps for using BSA E-Filing:

- [Step 1: Add Additional Users](#)
- [Step 2: Determine Your Filing Type](#)
- [Step 3: Test Your Batch File](#)
- [Step 4: Submit Your File](#)
- [Step 5: Verify Your File Was Submitted](#)
- [Step 6: Obtain and Understand Your File Acknowledgements](#)
- [Step 7: Correct and Amend Your File](#)
- [Step 8: Help](#)

Step1: Add Additional Users

Once the Supervisory User has determined who in the organization requires access to BSA E-Filing, he/she can enroll additional BSA E-Filing users for the organization. Detailed instructions are provided in the [Supervisory User Manual](#).

[Back to steps](#)

Step 2: Determine Your Filing Type

BSA E-Filing has two methods for submitting BSA reports - as a discrete submission (i.e., an individual form) or in batch (multiple forms in one submission). You can choose different methods for different forms, depending on your organization's requirements.

[Back to steps](#)

Local intranet 100%

System
Guide After
First Login!





Three Ways to E-File:

What is the right BSA E-Filing solution for you?

- **Discrete BSA Filing** (single report)
 - A solution for smaller institutions or those that only file small numbers of BSA reports
 - **RMSB must be filed as a discrete report**
- **Batch BSA Filing**
 - A solution for medium-size or larger institutions or those that consistently file larger numbers of BSA reports
- **System-to-System Filing** (Secure Data Transfer Mode)
 - A batch filing solution for the largest filers



Filing an RMSB

BSA E-Filing - Windows Internet Explorer

https://bsaeifiling1.fincen.treas.gov/BSALoginServlet

File Edit View Favorites Tools Help

BSA E-Filing

BSA E-FILING SYSTEM
FINANCIAL CRIMES ENFORCEMENT NETWORK

Logoff

- Prepare Alert
- View Alerts
- Filing
 - Filings Status
 - Acknowledgements Status
 - File CTR
 - File CTCR
 - File DEP
 - File SAR
 - File SARC
 - File SARMSB
 - File SARSF
 - File RMSB
 - File FBAR
 - File Batch CTR/DEP
 - File Batch CTCR
 - File Batch SAR
 - File Batch SARC
 - File Batch SARMSB
 - File Batch SARSF
 - Track Organization Status
 - Track Status
 - Obtain New PIN
- Reports
 - Reports

Welcome to the BSA E-Filing System

NEW BSA E-Filing News: [Jul 18, 2011 - Release Notification - RMSB, FBAR and System Enhancements](#)

NEW BSA E-Filing News: [Important Notice - Updated Zip Code Validations for BSA Reports](#)

NEW BSA E-Filing News: [Oct 20, 2010 - Filer Feedback Report Update](#)

NEW BSA E-Filing News: [Sep 14, 2010 - Release Notification - Filer Feedback Report and FAQs](#)

NEW BSA E-Filing News: [Sep 13, 2010 - FAQs For Work In Progress and Filer Feedback Reports](#)

NEW BSA E-Filing News: [Aug 12, 2010 - Upcoming Release Notification - Filer Feedback Reports](#)

You are currently logged in as Ken Janoski. Last login: August 07, 2011 at 12:35:13 PM EDT.

The BSA E-Filing System allows you to file BSA forms with FinCEN via a secure Internet connection and alerts and advisories via BSA E-Filing and respond to them by sending secure messages to the system.

To learn how to use the system, click on the "Help" link in the top right corner. The Help Desk is available 24 hours a day, 7 days a week, except on Federal holidays.

Select File RMSB To File Discrete RMSB Form

New to BSA E-Filing? Contact Us

- File SARC
- File SARMSB
- File SARSF
- File RMSB
- File FBAR
- File Batch CTR/DEP
- File Batch CTCR
- File Batch SAR



Opening a New RMSB Form

BSA E-Filing - Open a Form - Microsoft Internet Explorer provided by TCS

File Edit View Favorites Tools Help

Home Feeds (1) Print Page Tools Help Messenger Full Screen

Open an Existing Form

*Unless you are making an amendment, please be sure you have not already submitted this form. To determine if a filing was submitted, compare the Filing Name on the form with the submissions listed in your Track Status view.

Browse to a saved form and click "Open Existing Form" to open it.

Browse...

Open Existing Form

Open a New Form

Click "Open New Form" to open a new form.

Open New Form

Cancel

Select Open Existing Form to Open Template

Select Open New Form to Open Blank Form



RMSB Form – Header Page

https://bsaeifiling1.fincen.treas.gov/RMSB - Windows Internet Explorer

File Edit Go To Favorites Help

★ Favorites ★ Free Hotmail

Page Safety Tools


1 / 3 115%

Comment Share

Highlight Existing Fields

Please fill out the following form. You can save data typed into this form.

Save Validate Submit

 **BSA E-Filing Registration of Money Services Business Header** Version Number: 1.0

Filing Name

Submission Type

Document Control Number

Sign with PIN

Fill in Header
Page With
Filing
Information

RMSB



https://bsaeifiling1.fincen.treas.gov/RMSB - Windows Internet Explorer

File Edit Go To Favorites Help

★ Favorites ★ Free Hotmail

Page Safety Tools

2 / 3 115%

Comment Share

Please fill out the following form. You can save data typed into this form. Highlight Existing Fields

FinCEN Form 107

March, 2011

Previous editions will not be accepted after September, 2011.

Registration of Money Services Business

See instructions for items marked with an asterisk (*).

(Always Complete Entire Report)

OMB No. 1506-0013

Part I Filing Information

1 Indicate the type of filing by checking a, b, or d below (Check only one). If filing a correction, check d.

a ☐ Initial registration b ☐ Renewal c ☐ Correcting a prior filing d ☐ Correcting a prior filing

2 If you checked item 1 d please indicate the reason(s). Check all that apply.

a ☐ Re-registered under state law b ☐ More than 10 percent transfer of ownership c ☐ Change in agents

Part II Registrant Information

*3 Legal name of the money services business

4 Doing business as (DBA) Item *3 - Legal name of the money services business. Enter the full legal name of the registrant money services business as it is shown on the charter or other document creating the entity. For example, "Good Hope Enterprises, Inc." should be entered as "Good Hope Enterprises Inc". If the registrant money services business is a sole proprietorship, enter the business name of the proprietorship.

*5 Address *6 City *8 ZIP Code

*9 EIN (entity), SSN/ITIN(individual) 10 Telephone number (include area code) 11 E-mail address (if available)

Part III Owner or Controlling Person

12 Individual's last name, or organization's name 13 First name 14 Middle initial

15 Address

16 City 17 State 18 ZIP Code/Postal Code 19 Country (if other than US)

Field
Validations
and Online
Help !



PIN Signature

https://bsaeifiling1.fincen.treas.gov/RMSB - Windows Internet Explorer

File Edit Go To Favorites Help


★ Favorites ★ Free Hotmail

Page Safety Tools

Comment Share

Please fill out the following form. You can save data typed into this form. Highlight Existing Fields

Save Validate Submit Print Close

 **BSA E-Filing Registration of Money Services Business Header** Version Number: 1.0

Filing Name

Submission Type

Document Control Number

Sign with PIN

**All Submissions Must
Be Digitally Signed !**



Submission Confirmation

BSA E-Filing - Submission Confirmation - Windows Internet Explorer

File Edit View Favorites Tools Help

★ Favorites | ★ Free Hotmail

Page Safety Tools

Confirmation

We have received your submission. Please confirm the following information and records. Please track the status of your submission using the 'Track Status' function in the Filing system.

Tracking ID:	T_E_S_T_RMS11-00000001
Receive Date/Time:	08/08/2011 09:54:50 AM
Submission Type:	RMSB
Owner Name:	fincenadmin1 fincenadmin1
Owner E-mail:	kjanoski@fincen.gov
Filing Name:	test

Close

Immediate
Confirmation
Received
After
Submission !



Acknowledgements

BSA E-Filing - Microsoft Internet Explorer provided by TCS

https://bsaeifiling1.fincen.treas.gov/BSALoginServlet

File Edit View Favorites Tools Help

BSA E-Filing

BSA E-FILING SYSTEM
FINANCIAL CRIMES ENFORCEMENT NETWORK

logoff

BSA E-Filing Home

New to BSA E-Filing

- Next Steps for Using BSA E-Filing

Filing

- Track Status
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- File CTR
- File CTRC
- File DEP
- File SAR
- File SARC
- File SARMSB
- File SARSF
- File Batch CTR/DEP
- File Batch CTRC
- File Batch SAR
- File Batch SARC
- File Batch SARMSB
- File Batch SARSF

Documentation

- Frequently Asked Questions
- User Manual
- Quick Reference

View Inbox

Filter messages: Show All (selected) | Delete | Reply | Refresh

Check All Clear All

Displaying Record: 1 2 3 4 5 6 7 next

		Date Received	Sender	BSA E-Filing Tracking ID	Date Opened
<input type="checkbox"/>	Acknowledgement for SSST10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000020	Not Opened
<input type="checkbox"/>	Acknowledgement for SSST10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000021	Not Opened
<input type="checkbox"/>	Acknowledgement for SS10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000019	Not Opened
<input type="checkbox"/>	Acknowledgement for SMSST10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000018	Not Opened
<input type="checkbox"/>	Acknowledgement for SMSB10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000017	27-Jan-10
<input type="checkbox"/>	Acknowledgement for SMS10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000016	Not Opened
<input type="checkbox"/>	Acknowledgement for SCST10-00000000	27-Jan-10	BSA E-Filing Program Manager	RM10-00000015	Not Opened
<input type="checkbox"/>	Acknowledgement for SCB10-00000002	27-Jan-10	BSA E-Filing Program Manager	RM10-00000014	27-Jan-10

Local intranet 100%

Acknowledgements
Sent to Secure
Inbox



RMSB Acknowledgement

https://bsaeiling1.fincen.treas.gov/Message?ACTIVITY=ViewMessage&WORKFLOWID=project-Reply,wor - Windows Internet Explorer


File Edit Go To Favorites Help

★ Favorites ★ Free Hotmail

Page Safety Tools

1 / 1 115% Comment Share

Save Print Close

 **BSA E-Filing Secure Message Reply Form**

Do not use the built-in Adobe Reader attachments functionality to add or delete files on this "Delete Attachment" buttons on this form instead.

To: Ken Janoski

Subject: Acknowledgement for RMS11-00000029

Attachment(s): ☐

Received acknowledgement for BSA Tracking Number RMS11-00000029.

This RMSB has been assigned DCN: 20111580001026.

Example of
Discrete Filing
Acknowledgement



Batch Filing

- One file contains multiple submissions
- File must match published E-Filing Specifications (posted on www.fincen.gov)
- Batches are validated against specifications
- AML Vendors provide software to create files or files created by internal IT staff
- The BSA E-Filing Test site is available to test file format before moving to production



Specification Snapshot

http://www.fincen.gov/forms/files/e-filing_CTRCsSpecs.pdf - Windows Internet Explorer

http://www.fincen.gov/forms/files/e-filing_CTRCsSpecs.pdf

BSA E-Filing

Customer (Part I - Section A) (2C) Record - Required

This record identifies the person(s) or organization(s) for which this transaction was completed. This record is required. There must be at least one of these records for every customer involved in this transaction. The 2C Record item numbers refer to CTR-C Form Part I.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "2C".
3-7	Location Control Code (LCC)	5	REQUIRED. Enter the LCC for the submitting casino. Do not use all zeros.
8-12	Transaction Sequence Number	5	REQUIRED. Enter the transaction sequence number from the associated Transaction Summary (2B) Record.
13	Multiple Persons (Item 2)	1	Enter an 'X', if there are multiple persons.
14-48	Organization or Individual Last Name (Item 3)	35	REQUIRED. Enter the customer's last name. Use the standard name editing instructions in Attachment E - Field Editing Instructions. Left justify and space fill unused positions.
49-67	Individual First	19	REQUIRED if individual. Enter the customer's first name. Use the standard name editing instructions in Attachment E - Field

Submitted
File **MUST**
Match
Specifications

File Formatted
to
Specifications

35




Batch CTR Submission

https://bsaeiling1.fincen.treas.gov/CTRBATCH - Microsoft Internet Explorer provided by TCS

File Edit Go To Favorites Help
Home Feeds (0) Print Page Tools Help Messenger Full Screen
Next Page 1 / 1 Zoom Out Zoom In 100% Scrolling Pages One Full Page Find

Save Validate Submit Print

 **BSA E-Filing CTR/DEP Batch Form**

The attachment may contain CTR only, DEP only, or both CTR and DEP filings.

The form can only be submitted with just one attached file. If more than one file is attached, only one batch file may be attached to the submission. If you need to submit multiple batch files, use a separate form for each file. A batch file may contain multiple filings.

Do not use the built-in Adobe Reader attachments functionality to add or delete files on this form. Use the "Add Attachment" and "Delete Attachment" buttons on this form instead. Do not attach zip files. If a zip file is attached, an alert window will be displayed and the form cannot be submitted. The system automatically compresses files during the upload process.

Do not submit any test files into the BSA E-Filing system without first coordinating with the Help Desk at 1-888-827-2778 [option 6] or e-mail at BSAEFilingHelp@notes.tcs.treas.gov. The Help Desk regular hours of operation are 8:00 AM - 6:00 PM East Coast Time, Monday - Friday. Please note that the Help Desk is closed on federal holidays.

Filing Name:

Batch File Format:

Attachment: ☐

Override Rejected Submission: ☐

8.50 x 11.00 in

Fill in Header
Page With
Filing
Information



Attaching A Batch File

Warning: JavaScript Window - Select a data file to import

Look in: Desktop

- CTR Test_SSN 111208.xfd
- CTR Testt 073109.xfd
- CTR.pdf
- CTR_Adobe Test 1.pdf
- CTRC_326_20091016.TXT
- DEP Ruling_010509.pdf
- DEP Test_Dates 101509.pdf
- Duplicate Orgs.txt
- Efiling Error.doc
- Error_125_CTRBatch.txt
- FAQs_private.html
- FilerFeedbackFilerStatistics20100201.pdf
- FilerFeedbackTopQualityIssues20100201.pdf
- M2004272CTR20040928.ASC
- MFctr 122809.log

Type: ASC File
File Size: 4 KB
Modified: 10/7/2009 4:49 AM

File name: M2004272CTR20040928.ASC
Files of type: All Files (*.*)

Open Cancel

Batch File Format: **ASCII**

Attachment: ☐ **Add Attachment** **Delete Attachment** **View/Save Attachment**

Override Rejected Submission: ☐

Attach Batch File



Tracking Filing Status

Track Status
Displays Filing
Information !

BSA E-Filing - Microsoft Internet Explorer provided by TCS

https://bsae filing1.fincen.treas.gov/BSALoginServlet

File Edit View Favorites Tools Help

BSA E-Filing

BSA E-Filing Home

New to BSA E-Filing

- Next Steps for Using BSA E-Filing
- Filing
 - Track Status
 - Obtain New PIN
 - Track Organization Status
 - File CTR
 - File CTRC
 - File DEP
 - File SAR
 - File SARC
 - File SARMSB
 - File SARSF
 - File Batch CTR/DEP
 - File Batch CTRC
 - File Batch SAR
 - File Batch SARC
 - File Batch SARMSB
 - File Batch SARSF
- Documentation
 - Frequently Asked Questions
 - User Manual
 - Quick Reference
 - Computer Based Training
 - Supervisory User Manual

Track Organization Status

Filter Filings: Show All

Export Page as CSV

Displaying Results: 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51

Filing	Filing Type	Date Filed	BSA E-Filing Tracking ID	Status Date	Status	DCN	Filer Name
CTR	CTR	07-Jan-10	C10-00000000	07-Jan-10	Accepted		Kimberly Ray
CTR	CTR	26-Aug-09	C09-00000066	10-Nov-09	Transmitted		Donna Church
CTR	CTR	26-Aug-09	C09-00000065	10-Nov-09	Transmitted		Donna Church
CTR	CTR	26-Aug-09	C09-00000064	10-Nov-09	Transmitted		Donna Church
CTR Test Batch 1 080409	CTRBATCH	04-Aug-09	CB09-00000048	04-Aug-09	Rejected		Donna Church
CTR Test 1 080409	CTR	04-Aug-09	C09-00000063	04-Aug-09	Rejected		Donna Church
CTR Batch Test 1 080409	CTRBATCH	04-Aug-09	CB09-00000047	04-Aug-09	Rejected		Donna Church
CTR Test 3 080409	CTR	04-Aug-09	C09-00000062	04-Aug-09	InvalidPIN		Donna Church
CTR Test 2 080409	CTR	04-Aug-09	C09-00000061	04-Aug-09	InvalidPIN		Donna Church
CTR Test 1 080409	CTR	04-Aug-09	C09-00000060	04-Aug-09	Rejected		Donna Church
CTR TEST 080409	CTR	04-Aug-09	C09-00000059	04-Aug-09	Rejected		Donna Church
CTR Val Err001 Rec2B Leading Spaces	CTRBATCH	29-Jul-09	CB09-00000046	29-Jul-09	Rejected		Matthew Gardner
CTR Val Err001 Rec2B Blank	CTRBATCH	29-Jul-09	CB09-00000045	29-Jul-09	Rejected		Matthew Gardner
CTR Val Err001 Rec2A Leading Spaces	CTRBATCH	29-Jul-09	CB09-00000044	29-Jul-09	Rejected		Matthew Gardner
CTR Val Err001 Rec2A Blank	CTRBATCH	29-Jul-09	CB09-00000043	29-Jul-09	Rejected		Matthew Gardner
CTR Val Test Orig	CTRBATCH	29-Jul-09	CB09-00000042	29-Jul-09	Rejected		Matthew Gardner
CTR Val Test Orig	CTRBATCH	29-Jul-09	CB09-00000041	29-Jul-09	Rejected		Matthew Gardner
CTR Val Test Orig	CTRBATCH	29-Jul-09	CB09-00000040	29-Jul-09	Rejected		Matthew Gardner
CTR Val Err001 Rec2B Leading Spaces	CTRBATCH	29-Jul-09	CB09-00000039	29-Jul-09	Rejected		Matthew Gardner

Local intranet 100%




Batch Validation Errors

BSA E-Filing Submission Errors - Microsoft Internet Explorer provided by TCS

File Edit View Favorites Tools Help

Home Feeds (1) Print Page Tools Help Messenger Full Screen

 **BSA E-FILING SYSTEM**
FINANCIAL CRIMES ENFORCEMENT NETWORK

Submission Errors

Received the following submission errors for:

BSA E-Filing Tracking ID: CB10-00000001
 Filing Name: CTR Batch
 Status Date: 12-Jan-10

Code	Context	Severity	Description
022	3A [Line: 4]	ERROR	The Transaction Amount Cash-In and/or Transaction Amount Cash-Out are invalid in the Currency Transaction Summary (3A) Record due to one of the following reasons: a. Both amounts are blank. b. The amount(s) is non-numeric, excluding blank. c. The amount(s) is invalid.
076	3A:TransAmtCashIn, 3A:TransAmtCashOut [Line: 4]	ERROR	The Cash In or Cash Out amount(s) is invalid. Only cash transactions that exceed \$10,000 should be reported.
F19	9A:CTRTotalCashIn [Calculated: Not a number, Reported: 22222] [Line: 9]	FATAL	Branch summary amounts do not equal total of transaction amounts.
F22	9B:TotalCTRAmtCashIn [Calculated: Not a number, Reported: 111110] [Line: 38]	FATAL	FI summary amounts do not equal total of transaction amounts.
F20	9Z:TotalCTRAmtCashIn [Calculated: Not a number, Reported: 111110] [Line: 39]	FATAL	File summary amounts do not equal total of transaction amounts.
E00		FATAL	This submission has been Rejected because it contains significant errors. Please fix and re-submit the file.

Close Window Download as XML

System
Displays Batch
File Errors



Batch Acknowledgement

Example of Batch Filing Acknowledgement


https://bsaeiling1.fincen.treas.gov/Message?ACTIVITY=ViewMessage&&WORKFLOWID=project=Reply;wor - Mir

File Edit Go To Favorites Help

Home Feeds (3) Print Page Tools Help Messenger Full Screen

Next Page 1 / 1 Zoom Out Zoom In 100%

Save

 **BSA E-Filing Secure Message Reply Form**

Do not use the built-in Adobe Reader attachments functionality to add or delete files on this "Delete Attachment" buttons on this form instead.

To: [Tong Test1](#)

Subject: [Acknowledgement for CB10-00000000](#)

Attachment(s): ☒

[Please see the attachment for the acknowledgement file.](#)

8.50 x 11.00 in

Filer Feedback Reports



BSA Filing Top Data Quality Issues by Form

Organization Name: Unit Test Organization

Month: February **Year:** 2010

Filing Institution Name: Bank of WIP - Eastern Division

Form Type: CTR

Error Code	Error Description	Error Count	Rank
111	Owner Name is invalid. a. Blank, b. not in proper format, c. contains no slashes for individual.	21	1
112	Owner Number and street is blank.	20	2
113	Owner City is blank.	16	3
114	Owner State is blank.	12	4
115	Owner Country is US, CA, or MX but state is not a standard abbreviation.	8	5
116	Owner Country is not a valid country abbreviation.	6	6
117	Owner Zip-Code is blank, zeroes, or invalid and Country Code is US.	4	7
119	Owner Identifying Number Record is invalid. Identifying number is zeros, all 9s, invalid or non-numeric.	3	8
120	Owner Business occupation or profession is missing.	2	9
122	Owner Address contains punctuation.	1	10

Filer Feedback Reports



BSA Filing Counts Year-To-Date By Month

Organization Name: Unit Test Organization

Filing Institution Name: Bank of WIP - Eastern Division

Year: 2009

Month	CTR	DEP	CTR-C	SAR-DI	SAR-C	SAR-MSB	SAR-SF
January	12354	2345	0	235	0	576	214
February	27	3457	0	257	0	457	214
March	755	457	0	79	0	345	234
April	852	479	0	56	0	286	92
May	123	12	0	97	0	368	134
June	1346	3568	0	34	0	34	345
July	81	7531	0	13	0	13	137
August	85	582	0	581	0	18	92
September	2458	85	0	1	0	9	51
October	81	5134	0	4	0	1347	75
November	80	536	0	754	0	17	75
December	93	289	0	24	0	8	78



For More Information

BSA E-Filing Home Page

<http://bsaefiling.fincen.treas.gov>

BSA E-Filing Help Desk at 1-866-346-9478
(select option # 1)

BSAEFilingHelp@fincen.gov.

The Help Desk is available Monday through
Friday from 8 a.m. to 6 p.m. ET