



Financial Crimes Enforcement Network (FinCEN)

**FinCEN Suspicious Activity Report (FinCEN
SAR) Electronic Filing Requirements**

XML Schema 2.0

User Guide

DEPARTMENT OF THE TREASURY
FINANCIAL CRIMES ENFORCEMENT NETWORK (FINCEN)

0. Revision History

Version Number	Date	Change Description
1.0	01/26/2018	Initial version
1.1	06/15/2018	3.2 Batch Validation (Form & Fit) Overview - Added the following bullet to the list of general schema requirements that all XML batch files must adhere to: - Element values must not include leading and/or trailing spaces. - Element values must not include non-printable characters, such as carriage returns, line feeds, and tabs. - Element values must not contain duplicate entries within a single activity unless expressly permitted (<i>for example, a Subject party type may contain one legal name and up to 99 alternate names; therefore, if more than one legal name is recorded for the Subject, the batch file will fail validation and will not be accepted</i>). 4. FinCEN SAR XML Element Requirements <u>AssetSubtypeID</u> - Added the following rejection criteria to the Remarks: "The element contains a value that has already been recorded for the Activity." <u>ActivityNarrativeSequenceNumber</u> - Added the following rejection criteria to the Remarks: "The element contains a value that has already been recorded for the Activity." <u>OrganizationSubtypeID</u> - Added the following rejection criteria to the Remarks: "The element contains a value that has already been recorded for the Activity." <u>SuspiciousActivitySubtypeID</u> - Added the following rejection criteria to the Remarks: "The element contains a value that has already been recorded for the Activity." <u>PartyName</u> - Added the following rejection criteria to the Remarks: "More than one legal name is recorded for a party within a single FinCEN SAR Activity." <u>PartyIdentification</u> - Added the following rejection criteria to the Remarks: "More than one identification (other than the Form of ID for the Subject) of the same type is recorded for a party within a single FinCEN SAR Activity." <u>FormTypeCode</u> - Modified Value Restrictions and Example to correctly display the expected value of "SARX" rather than "FinCEN SARX". <u>CyberEventIndicatorsTypeCode</u> - Modified the Value Restrictions by changing the "Other" cyber event indicator type code from "11" to "999". NOTE: This change has also been applied to the EFL_SARXBatchSchema.xsd schema. <u>ElectronicAddressText</u> - Modified the Value Restrictions to specify that E-mail addresses should be 50 characters or less while Website (URL) addresses can be up to 517 characters and must contain at least one period. <u>OrganizationTypeID</u>

		○ Modified the Value Restrictions by changing the "Other" organization type code from "99" to "999". This is consistent with the current XML schema. • <u>OtherIssuerStateText</u> ○ Modified the Element Restrictions to include a third bullet that instructs the filer to record the element when "The identification type is Other and the identification was not issued by a national government." In the event that the "Other" identification recorded is a type of national government ID, such as a military ID, then the OtherIssuerStateText should not be recorded; instead, the OtherIssuerCountryText should be recorded identifying the Country where the ID was issued by (or in) associated with the subject. • <u>PartyIdentificationNumberText</u> ○ Modified the Value Restrictions to include a statement that "asterisks within the identification number are accepted for the subject's form of identification." This was added to accept Washington State Driver's License numbers containing asterisks. ○ Modified the Description of the Financial Institution Where Activity Occurred for bullet "55. Filing institution identification" to "55. Financial institution identification". ○ Modified the Value Restrictions to include the following for the Transmitter (35) TCC: TCC = 8 characters "equal to "TBSATEST" (when submitting in the BSA E-Filing User Test System) or "PBSA8180" (when submitting in the BSA E-Filing Production System)". • <u>PartyIdentificationTypeCode</u> ○ Modified the Description of the Financial Institution Where Activity Occurred (bullet "55. Filing institution identification" to "55. Financial institution identification". • <u>PhoneNumberText</u> ○ Modified the Value Restrictions to include the following NOTE for the Transmitter (35): "NOTE: This number must be the same for all FinCEN SARs in the batch file." • <u>RawPartyFullName</u> ○ Modified the Element Restrictions to include the following NOTE for the Transmitter Contact (37): "(NOTE: The value recorded must be the name of the individual to be contacted on issues involving the batch file. This entry must be the same for all FinCEN SARs in the batch file.)" ○ Modified the Value Restrictions to include the following note for the Contact Office (8): "(NOTE: This value recorded must be the title of the administrative office (such as Compliance Office) that should be contacted for additional information about the FinCEN SAR.)" • <u>SuspiciousActivity</u> ○ Modified the Description by changing the maxOccurs associated with the SuspiciousActivityClassification sub-element from "1" to "99". • Branch Address Elements: ○ <u>Party</u> ▪ Modified the Element Description by changing the Address minOccurs from "0" to "1". ○ <u>Address</u>
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		▪ Modified the Element Description by changing the minOccurs from "1" to "0" for the following: RawCityText, RawStreetAddress1Text, and RawZIPCode. ○ <u>RawCityText</u> ▪ Modified the Element Restrictions from "Required. This element must be recorded if the parent element is recorded" to "Record this element for the Branch (46) where activity occurred party type when the city associated with the branch address is known; otherwise, do not record this element." ▪ Removed the following from the Remarks: "The batch submission will be accepted with warnings if any of the following conditions are true: The element is not recorded or does not contain a value." ○ <u>RawStreetAddress1Text</u> ▪ Modified the Element Restrictions from "Required. This element must be recorded if the parent element is recorded" to "Record this element for the Branch (46) where activity occurred party type when the street address associated with the branch address is known; otherwise, do not record this element." ▪ Removed the following from the Remarks: "The batch submission will be accepted with warnings if any of the following conditions are true: The element is not recorded or does not contain a value." ○ <u>RawZIPCode</u> ▪ Modified the Element Restrictions from "Required. This element must be recorded if the parent element is recorded" to "Record this element for the Branch (46) where activity occurred party type when the ZIP/Postal Code associated with the branch address is known; otherwise, do not record this element." ▪ Removed the following from the Remarks: "The batch submission will be accepted with warnings if any of the following conditions are true: The element is not recorded or does not contain a value." 6. FinCEN SAR XML Acknowledgement Format • Added the following schema reference to the introductory paragraph: "Please visit https://www.fincen.gov/sites/default/files/schema/base/EFL_BatchAcknowledgementSchema.xsd to access the FinCEN XML 2.0 batch acknowledgement schema file." • Added a more detailed diagram to section 6.1 XML File Structure. • Updated the Acknowledgement file examples. Attachment A – Error Descriptions • Updated Fatal error code A19 description from "Unknown file error. Please contact the BSA E-Filing Help Desk for assistance" to "Schema validation failure. The XML file does not conform to the defined schema located at https://www.fincen.gov/base/EFL_SARXBatchSchema.xsd." • Removed Warning error code B8 "The element contains a value that is not valid for the associated party type" (misc.) because it is not associated with any particular field on the FinCEN SAR.
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		- Updated Fatal error code B9 as follows: "The element is not recorded or does not contain a value." This is due to the fact that error code B7 is triggered if the element is recorded but with no value (i.e. the value is null). - Modified Warning error code C25 to include the following: "...and the county code is US, CA, MX, "or a U.S. Territory." - Removed Warning error code D42 "The element is not recorded or does not contain a value" for Item 70. Branch ID Number. - Removed Fatal error codes G17 "The element is recorded but without a value (i.e. the value is null)" and G18 "The element contains a valid that is not a valid code" because they are duplicates of G14 and G15, which have been updated to be associated with both Transmitter TIN Type and Transmitter Control Code (TCC) Type. - Removed the following Warning error codes associated with the Branch Address sub-elements: - D40 – The element is not recorded or does not contain a value (RawStreetAddress1Text/69. Street) - D43 – The element is not recorded or does not contain a value (RawCityText/71. City) - D48 – The element is not recorded or does not contain a value (RawZIPCode/73. ZIP/Postal Code) - Modified Warning error code D46 as follows: "The element is not recorded or does not contain a value when the country is US, CA, MX, or a U.S. Territory. Attachment C – Electronic Filing Institutions - Modified the descriptions associated with 4. Continuing Reports as follows: - Change "Continuing reports should be filed at least every 90-days..." to "Continuing reports should be filed on successive 90-day review periods..." - Added the following directly after the above: until the suspicious activity ceases, "but may be filed more frequently if circumstances warrant that. Filers have up to 30 days following the end of a review period to file the continuing report for a total of 120 days of review and filing deadline." - Modified the description associated with 7. Addresses as follows: - Removed the following reference: "U.S. State and Territory codes must conform to the codes used by the United States Postal Service as documented in ISO 3166-2:US." - Replaced the following 9.6.2 Item Instructions associated with Item 29 (Amount involved in this report) with what is currently recorded: "Item *29 Amount involved in this report: Enter the total dollar amount involved in the suspicious activity for the time period of this report. If the amount is unknown, leave this item blank and check box 29a "Amount unknown." Explain why the dollar amount is unknown in Part V. If some dollar amounts are known while others are unknown, enter the total of all known amounts and explain the unknown amounts in Part V. If there is no amount involved in the suspicious activity, check box 29b "No amount involved." If the FinCEN SAR is a continuing report with box 1c "Continuing activity report" checked, enter only the amount involved for the time period covered by this FinCEN SAR. Do not include amounts from prior FinCEN SARs in Item 29. See General Instruction 9 for information on entering amounts."
1.2	10/1/2019	FinCEN SAR XML Element Requirements PartyAssociation

		○ Modified the element definition (additions underlined for emphasis): “This is the container for information about the subject's relationship to the institution recorded in the FinCEN SAR, <u>as well as information about the branch where activity occurred.</u>” ○ Modified the element restrictions (additions underlined for emphasis): Record this element for the <u>under the following circumstances; otherwise do not record this element:</u> ▪ <u>The party recorded is associated with the Subject (33) party type in order to describe</u> and the relationship of the subject to the filing institution and/or the financial institution(s) where activity occurred is being recorded; otherwise, do not record this element. <u>NOTE:</u> If the subject has no <u>does not have a</u> relationship with any of the above <u>recorded</u> institutions <u>in Part III or IV</u>, record a single <PartyAssociation> element for the subject where the element <NoRelationshipToInstitutionIndicator> is recorded with a "Y" value and the TIN of the filing institution is recorded for the <SubjectRelationshipFinancialInstitutionTINText> element. The <NoRelationshipToInstitutionIndicator> element should not be recorded for the subject if a relationship exists with any institution recorded in Part III or IV, even when there is no relationship with other institutions. ▪ <u>The party recorded is associated with the financial institution where activity occurred (34) and activity occurred at a branch location.</u> ○ Modified the example to include an example of the Branch where activity occurred. FinCEN SAR Electronic Filing Instructions (Attachment C) • General Instructions: 7. Address ○ Added the following note to the end of the section text: “NOTE: The ISO 3166-2 country list contains the code “UM” that stands for the United State Minor Outlying Islands. Using “UM” in country fields is prohibited. These islands are uninhabited. As such they have no addresses.” • Part I Subject Information (introductory paragraph) ○ Added Item 16 to the list of critical items that may be blank in the event that Item 3b (all critical subject information is unavailable) is indicated. Also corrected a typo that referenced Item 24 instead of Item 27 as a critical item that is not included in the above rule. • Item 3 (check if...) ○ Added Item 16 to the list of critical items that may be blank in the event that Item 3b (all critical subject information is unavailable) is indicated. Also corrected a typo that referenced Item 25 instead of Item 27 as a critical item that is not included in the above rule. • Item 24 (Relationship of the subject to an institution...) ○ Corrected a type referencing the Institution EIN as Item “23a” instead of “24a”. • Item 31 (Cumulative amount...) ○ Modified the title as follows: Cumulative amount <u>(only applicable when if box 1c (“Continuing activity report”) is checked in Item 1)</u> • Item 27 (Financial Instituiotn TIN and account numbers)
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		○ Modified 27a title from “account” to “accounts”. ○ Modified title of description paragraph from “acct.” to “account”. ○ Added the following text to the item instructions (underlined for emphasis): Check box 27a “No known acct. involved” if no account related to the subject is involved in the suspicious activity. <u>If box 27a is checked, then all other options in Item 27 will be blank.</u> • Part V Suspicious Activity Information – Narrative ○ Added the following bullet to the narrative instructions: “If this SAR contains information provided by another financial institution under the 314(b) Voluntary Information Sharing Program, include in the narrative the statement “This SAR contains 314(b) data.”
1.3	01/08/2020	Secure Data Transfer Mode Filers • Includes reference to IBM Connect:Direct software replacement with IBM Sterling File Gateway, as well as a more detailed breakdown of the required batch file naming convention.
1.4	02/10/2020	Remove C5 Error Code and Description • Updated to remove the error code C5 when a gender is not specified for the individual subject. • Fixed the typo “acctount” to “account” on page 152.
1.5	07/07/2020	Attachment C: General Instructions • 13. Reporting Cyber Events (Example 1). Updated the email address listed for the Item 44f1 example to display the malicious email address (CEO@ABCcorp.co) as opposed to the legitimate (victim) email address (CEO@ABCcorp.com). In this example, the victim information should be recorded in the narrative only. Increased OccupationBusinessText character limit from 30 to 50
1.6	08/01/2021	Added ErrorCode F60 (replaces A17) – “The namespace prefix for the element is invalid.”
1.7	04/14/2026	Relocated Attachment – FinCEN SAR Electronic XML Filing Instructions to a new stand-alone document titled FinCEN SAR Filing Instructions located at bsafiling.fincen.gov under <i>RESOURCES>Filing Information</i>.

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1. Introduction

The FinCEN Suspicious Activity Report (FinCEN SAR) XML Schema 2.0 User Guide outlines the business and validation rules to support the electronic batch transmission of the FinCEN SAR. Electronic filing of this report will be through the Bank Secrecy Act (BSA) E-Filing System operated by the Financial Crimes Enforcement Network (FinCEN). BSA E-Filing users who intend to file the FinCEN SAR batch XML should be familiar with FinCEN regulations, Extensible Markup Language (XML) and the FinCEN XML schemas. For more information, please go to bsaefiling.fincen.treas.gov.

2. FinCEN SAR XML Schema Overview

Before you begin submitting your BSA data to FinCEN's BSA E-Filing System (bsaefiling.fincen.treas.gov) via XML batch, you must first review the required schemas to assist you with constructing and testing your XML batch file before submitted to FinCEN for processing. These schemas define the requirements by which the FinCEN SAR XML batch file must be constructed, such as which elements are required and which are optional, what are the appropriate values you may enter for certain elements, and what sequence the elements should appear in when building the batch. Please visit https://www.fincen.gov/sites/default/files/schema/base/EFL_FinCEN_SARXBatchSchema.xsd to access the FinCEN XML 2.0 batch schema file.

2.1. File Organization

This section describes the general formatting requirements for FinCEN SAR XML batch reporting. The diagrams that follow provide a visual representation of the XML batch file layout from a high level perspective.

2.1.1. XML declaration (prolog)

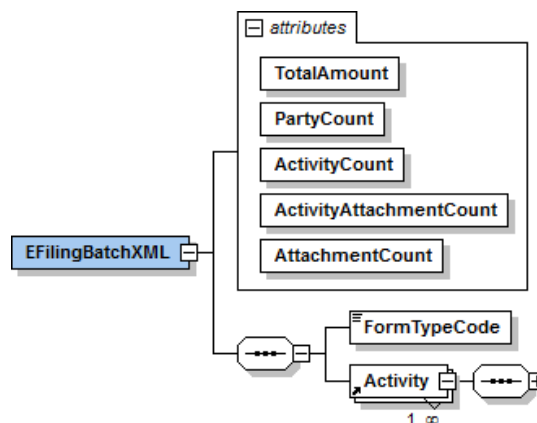
The XML declaration specifies the XML version and character encoding used in the file. It must appear on the first line of the file.

2.1.2. EFilingBatchXML

This is the root element and serves as the container for all FinCEN SAR documents recorded in the batch. It must be the first element recorded in the file.

The EFilingBatchXML element is parent to the following complex element(s):

- **Activity.** This element is the container for each FinCEN SAR document in the batch. All BSA data related to a single FinCEN SAR document must be recorded within the <Activity> element. The number of <Activity> elements will depend on the number of FinCEN SAR documents being reported in the batch.

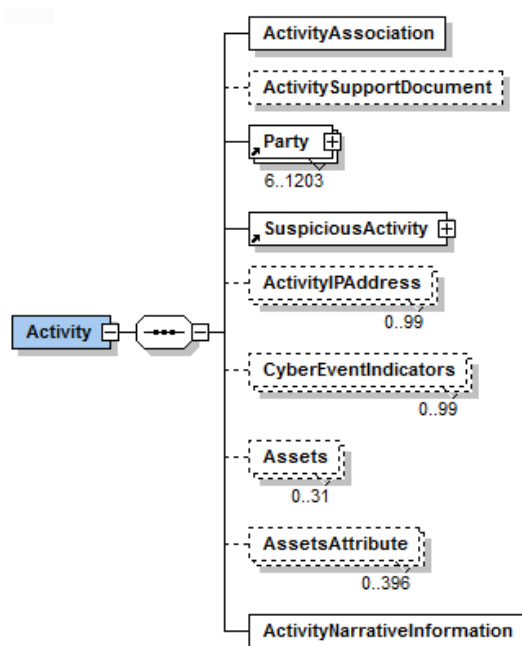


2.1.3. Activity

Each FinCEN SAR document in the batch must begin with the <Activity> element. It identifies all information related to a single FinCEN SAR, including (but not limited to) the transmitter, the reporting financial institution (i.e. filing institution), the financial institution(s) where activity occurred, the subject(s), and suspicious activity details such as the total amount involved, type(s) of suspicious activities, etc. There is no limit to the number of <Activity> elements that may be recorded in the batch; however, the total size of the batch file must not exceed 60MB.

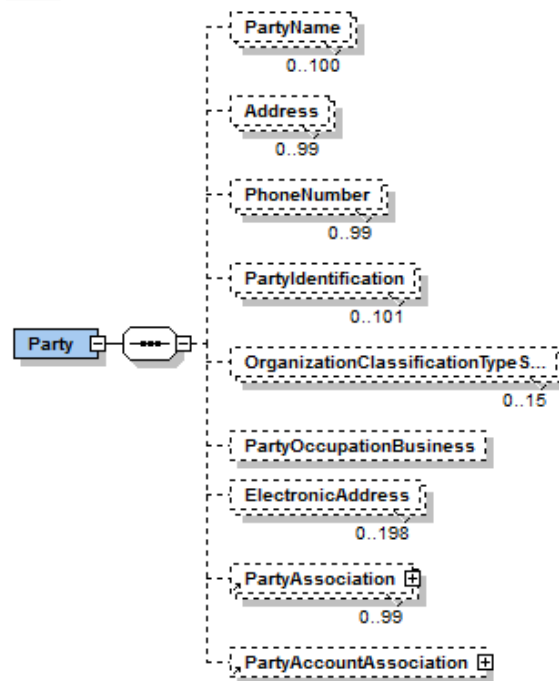
The <Activity> element is parent to the following complex element(s):

- **ActivityAssociation.** This element is the container for the type of filing (i.e. Initial report, Correct/amend prior report, Continuing activity report, and/or Joint filing) for the FinCEN SAR.
- **ActivitySupportDocument.** This element is the container for information about the supporting document as an attachment to the FinCEN SAR being filed.
- **Party.** This element is the container for any person (individual or entity) associated with the FinCEN SAR, specifically, the transmitter [of the batch file], the transmitter contact, the filing institution and contact office, the law enforcement contact agency and point of contact, the financial institution where activity occurred, and the subject. NOTE: The financial institution where an account is held and the branch location where activity occurred are not recorded at the activity level, but rather, within the corresponding party at the activity level that the financial institution and/or branch are associated with.
- **SuspiciousActivity.** This element is the container for information about the suspicious activity, such as the total amount involved and the type of suspicious activity.
- **ActivityIPAddress.** This element is the container for information about IP address involved in the suspicious activity.
- **CyberEventIndicators.** This element is the container for information about cyber event involved in the suspicious activity.
- **Assets.** This element is the container for information about asset involved in the suspicious activity, specifically the product type, instrument type, and/or payment mechanism.
- **AssetsAttribute.** This element is the container for information about the asset attribute involved in the suspicious activity, whether it be a type of commodity, product/instrument, market where traded, and/or CUSIP number.
- **ActivityNarrativeInformation.** This element is the container for information about narrative description associated with the FinCEN SAR.



2.1.4. Party

Each FinCEN SAR activity in the batch must include a separate Party element identifying the following persons: Transmitter, Transmitter Contact, Filing Institution, Designated Contact Office, Law Enforcement Agency (if any), Law Enforcement Name (if any), Financial Institution(s) Where Activity Occurred, Branch(s) Where Activity Occurred (if any), and Subject(s) (Note: If reporting account information related to a subject, the financial institution where the account is held will be recorded as a separate Party element as well.). A maximum occurrence of 1203 total Party elements may be recorded at the activity level for each FinCEN SAR activity in the batch. If one or more branches and/or financial institutions where accounts are held are associated with a FinCEN SAR, a maximum of 99 branches and 99 financial institutions (where accounts are held) may be recorded for the FinCEN SAR in addition to the 1203 maximum mentioned above.



Transmitter (Required)

This is the person (individual or entity) handling the data accumulation and formatting of the batch file. Each FinCEN SAR Activity element in the batch must include a Party element that identifies the batch transmitter. *The batch transmitter should be identical for each FinCEN SAR.* There must be only one occurrence of this party for each FinCEN SAR Activity in the batch.

Transmitter Contact (Required)

This is the official contact for the transmitter. Each FinCEN SAR Activity element in the batch must include a Party element that identifies the point of contact for the batch transmitter. *The transmitter contact should be identical for each FinCEN SAR.* There must be only one occurrence of this party for each FinCEN SAR Activity in the batch.

Filing Institution (Required)

This is the entity responsible for filing the FinCEN SAR, such as a reporting financial institution or a holding or other parent company filing for its subsidiaries. There must be only one occurrence of this party for each FinCEN SAR Activity in the batch. This party corresponds with Part IV of the FinCEN SAR.

Designated Contact Office (Required)

This is the administrative office that should be contacted to obtain additional information about the FinCEN SAR. There must be only one occurrence of this party for each FinCEN SAR Activity in the batch. This party corresponds with Part IV (Items 93-94) of the FinCEN SAR.

LE Contact Agency (if any)

This is the law enforcement agency (if any) that has been informed of the suspicious activity. There may only be one occurrence of this party for each FinCEN SAR Activity in the batch. This party corresponds with Part IV (Item 89) of the FinCEN SAR.

LE Contact Name (if any)

This is the person at law enforcement agency (if any) contacted regarding the suspicious activity. There may only be one occurrence of this party for each FinCEN SAR Activity in the batch. This party corresponds with Part IV (Items 90-92) of the FinCEN SAR.

Financial Institution Where Activity Occurred (Required)

This is the financial institution where the suspicious activity occurred. There must be at least one occurrence (not to exceed 99) of this party for each FinCEN SAR Activity in the batch. This party corresponds with Part III (Items 51-67, 69a). If a branch location associated with the financial institution where activity occurred is also involved, information about the branch should be recorded in a separate party element under the parent element <PartyAssociation> (see PartyAssociation below).

Branch Where Activity Occurred (if any)

This is the branch location where activity occurred. A branch is a location (such as an office or ATM) owned by the financial institution but located separately from the financial institution's headquarters. Generally, a branch operates under the same TIN as the financial institution. No more than 99 branches may be recorded for each FinCEN SAR in the batch. This party corresponds with Part III (Items 68-74) of the FinCEN SAR.

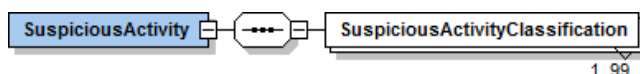
Subject (Required)

This is the subject involved in the suspicious activity. There must be at least one occurrence (not to exceed 999) of this party for each FinCEN SAR Activity in the batch. This party corresponds with Part I (Items 3-28) of the FinCEN SAR. Persons who are victims of the suspicious activity are not subjects and should not be recorded for this party. Victim information, if necessary for a complete description of the suspicious activity, should be recorded in the narrative. If the subject is or all subjects are unknown, record a single party for the subject with "all critical subject information unavailable" indicated and record the nature of the unknown subject(s) in the narrative. If the suspicious activity involves known and unknown subjects, record a separate party for each known subject and record the nature of the unknown subject(s) in the narrative (when there are known subjects involved, do not include a party element for unknown subjects.).

2.1.5. SuspiciousActivity

As the container for information about the details of the suspicious activity, this element identifies information such as the total amount involved and the type of suspicious activity. This element must be recorded after the final Party element is recorded for the FinCEN SAR. There must only be one occurrence of this element for each FinCEN SAR Activity in the batch. This element corresponds with Part II (Items 29-31) of the FinCEN SAR.

Within this element is the sub-element <SuspiciousActivityClassification>, which must be recorded at least once per FinCEN SAR (but no more than 99 total). This element is the container for information about the specific type(s) and subtype(s) of suspicious activity, such as Structuring→"Transaction(s) below CTR threshold", Terrorist financing→"Known or suspected terrorist/terrorist group", etc. This element corresponds with Part II (Items 32-42) of the FinCEN SAR.



3. FinCEN SAR XML Batch Reporting Requirements

This section describes in detail the reporting requirements for each element in the FinCEN SAR batch.

3.1. Element Definition Overview

Each element in this user guide is defined using the following terms:

Item	Description
Element Name	This is the name that must be used when recording the element.
minOccurs/maxOccurs	This defines the number of times the element can occur for the parent element. • MinOccurs. The minimum number of times this element may be recorded for the parent element (e.g. minOccurs=0 means this element is only required under certain conditions while minOccurs=1 means at least one of the element must be recorded for the parent element in the FinCEN SAR.) • MaxOccurs. The maximum number of times this element may be recorded for the parent element (e.g. maxOccurs=999 means this element can occur up to 999 times in the same FinCEN SAR.)
Description	This is the summary description of the element. Also included in the description is a list of sub-elements associated with the element (if applicable) as well as any special requirements for when (and when not) to record the element.
Attribute(s)	This specifies the attribute(s) that are required to be recorded for the element. Note: Various elements contain the SeqNum attribute used to identify the associated element in the batch file. The value recorded for this attribute must be numeric and unique.
Parent Element	This identifies the element's container element. The <Parent> element contains sub elements and is considered a complex element.
Element Restriction(s)	This specifies the requirement level for the element; specifically, under what conditions the element should be recorded: • Required. The element must be recorded for the <Parent> element. • Conditionally Required means that the element should only be recorded when certain conditions apply. NOTE: If neither of the above requirement levels are specified in this field, then the element is not required. However, a field that is not required does not mean that it is optional. All fields require an entry when the filer has the relevant data.
Value Restriction(s)	This specifies any requirements and/or restrictions in terms of the value recorded for the element. • Required. A value must be recorded for the element. • Conditionally Required. A value may or may not be recorded for the element depending on whether or not certain conditions apply.
Remarks	This specifies any additional information about the element to assist with reporting; including: • Reporting conditions that may result in a batch rejection. • Reporting conditions that may result in a batch accepted with warnings.
Example	This provides one or more examples of how to record the element.

3.2. Batch Validation (Form & Fit) Overview

IMPORTANT: FinCEN strongly encourages that filers first test their XML batch files for schema compliance using the schemas available at www.fincen.gov/base. Your batch file should pass schema validation before you attempt to submit to FinCEN; otherwise, it will be at risk of being rejected.

It is important to note that if the batch file does not adhere to the basic format described in this guide in accordance with the FinCEN SAR XML batch schema, then the batch will fail validation and will not be accepted by FinCEN.

Here is a list of general schema requirements that your batch must adhere to in addition to the data requirements described for each element throughout this guide. These schema requirements apply to all elements in the batch:

- Element names must include the prefix “fc2” in both the opening tag and closing tag.
- Element names must be spelled correctly and in the correct case. Do NOT include spaces at the beginning or ending of the element names.
- Elements must have a matching closing tag (which includes a self-closing tag in the event that no value is recorded for the element).
- Elements must be in the correct sequence.
- Elements must be recorded when the minOccurs=1 (or greater than 1).
- Elements must not be recorded more than the maxOccurs value for the associated <Parent> element.
- Element values must not exceed the maximum specified character limit.
- Element values must not include leading and/or trailing spaces.
- Element values must not include non-printable characters, such as carriage returns, line feeds, and tabs.
- Element values must not contain duplicate entries within a single activity unless expressly permitted (*for example, a Subject party type may contain one legal name and up to 99 alternate names; therefore, if more than one legal name is recorded for the Subject, the batch file will fail validation and will not be accepted*).

4. FinCEN SAR XML Element Requirements

The following defines each element in the FinCEN SAR XML batch in the order in which they can be recorded.

4.1. XML declaration/prolog

Element Name:	?xml	minOccurs:	1	maxOccurs:	1
Description:	XML declaration/prolog. This is the XML declaration which specifies the XML version and character encoding used in the file. The XML declaration must appear on the first line of the file.				
Attribute(s):	The following data must be recorded for XML declaration/prolog:				
	Name		Description		
	version		The version number of the XML. The value recorded must be "1.0"		
	encoding		The character encoding, which must be UTF-8, used for the XML. The value recorded must be "UTF-8"		
Parent Element:	n/a				
Element Restriction(s):	This declaration must be recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: <?xml version="1.0" encoding="UTF-8"?>				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The XML declaration/prolog is not recorded with the required values (see Value Restriction(s) above) or it is not recorded on the first line of the batch file.				
Example:	<?xml version="1.0" encoding="UTF-8"?>				

4.2. EFilingBatchXML Elements

Element Name:	EfilingBatchXML	minOccurs:	1	maxOccurs:	1																
Description:	XML batch (header). This is the container for the contents of the batch file. This element is the root element in the FinCEN SAR XML batch file and the container element for all suspicious activities included in the batch. As the root element, it must be the first element recorded in the file, directly following the XML declaration/prolog. The following sub-elements are associated with this element: <table><tr><th>Name</th><th>minOccurs</th><th>maxOccurs</th><th>Category</th></tr><tr><td>FormTypeCode</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>Activity</td><td>1</td><td>unbounded</td><td>Complex</td></tr></table>					Name	minOccurs	maxOccurs	Category	FormTypeCode	1	1	Simple	Activity	1	unbounded	Complex				
Name	minOccurs	maxOccurs	Category																		
FormTypeCode	1	1	Simple																		
Activity	1	unbounded	Complex																		
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td>ActivityCount</td><td>The count of all <Activity> elements in the batch</td></tr><tr><td>TotalAmount</td><td>The sum of all <TotalSuspiciousAmountText> element amounts recorded in the batch</td></tr><tr><td>PartyCount</td><td>The count of all <Party> elements in the batch where the <ActivityPartyTypeCode> is equal to "33" (Subject)</td></tr><tr><td>ActivityAttachmentCount</td><td>The count of all <Activity> elements in the batch where the <OriginalAttachmentFileName> element is recorded with a value referencing the file name of the FinCEN SAR attachment</td></tr><tr><td>AttachmentCount</td><td>The count of all <OriginalAttachmentFileName> elements in the batch that contain a value referencing the file name of the FinCEN SAR attachment</td></tr><tr><td>xsi:schemaLocation</td><td>www.fincen.gov/base https://www.fincen.gov/base/EFL_FinCEN SARXBatchSchema.xsd</td></tr><tr><td>xmlns:xsi</td><td>http://www.w3.org/2001/XMLSchema-instance</td></tr><tr><td>xmlns:fc2</td><td>www.fincen.gov/base</td></tr></table>					ActivityCount	The count of all <Activity> elements in the batch	TotalAmount	The sum of all <TotalSuspiciousAmountText> element amounts recorded in the batch	PartyCount	The count of all <Party> elements in the batch where the <ActivityPartyTypeCode> is equal to "33" (Subject)	ActivityAttachmentCount	The count of all <Activity> elements in the batch where the <OriginalAttachmentFileName> element is recorded with a value referencing the file name of the FinCEN SAR attachment	AttachmentCount	The count of all <OriginalAttachmentFileName> elements in the batch that contain a value referencing the file name of the FinCEN SAR attachment	xsi:schemaLocation	www.fincen.gov/base https://www.fincen.gov/base/EFL_FinCEN SARXBatchSchema.xsd	xmlns:xsi	http://www.w3.org/2001/XMLSchema-instance	xmlns:fc2	www.fincen.gov/base
ActivityCount	The count of all <Activity> elements in the batch																				
TotalAmount	The sum of all <TotalSuspiciousAmountText> element amounts recorded in the batch																				
PartyCount	The count of all <Party> elements in the batch where the <ActivityPartyTypeCode> is equal to "33" (Subject)																				
ActivityAttachmentCount	The count of all <Activity> elements in the batch where the <OriginalAttachmentFileName> element is recorded with a value referencing the file name of the FinCEN SAR attachment																				
AttachmentCount	The count of all <OriginalAttachmentFileName> elements in the batch that contain a value referencing the file name of the FinCEN SAR attachment																				
xsi:schemaLocation	www.fincen.gov/base https://www.fincen.gov/base/EFL_FinCEN SARXBatchSchema.xsd																				
xmlns:xsi	http://www.w3.org/2001/XMLSchema-instance																				
xmlns:fc2	www.fincen.gov/base																				
Parent Element:	n/a																				
Element Restriction(s):	Required. This element must be recorded.																				
Value Restriction(s):	n/a																				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded. • One or more of the attributes are missing, incorrectly formatted, or contain an invalid value. • The reported attribute count does not match the actual count.																				
Example:	<fc2:EfilingBatchXML ActivityCount="2" TotalAmount="40000" PartyCount="4" ActivityAttachmentCount="2" AttachmentCount="2" xsi:schemaLocation="www.fincen.gov/base EFL_FinCEN SARXBatchSchema.xsd" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xmlns:fc2="www.fincen.gov/base">																				

Element Name:	FormTypeCode	minOccurs:	1	maxOccurs:	1
Description:	Form type (code). This element identifies the type of form being reported in the batch.				
Attribute(s)	n/a				
Parent Element:	EfilingBatchXML				
Element Restriction(s):	Required. This element must be recorded.				
Value Restriction(s):	The value provided must equal: SARX				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded. - The value is null or not equal to FinCEN SARX.				

Element Name:	FormTypeCode	minOccurs:	1	maxOccurs:	1
Example:	<fc2:FormTypeCode> SARX</fc2:FormTypeCode>				

Element Name:	Activity	See <i>Activity Elements</i> for details.			
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4.3. Activity Elements

Element Name:	Activity	minOccurs:	1	maxOccurs:	unbounded																																																				
Description:	Activity (header). This is the container for all information related to the FinCEN SAR. The first <Activity> element in the batch file must directly follow the <FormTypeCode> element. The batch must contain at least one occurrence of this element. There is no maximum occurrence value set for this element; however, the total size of the batch file must not exceed 60MB. The following sub-elements are associated with this element: <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>E Filing Prior Document Number</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>Filing Date Text</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>Filing Institution Note to FinCEN</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>Activity Association</td><td>1</td><td>1</td><td>Complex</td></tr><tr><td>Activity Support Document</td><td>0</td><td>1</td><td>Complex</td></tr><tr><td>Party</td><td>6</td><td>1203</td><td>Complex</td></tr><tr><td>Suspicious Activity</td><td>1</td><td>1</td><td>Complex</td></tr><tr><td>Activity IP Address</td><td>0</td><td>99</td><td>Complex</td></tr><tr><td>Cyber Event Indicators</td><td>0</td><td>99</td><td>Complex</td></tr><tr><td>Assets</td><td>0</td><td>31</td><td>Complex</td></tr><tr><td>Assets Attribute</td><td>0</td><td>396</td><td>Complex</td></tr><tr><td>Activity Narrative Information</td><td>1</td><td>1</td><td>Complex</td></tr></table>									E Filing Prior Document Number	0	1	Simple	Filing Date Text	1	1	Simple	Filing Institution Note to FinCEN	0	1	Simple	Activity Association	1	1	Complex	Activity Support Document	0	1	Complex	Party	6	1203	Complex	Suspicious Activity	1	1	Complex	Activity IP Address	0	99	Complex	Cyber Event Indicators	0	99	Complex	Assets	0	31	Complex	Assets Attribute	0	396	Complex	Activity Narrative Information	1	1	Complex
E Filing Prior Document Number	0	1	Simple																																																						
Filing Date Text	1	1	Simple																																																						
Filing Institution Note to FinCEN	0	1	Simple																																																						
Activity Association	1	1	Complex																																																						
Activity Support Document	0	1	Complex																																																						
Party	6	1203	Complex																																																						
Suspicious Activity	1	1	Complex																																																						
Activity IP Address	0	99	Complex																																																						
Cyber Event Indicators	0	99	Complex																																																						
Assets	0	31	Complex																																																						
Assets Attribute	0	396	Complex																																																						
Activity Narrative Information	1	1	Complex																																																						
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td></td><td></td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>							SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																																																
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																																																								
Parent Element:	E Filing Batch XML																																																								
Element Restriction(s):	Required. This element must be recorded.																																																								
Value Restriction(s):	n/a																																																								
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded. • The element is missing a "SeqNum" attribute. • The element contains a "SeqNum" attribute with a duplicate or invalid value.																																																								
Example:	<pre><fc2:Activity SeqNum="1"> <fc2:E Filing Prior Document Number>31000000000001</fc2:E Filing Prior Document Number> <fc2:Filing Date Text>20171101</fc2:Filing Date Text> <fc2:Filing Institution Note to FinCEN>Filing institution note to FinCEN</fc2:Filing Institution Note to FinCEN> <fc2:Activity Association SeqNum="2"></pre>																																																								

Element Name:	EfilingPriorDocumentNumber	minOccurs:	0	maxOccurs:	1
Description:	Prior report BSA Identifier (number). This element identifies the BSA Identifier (BSA ID) of the previously-filed FinCEN SAR when filing a correction/amendment and/or a continuing activity report. This element corresponds with the following item(s): 1e. Prior report BSA Identification Number <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Activity				
Element Restriction(s):	Conditionally Required. Record this element when the FinCEN SAR being filed corrects/amends a prior report and/or is a continuing activity report; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 14-digit numeric BSA ID (if known); 14 consecutive zeros, i.e. "00000000000000" (if the BSA ID is unknown).				
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is recorded but without a value (i.e. the value is null). - The value recorded does not equal 14 numeric characters. - The element is not recorded and one or both of the following elements contains a "Y" value: <CorrectsAmendsPriorReportIndicator> <ContinuingActivityReportIndicator> - The element is recorded (with a valid value) and none of the of the following elements contains a "Y" value: <CorrectsAmendsPriorReportIndicator> <ContinuingActivityReportIndicator>				
Example:	<fc2:EfilingPriorDocumentNumber>31000000000001</fc2:EfilingPriorDocumentNumber>				

Element Name:	FilingDateText	minOccurs:	1	maxOccurs:	1
Description:	Date filed (date). This element identifies the date in which the FinCEN SAR is being filed electronically through FinCEN's BSA E-Filing System. This element corresponds with the following item(s): 95. Date filed <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Activity				
Element Restriction(s):	Required. This element must be recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: 8 numeric characters in the format YYYYMMDD where YYYY = year, MM = month, and DD = day. Single digit days or months must be prefaced by a zero.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded. - The element is recorded but without a value (i.e. the value is null). - The value recorded for the element is not a valid date in the format YYYYMMDD. - The value recorded for the element is a date greater than the current date or less than January 1, 2000.				
Example:	<fc2:FilingDateText>20171101</fc2:FilingDateText>				

Element Name:	FilingInstitutionNotetoFinCEN	minOccurs:	0	maxOccurs:	1
Description:	Filing Institution Note to FinCEN (text). This element allows the filer to alert FinCEN that this FinCEN SAR is being filed in response to a current specific geographic targeting order (GTO) or advisory or other activity. This element corresponds with the following item(s): 2. Filing Institution Note to FinCEN <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Activity				

Element Name:	FilingInstitutionNotetoFinCEN	minOccurs:	0	maxOccurs:	1
Element Restriction(s):	Record this element when the FinCEN SAR being filed is in response to a current specific geographic targeting order (GTO) or advisory or other activity; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 50 characters or less				
Remarks:	n/a				
Example:	<fc2:FilingInstitutionNotetoFinCEN>Filing institution note to FinCEN</fc2:FilingInstitutionNotetoFinCEN>				

Element Name:	ActivityAssociation	See <i>ActivityAssociation Elements</i> for details.			
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Element Name:	ActivitySupportDocument	See <i>ActivitySupportDocument Elements</i> for details.			
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Element Name:	Party	See <i>Party Elements</i> for details.			
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Element Name:	SuspiciousActivity	See <i>SuspiciousActivity Elements</i> for details.			
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Element Name:	ActivityIPAddress	See <i>ActivityIPAddress Elements</i> for details.			
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Element Name:	CyberEventIndicators	See <i>CyberEventIndicators Elements</i> for details.			
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Element Name:	Assets	See <i>Assets Elements</i> for details.			
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Element Name:	AssetsAttribute	See <i>AssetsAttribute Elements</i> for details.			
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Element Name:	ActivityNarrativeInformation	See <i>ActivityNarrativeInformation Elements</i> for details.			
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4.4. ActivityAssociation Elements

Element Name:	ActivityAssociation	minOccurs:	1	maxOccurs:	1																				
Description:	Type of filing (header). This element is the container for information about the type of filing associated with the FinCEN SAR. The following sub-elements are associated with this element: <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>ContinuingActivityReportIndicator</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>CorrectsAmendsPriorReportIndicator</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>InitialReportIndicator</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>JointReportIndicator</td><td>0</td><td>1</td><td>Simple</td></tr></table> <i>*At least one of the above sub-elements must be recorded.</i> This element corresponds with the following item(s): 1. Type of filing 1a. Initial report									ContinuingActivityReportIndicator	0	1	Simple	CorrectsAmendsPriorReportIndicator	0	1	Simple	InitialReportIndicator	0	1	Simple	JointReportIndicator	0	1	Simple
ContinuingActivityReportIndicator	0	1	Simple																						
CorrectsAmendsPriorReportIndicator	0	1	Simple																						
InitialReportIndicator	0	1	Simple																						
JointReportIndicator	0	1	Simple																						

Element Name:	ActivityAssociation	minOccurs:	1	maxOccurs:	1				
	○ 1b. Correct/Amend prior report ○ 1c. Continuing activity report ○ 1d. Joint report Please refer to Attachment C for additional information regarding the above item(s).								
Attribute(s)	The following attributes must be recorded for this element: <table><tr><th>Name</th><th>Description</th></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>					Name	Description	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.
Name	Description								
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.								
Parent Element:	Activity								
Element Restriction(s):	Required. This element must be recorded.								
Value Restriction(s):	n/a								
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded. • The element is missing a "SeqNum" attribute. • The element contains a "SeqNum" attribute with a duplicate or invalid value. • The element is recorded but none of the following sub-elements are recorded with a "Y" value: ○ <InitialReportIndicator> ○ <CorrectsAmendsPriorReportIndicator> ○ <ContinuingActivityReportIndicator> The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: • The following sub-element combinations are recorded with a "Y" value: ○ <InitialReportIndicator> AND (<CorrectsAmendsPriorReportIndicator> AND/OR <ContinuingActivityReportIndicator>)								
Example:	<fc2:ActivityAssociation SeqNum="2"> <fc2:ContinuingActivityReportIndicator>Y</fc2:ContinuingActivityReportIndicator> <fc2:CorrectsAmendsPriorReportIndicator>Y</fc2:CorrectsAmendsPriorReportIndicator> </fc2:ActivityAssociation>								

Element Name:	ContinuingActivityReportIndicator	minOccurs:	0	maxOccurs:	1
Description:	Continuing activity report (indicator). This element declares that the FinCEN SAR being filed continues reporting on a previously-reported suspicious activity. This element corresponds with the following item(s): • 1c. Continuing activity report <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	ActivityAssociation				
Element Restriction(s):	Conditionally Required. Record this element when the FinCEN SAR being filed continues reporting on a previously-reported suspicious activity; otherwise, do not record this element. If this element is recorded, the following elements must also be recorded: • <EFilingPriorDocumentNumber> • <CumulativeTotalViolationAmountText> The <ContinuingActivityReportIndicator> element may be recorded on its own or in conjunction with one or both of the following "Type of filing" elements: • <CorrectsAmendsPriorReportIndicator> • <JointReportIndicator>				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Continuing activity report")				

Element Name:	ContinuingActivityReportIndicator	minOccurs:	0	maxOccurs:	1
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:ContinuingActivityReportIndicator>Y</fc2:ContinuingActivityReportIndicator>				

Element Name:	CorrectsAmendsPriorReportIndicator	minOccurs:	0	maxOccurs:	1
Description:	Corrects/Amends prior report (indicator). This element declares that the FinCEN SAR being filed corrects or amends a previously-filed FinCEN SAR. This element corresponds with the following item(s): 1b. Correct/Amend prior report <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	ActivityAssociation				
Element Restriction(s):	Conditionally Required. Record this element when the FinCEN SAR being filed corrects or amends a previously-filed FinCEN SAR; otherwise, do not record this element. If this element is recorded, the following element must also be recorded: <EFilingPriorDocumentNumber> The <CorrectsAmendsPriorReportIndicator> element may be recorded on its own or in conjunction with one or both of the following "Type if filing" elements: <ContinuingActivityReportIndicator> <JointReportIndicator>				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Continuing activity report")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:CorrectsAmendsPriorReportIndicator>Y</fc2:CorrectsAmendsPriorReportIndicator>				

Element Name:	InitialReportIndicator	minOccurs:	0	maxOccurs:	1
Description:	Initial report (indicator). This element declares that the FinCEN SAR being filed is the first report filed on the suspicious activity. This element corresponds with the following item(s): 1a. Initial report <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	ActivityAssociation				
Element Restriction(s):	Conditionally Required. Record this element when the FinCEN SAR being filed is the first report filed on the suspicious activity; otherwise, do not record this element. The <InitialReportIndicator> element may be recorded on its own or in conjunction with the following "Type of filing" element: <JointReportIndicator>				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Initial report")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:InitialReportIndicator>Y</fc2:InitialReportIndicator>				

Element Name:	JointReportIndicator	minOccurs:	0	maxOccurs:	1
Description:	Joint report (indicator). This element declares that the FinCEN SAR is being filed jointly by two or more financial institutions. This element corresponds with the following item(s): 1d. Joint report <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	ActivityAssociation				
Element Restriction(s):	Conditionally Required. Record this element when the FinCEN SAR is being filed jointly by two or more financial institutions; otherwise, do not record this element. The <JointReportIndicator> element must be recorded in conjunction with at least one of the following "Type of filing" element: <ContinuingActivityReportIndicator> <CorrectsAmendsPriorReportIndicator> <InitialReportIndicator> Furthermore, the <JointReportIndicator> element should <u>not</u> be recorded if one or more of the following "subject relationship to institution" elements are indicated: <DirectorIndicator> <EmployeeIndicator> <OfficerIndicator> <OwnerShareholderIndicator>				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Joint report")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:JointReportIndicator>Y</fc2:JointReportIndicator>				

4.5. ActivitySupportDocument Elements

Element Name:	ActivitySupportDocument	minOccurs:	0	maxOccurs:	1								
Description:	Supporting Document (header). This element is the container for information about the supporting document as an attachment to the FinCEN SAR being filed. The contents of the attachment file must be described in the narrative. The attachment file would be most suitable for documenting transaction records that are too numerous to record in the narrative. Do not include any other supporting documentation with the FinCEN SAR. Instead, describe in narrative other supporting documentation not included in the attachment. The following sub-element is associated with this element: <table><tr><th>Name</th><th>minOccurs</th><th>maxOccurs</th><th>Category</th></tr><tr><td>OriginalAttachmentFileName</td><td>1</td><td>1</td><td>Simple</td></tr></table> This element corresponds with the following item(s): ○ Part V. Suspicious Activity Report – Attachment <i>Please refer to Attachment C for additional information regarding the above item(s).</i>					Name	minOccurs	maxOccurs	Category	OriginalAttachmentFileName	1	1	Simple
Name	minOccurs	maxOccurs	Category										
OriginalAttachmentFileName	1	1	Simple										
Attribute(s)	The following attributes must be recorded for this element: <table><tr><th>Name</th><th>Description</th></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>					Name	Description	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.				
Name	Description												
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.												
Parent Element:	Activity												
Element Restriction(s):	Record this element when the FinCEN SAR includes an attachment containing tabular data (such as transaction data) that provides additional suspicious activity information not suitable for inclusion in the narrative; otherwise, do not record this element.												

Element Name:	ActivitySupportDocument	minOccurs:	0	maxOccurs:	1
Value Restriction(s):	n/a				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value.				
Example:	<pre><fc2:ActivitySupportDocument SeqNum="3"> <fc2:OriginalAttachmentFileName>FinCEN SAR_Attachment.csv</fc2:OriginalAttachmentFileName> </fc2:ActivitySupportDocument></pre>				

Element Name:	OriginalAttachmentFileName	minOccurs:	1	maxOccurs:	1
Description:	Attachment file name (text). This element declares the attachment file name included with the FinCEN SAR being filed. This element corresponds with the following item(s): Part V. Suspicious Activity Report – Attachment (File name) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	ActivitySupportDocument				
Element Restriction(s):	Required. This element must be recorded when the associated parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: Enter the attachment file name (e.g. FinCEN SAR_Attachment_1.csv). The attachment file must be an MS Excel-compatible comma separated value (CSV) file with a maximum size of 1 megabyte. Include the ".csv" extension at the end of the file name.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded with a valid value but there is no corresponding attachment. - The batch submission contains an attachment but the <OriginalAttachmentFileName> element of the associated FinCEN SAR within the batch XML is not recorded or the value is null.				
Example:	<fc2:OriginalAttachmentFileName>FinCEN SAR_Attachment.csv</fc2:OriginalAttachmentFileName>				

4.6. Party Elements

Element Name:	Party	minOccurs:	6	maxOccurs:	1203																				
Description:	Party (header). This is the container for information about the individual or entity associated with the FinCEN SAR (at the activity level); specifically, the transmitter [of the batch file], the transmitter contact, the filing institution and contact office, the law enforcement contact agency and point of contact, the financial institution where activity occurred, and the subject. The following tables describe all possible sub-elements for each party type at the activity level: Activity party type code definitions 35 = Transmitter 37 = Transmitter Contact 30 = Filing Institution 8 = Contact Office 18 = LE Contact Agency 19 = LE Contact Name 34 = Financial Institution Where Activity Occurred 33 = Subject 1. Transmitter Information (Required Batch Transmitter Information) <table><tr><th>Name</th><th>minOccurs</th><th>maxOccurs</th><th>Content</th></tr><tr><td>ActivityPartyTypeCode (Code 35)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>PartyName</td><td>1</td><td>1</td><td>Complex</td></tr><tr><td>Address</td><td>1</td><td>1</td><td>Complex</td></tr><tr><td>PhoneNumber</td><td>1</td><td>1</td><td>Complex</td></tr></table>					Name	minOccurs	maxOccurs	Content	ActivityPartyTypeCode (Code 35)	1	1	Simple	PartyName	1	1	Complex	Address	1	1	Complex	PhoneNumber	1	1	Complex
Name	minOccurs	maxOccurs	Content																						
ActivityPartyTypeCode (Code 35)	1	1	Simple																						
PartyName	1	1	Complex																						
Address	1	1	Complex																						
PhoneNumber	1	1	Complex																						

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Element Name:	Party	minOccurs:	6	maxOccurs:	1203
	PartyIdentification		1	1	Complex
	2. Transmitter Contact Information (Required Batch Transmitter Information)				
	ActivityPartyTypeCode (Code 37)		1	1	Simple
	PartyName		1	1	Complex
	3. Filing Institution (Required FinCEN SAR Part IV, Items 75-82, 87)				
	ActivityPartyTypeCode (Code 30)		1	1	Simple
	PrimaryRegulatorTypeCode (Item 75)		1	1	Simple
	PartyName (Items 76, 87)		1	2	Complex
	Address (Items 82-86)		1	1	Complex
	PartyIdentification (Items 77, 78, 81, 88)		1	3	Complex
	OrganizationClassificationTypeSubtype (Items 79, 80)		1	15	Complex
	4. Contact Office (Required FinCEN SAR Part IV, Items 93-94)				
	ActivityPartyTypeCode (Code 8)		1	1	Simple
	PartyName (Item 93)		1	1	Complex
	PhoneNumber (Item 94)		1	1	Complex
	5. LE Contact Agency (if available FinCEN SAR Part IV, Item 89)				
	ActivityPartyTypeCode (Code 18)		1	1	Simple
	PartyName (Item 89)		1	1	Complex
	6. LE Contact Name (if available FinCEN SAR Part IV, Items 90-92)				
	ActivityPartyTypeCode (Code 19)		1	1	Simple
	ContactDateText (Item 92)		0	1	Simple
	PartyName (Item 90)		0	1	Complex
	PhoneNumber (Item 91)		0	1	Complex
	7. Financial Institution Where Activity Occurred (Required FinCEN SAR Part III, Items 51-66, 69a, 68/69/70-74 if a Branch is involved)				
	Name	minOccurs		maxOccurs	Content
	ActivityPartyTypeCode (Code 34)		1	1	Simple
	LossToFinancialAmountText (Item 67)		0	1	Simple
	NoBranchActivityInvolvedIndicator (Item 69a)		0	1	Simple
	PayLocationIndicator (Item 56b)		0	1	Simple
	PrimaryRegulatorTypeCode (Item 52)		1	1	Simple
	SellingLocationIndicator (Item 56a)		0	1	Simple
	SellingPayingLocationIndicator (Item 56c)		0	1	Simple

Element Name:	Party	minOccurs:	6	maxOccurs:	1203	
	PartyName (Items 57, 58)		1	2	Complex	
	Address (Items 61-65)		1	1	Complex	
	PartyIdentification (Items 55, 59, 60, 66)		1	3	Complex	
	OrganizationClassificationTypeSubtype (Items 51, 53, 54)		1	12	Complex	
	PartyAssociation (Items 68, 69, 70-74)		0	1	Complex	
	8. Subject (Required FinCEN SAR Part I, Items 3-28)					
	ActivityPartyTypeCode		1	1	Simple	
	AdmissionConfessionNoIndicator (Item 23b)		0	1	Simple	
	AdmissionConfessionYesIndicator (Item 23a)		0	1	Simple	
	*AllCriticalSubjectInformationUnavailableIndicator(Item 3b)		0	1	Simple	
	BirthDateUnknownIndicator (Item 19a)		0	1	Simple	
	BothPurchaserSenderPayeeReceiveIndicator (Item 28c)		0	1	Simple	
	FemaleGenderIndicator (Item 8b)		0	1	Simple	
	IndividualBirthDateText (Item 19)		0	1	Simple	
	MaleGenderIndicator (Item 8a)		0	1	Simple	
	NoKnownAccountInvolvedIndicator (Item 27a)		0	1	Simple	
	PartyAsEntityOrganizationIndicator (Item 3a)		0	1	Simple	
	PayeeReceiverIndicator (Item 28b)		0	1	Simple	
	PurchaserSenderIndicator (Item 28a)		0	1	Simple	
	UnknownGenderIndicator (Item 8c)		0	1	Simple	
	*PartyName (Items 4-7, 9)		1	100	Complex	
	*Address (Items 11-15)		1	99	Complex	
	PhoneNumber (Items 20, 21)		0	99	Complex	
	*PartyIdentification (Items 16-18)		2	100	Complex	
	PartyOccupationBusiness (Item 10)		0	1	Complex	
	ElectronicAddress (Item 22)		0	198	Complex	
	PartyAssociation (Items 24-26)		0	99	Complex	
	**PartyAccountAssociation (Items 27)		0	99	Complex	
	<i>*In the event that all critical subject information is unavailable, the elements PartyName, Address, and PartyIdentification become minOccurs "0" and should not be recorded; however, if the subject has one or more known alternative names (which is not considered critical information), the PartyName element would be recorded for each known subject alternative name (max 99).</i>					
	<i>**While Item 27 is associated with the subject, many of the elements associated with this item are reported within the Financial Institution Where Account is Held (41) party type, which is nested within the Subject (33) party type. Please refer to the Party Elements (Account Level) for more details.</i>					
Attribute(s)	The following attributes must be recorded for this element:					
	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.				
Parent Element:	Activity					
Element Restriction(s):	Required. This element must be recorded.					

Element Name:	Party	minOccurs:	6	maxOccurs:	1203																														
	The following table describes the minimum and maximum reporting requirements per FinCEN SAR document by party type (at the activity level): <table><tr><th></th><th></th><th></th></tr><tr><td>Transmitter</td><td>1</td><td>1</td></tr><tr><td>Transmitter Contact</td><td>1</td><td>1</td></tr><tr><td>Filing Institution</td><td>1</td><td>1</td></tr><tr><td>Filing Institution Contact Office</td><td>1</td><td>1</td></tr><tr><td>Law Enforcement Agency</td><td>0</td><td>1</td></tr><tr><td>Law Enforcement Name</td><td>0</td><td>1</td></tr><tr><td>Financial Institution Where Activity Occurred</td><td>1</td><td>99</td></tr><tr><td>Subject</td><td>1</td><td>999</td></tr><tr><td>Total (per document)</td><td>6</td><td>1104</td></tr></table>								Transmitter	1	1	Transmitter Contact	1	1	Filing Institution	1	1	Filing Institution Contact Office	1	1	Law Enforcement Agency	0	1	Law Enforcement Name	0	1	Financial Institution Where Activity Occurred	1	99	Subject	1	999	Total (per document)	6	1104
Transmitter	1	1																																	
Transmitter Contact	1	1																																	
Filing Institution	1	1																																	
Filing Institution Contact Office	1	1																																	
Law Enforcement Agency	0	1																																	
Law Enforcement Name	0	1																																	
Financial Institution Where Activity Occurred	1	99																																	
Subject	1	999																																	
Total (per document)	6	1104																																	
Value Restriction(s):	n/a																																		
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded or is incorrectly formatted. • The element is missing a "SeqNum" attribute. • The element contains a "SeqNum" attribute with a duplicate or invalid value. • The following party types are not recorded or exceed the maximum occurrence for the FinCEN SAR: ○ Transmitter (1 occurrence) ○ Transmitter Contact (1 occurrence) ○ Filing Institution (1 occurrence) ○ Designated Contact Office (1 occurrence) ○ Financial Institution Where Activity Occurred (no more than 99) ○ Subject (no more than 999) • One or both of the following party types are recorded more than once for the FinCEN SAR: ○ Law Enforcement Agency ○ Law Enforcement Name																																		
Example:	See Part Elements by Party Type for detailed examples...																																		

Element Name:	ActivityPartyTypeCode	minOccurs:	1	maxOccurs:	1
Description:	Party type (code). This element identifies the type of party associated with the FinCEN SAR.				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Required. This element must be recorded for each <Party> element regardless of party type.				
Value Restriction(s):	The value provided must adhere to the following requirements:				
	Code	Description			
	35	Transmitter			
	37	Transmitter Contact			
	30	Filing Institution			
	8	Designated Contact Office			
	18	Law Enforcement Agency			
	19	Law Enforcement Name			
	34	Financial Institution Where Activity Occurred			

Element Name:	ActivityPartyTypeCode	minOccurs:	1	maxOccurs:	1
	33 Subject				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded. - The element is recorded but with no value (i.e. the value is null). - The element contains an invalid value.				
Example:	<fc2:ActivityPartyTypeCode>30</fc2:ActivityPartyTypeCode>				

Element Name:	AdmissionConfessionNoIndicator	minOccurs:	0	maxOccurs:	1
Description:	Corroborative statement to filer: No (indicator). This element declares that the subject individual has made no corroborative statement to the filer. This element corresponds with the following item(s): 23b. Corroborative statement to filer (No) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33), the subject is an individual, and the subject made no corroborative statement to the filer admitting to involvement in or otherwise substantiating the suspicious activity; otherwise, do not record this element. Do not record this element if the subject is an entity.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "No" to Corroborative statement to filer)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:AdmissionConfessionNoIndicator>Y</fc2:AdmissionConfessionNoIndicator>				

Element Name:	AdmissionConfessionYesIndicator	minOccurs:	0	maxOccurs:	1
Description:	Corroborative statement to filer: Yes (indicator). This element declares that the subject individual has made a statement to the filer admitting to involvement in or otherwise substantiating the suspicious activity. This element corresponds with the following item(s): 23c. Corroborative statement to filer (Yes) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33), the subject is an individual, and the subject has made a statement to the filer admitting to involvement in or otherwise substantiating the suspicious activity; otherwise, do not record this element. Do not record this element if the subject is an entity.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Yes" to Corroborative statement to filer)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:AdmissionConfessionYesIndicator>Y</fc2:AdmissionConfessionYesIndicator>				

Element Name:	AllCriticalSubjectInformationUnavailableIndicator	minOccurs:	0	maxOccurs:	1
Description:	All critical subject information unavailable (indicator). This element declares that all critical subject information is unavailable. This element corresponds with the following item(s): 3b. Check if all critical* subject information is unavailable (does not include item *27) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33) and all critical* subject information is unavailable with the exception of Item 27 "Financial Institution TIN and account number(s) affected that are related to the subject"; otherwise, do not record this element. *Refer to Attachment C (Item Instructions) to identify all critical items associated with the subject.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "All critical subject information unavailable")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:AllCriticalSubjectInformationUnavailableIndicator>Y</fc2:AllCriticalSubjectInformationUnavailableIndicator>				

Element Name:	BirthDateUnknownIndicator	minOccurs:	0	maxOccurs:	1
Description:	Date of birth (date). This element identifies the date of birth associated with the subject. This element corresponds with the following item(s): 19a. Date of birth (unknown) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33), the subject is an individual, and the date of birth is unknown*; otherwise, do not record this element. *If the subject is an individual and the date of birth is known, record the <IndividualBirthDateText> element with the birth date and do not record the <BirthDateUnknownIndicator> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate date of birth unknown)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:BirthDateUnknownIndicator>Y</fc2:BirthDateUnknownIndicator>				

Element Name:	BothPurchaserSenderPayeeReceiveIndicator	minOccurs:	0	maxOccurs:	1
Description:	This element declares that the subject was both a purchaser/sender of the financial instrument(s) or product(s) involved in the suspicious activity and payee/receiver of the instrument(s) or product(s) involved in the suspicious activity. This element corresponds with the following item(s): 28c. Subject's role in suspicious activity (both Purchaser/Sender and Payee/Receiver) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				

Element Name:	BothPurchaserSenderPayeeReceiveIndicator	minOccurs:	0	maxOccurs:	1
Element Restriction(s):	Record this element when the party type is associated with the Subject (33) and the subject was both the payee/receiver and purchaser/sender of the instrument(s) or product(s) involved in the suspicious activity; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate both Purchaser/Sender and Payee/Receiver)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - More than one role is recorded for the Subject.				
Example:	<fc2:BothPurchaserSenderPayeeReceiveIndicator>Y</fc2:BothPurchaserSenderPayeeReceiveIndicator>				

Element Name:	ContactDateText	minOccurs:	0	maxOccurs:	1
Description:	Law enforcement contact date (date). This element identifies the most-recent date the law enforcement agency was contacted about the suspicious activity. This element corresponds with the following item(s): 92. LE contact date <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the LE Contact Name (19) and the most-recent date the law enforcement agency was contacted about the suspicious activity is available; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 8 numeric characters in the format YYYYMMDD where YYYY = year, MM = month, and DD = day. Single digit days or months must be prefaced by a zero.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded for the element is not in the required format (YYYYMMDD).				
Example:	<fc2:ContactDateText>20171105</fc2:ContactDateText>				

Element Name:	FemaleGenderIndicator	minOccurs:	0	maxOccurs:	1
Description:	Gender: Female (indicator). This element declares that the gender of the subject is female. This element corresponds with the following item(s): 8b. Gender (female) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33), the subject is an individual, and subject's gender is female; if the subject's gender is male or unknown, or the subject is an entity, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate female gender)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				

Element Name:	FemaleGenderIndicator	minOccurs:	0	maxOccurs:	1
	The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: • More than one gender is recorded for the Subject. • The gender is specified for the entity Subject.				
Example:	<fc2:FemaleGenderIndicator>Y</fc2:FemaleGenderIndicator>				

Element Name:	IndividualBirthDateText	minOccurs:	0	maxOccurs:	1
Description:	Date of birth unknown (indicator). This element declares that the date of birth associated with the subject is unknown. This element corresponds with the following item(s): • 19. Date of birth <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33), the subject is an individual, and the date of birth is known*; otherwise, do not record this element. *If the subject is an individual and the date of birth is unknown, record the <BirthDateUnknownIndicator> element with a "Y" value and do not record the <IndividualBirthDateText> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 8 numeric characters in the format YYYYMMDD where YYYY = year, MM = month, and DD = day. Single digit days or months must be prefaced by a zero. If the birth day and/or month is unknown, enter "00" for the unknown day or month. For example, a date of birth with an unknown day in February 1978 would be entered as 19780200. Do not enter zeros for the year if the year is unknown.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: • The value recorded for the element is not in the required format (YYYYMMDD). • The element is not recorded for the individual Subject and both <AllCriticalSubjectInformationUnavailableIndicator> or <BirthDateUnknownIndicator> do not contain a "Y" value. • The date of birth recorded is less than January 1, 1900.				
Example:	<fc2:IndividualBirthDateText>19801025</fc2:IndividualBirthDateText>				

Element Name:	LossToFinancialAmountText	minOccurs:	0	maxOccurs:	1
Description:	Loss to financial institution (amount). This element identifies the dollar amount loss to the financial institution because of the suspicious activity. This element corresponds with the following item(s): • 67. Loss to financial institution (if applicable) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Financial institution where activity occurred (34) and the institution has suffered a loss as a result of the suspicious activity; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 1-15 numeric characters (without leading zeros) denominated in whole U.S. Dollars. The amount entered in this element cannot be zero and cannot be greater than the amount recorded in the <TotalSuspiciousAmountText> element. Do not include non-numeric characters.				

Element Name:	LossToFinancialAmountText	minOccurs:	0	maxOccurs:	1
	NOTE: If some losses are known and other losses unknown, enter the total of known losses as of the date of filing. If the FinCEN SAR is a continuing activity report, enter in the <LossToFinancialAmountText> element the loss amount for the current FinCEN SAR and record in the narrative the total aggregated losses for all FinCEN SARs filed on the suspicious activity.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The amount recorded contains one or more non-numeric characters. - The amount recorded is equal to zero. - The amount recorded is greater than the amount involved in the report.				
Example:	<fc2:LossToFinancialAmountText>15000</fc2:LossToFinancialAmountText>				

Element Name:	MaleGenderIndicator	minOccurs:	0	maxOccurs:	1
Description:	Gender: Male (indicator). This element declares that the gender of the subject is male. This element corresponds with the following item(s): 8a. Gender (male) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33), the subject is an individual, and subject's gender is male; if the subject's gender is female or unknown, or the subject is an entity, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate male gender)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: - More than one gender is recorded for the Subject. - The gender is not specified for the individual Subject. - The gender "male" is specified for the entity Subject.				
Example:	<fc2:MaleGenderIndicator>Y</fc2:MaleGenderIndicator>				

Element Name:	NoBranchActivityInvolvedIndicator	minOccurs:	0	maxOccurs:	1
Description:	No branch involved (indicator). This element declares that there is no branch location involved in the suspicious activity for the associated financial institution where activity occurred. This element corresponds with the following item(s): 69a. No branch activity involved <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Financial Institution Where Activity Occurred (34) and no branch was involved in the suspicious activity (or the branch country is unknown); otherwise, do not record this element. If this element is recorded, do not record a party type associated with the Branch Where Activity Occurred (46) for the associated Financial Institution (34).				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "No branch activity involved")				

Element Name:	NoBranchActivityInvolvedIndicator	minOccurs:	0	maxOccurs:	1
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: - This element is recorded with a "Y" value for the Financial institution (34) but one or more Branch (46) party type locations are also recorded. - The party type associated with the branch where activity occurred is not recorded and "no branch activity involved" is not indicated.				
Example:	<fc2:NoBranchActivityInvolvedIndicator>Y</fc2:NoBranchActivityInvolvedIndicator>				

Element Name:	NoKnownAccountInvolvedIndicator	minOccurs:	0	maxOccurs:	1
Description:	No known account involved (indicator). This element declares that no account related to the subject is involved in the suspicious activity. This element corresponds with the following item(s): 27a. No known account involved <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33) and no account related to the subject is involved in the suspicious activity; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "No known account involved")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be accepted with warning if any of the following conditions are true: - The element is recorded with a "Y" value and the <PartyAccountAssociation> element is also recorded. - The element is not recorded and the <PartyAccountAssociation> element is also not recorded.				
Example:	<fc2:NoKnownAccountInvolvedIndicator>Y</fc2:NoKnownAccountInvolvedIndicator>				

Element Name:	PartyAsEntityOrganizationIndicator	minOccurs:	0	maxOccurs:	1
Description:	Entity (indicator). This element declares that the subject is an entity. This element corresponds with the following item(s): 3a. Check if entity <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33) and the subject is an entity; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate that the subject is an entity)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:PartyAsEntityOrganizationIndicator>Y</fc2:PartyAsEntityOrganizationIndicator>				

Element Name:	PayeeReceiverIndicator	minOccurs:	0	maxOccurs:	1
Description:	Payee/Receiver (indicator). This element declares that the subject was the payee or receiver of the instrument(s) or product(s). This element corresponds with the following item(s): 28b. Subject's role in suspicious activity (Payee/Receiver) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33) and the subject was the payee or receiver of the instrument(s) or product(s) involved in the suspicious activity; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Payee/Receiver)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - More than one role is recorded for the Subject.				
Example:	<fc2:PayeeReceiverIndicator>Y</fc2:PayeeReceiverIndicator>				

Element Name:	PayLocationIndicator	minOccurs:	0	maxOccurs:	1
Description:	Paying location (indicator). This element declares that the customer received payment from the financial institution where activity occurred for the products or instruments recorded in the FinCEN SAR. This element corresponds with the following item(s): 56b. Financial institution's role in transaction (Paying location) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Financial Institution Where Activity Occurred (34) and the customer received payment from the Financial Institution (34) for the recorded products or instruments; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Paying location")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:PayLocationIndicator>Y</fc2:PayLocationIndicator>				

Element Name:	PrimaryRegulatorTypeCode	minOccurs:	0	maxOccurs:	1
Description:	Primary regulator type (code). This element identifies the primary federal regulator or BSA examiner of the financial institution where activity occurred as well as the filing institution. This element corresponds with the following item(s): - Financial Institution Where Activity Occurred: 52. Primary Federal Regulator - Filing Institution: 75. Primary Federal Regulator <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				

Element Name:	PrimaryRegulatorTypeCode	minOccurs:	0	maxOccurs:	1																				
Element Restriction(s):	Conditionally Required. This element must be recorded for the following party types; otherwise, do not record this element: - Financial Institution Where Activity Occurred (34) - Filing Institution (30)																								
Value Restriction(s):	The value provided must adhere to the following requirements: <table><tr><td></td><td></td></tr><tr><td>9</td><td>CFTC (Commodities Futures Trading Commission)</td></tr><tr><td>1</td><td>Federal Reserve</td></tr><tr><td>2</td><td>FDIC (Federal Deposit Insurance Corporation)</td></tr><tr><td>13</td><td>FHFA (Federal Housing Finance Agency)</td></tr><tr><td>7</td><td>IRS (Internal Revenue Service)</td></tr><tr><td>3</td><td>NCUA (National Credit Union Administration)</td></tr><tr><td>4</td><td>OCC (Office of the Comptroller of the Currency)</td></tr><tr><td>6</td><td>SEC (Securities and Exchange Commission)</td></tr><tr><td>99</td><td>Not Applicable</td></tr></table>							9	CFTC (Commodities Futures Trading Commission)	1	Federal Reserve	2	FDIC (Federal Deposit Insurance Corporation)	13	FHFA (Federal Housing Finance Agency)	7	IRS (Internal Revenue Service)	3	NCUA (National Credit Union Administration)	4	OCC (Office of the Comptroller of the Currency)	6	SEC (Securities and Exchange Commission)	99	Not Applicable
9	CFTC (Commodities Futures Trading Commission)																								
1	Federal Reserve																								
2	FDIC (Federal Deposit Insurance Corporation)																								
13	FHFA (Federal Housing Finance Agency)																								
7	IRS (Internal Revenue Service)																								
3	NCUA (National Credit Union Administration)																								
4	OCC (Office of the Comptroller of the Currency)																								
6	SEC (Securities and Exchange Commission)																								
99	Not Applicable																								
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The element is not recorded for the approved party type (see Element Restrictions for more information). - The element is recorded but with no value (i.e. the value is null). - The element contains an invalid value.																								
Example:	<fc2:PrimaryRegulatorTypeCode>4</fc2:PrimaryRegulatorTypeCode>																								

Element Name:	PurchaserSenderIndicator	minOccurs:	0	maxOccurs:	1
Description:	Purchaser/Sender (indicator). This element declares that the subject purchased or sent the financial instrument(s) or product(s) involved in the suspicious activity. This element corresponds with the following item(s): 28a. Subject's role in suspicious activity (Purchaser/Sender) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33) and the subject purchased or sent the financial instrument(s) or product(s) involved in the suspicious activity; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Purchaser/Sender)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - More than one role is recorded for the Subject.				
Example:	<fc2:PurchaserSenderIndicator>Y</fc2:PurchaserSenderIndicator>				

Element Name:	SellingLocationIndicator	minOccurs:	0	maxOccurs:	1
Description:	Selling location (indicator). This element declares that the customer purchased at the financial institution where activity occurred the products or instruments recorded in the FinCEN SAR. This element corresponds with the following item(s): 56a. Financial Institution's role in transaction: Selling location <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Financial Institution Where Activity Occurred (34) and the customer purchased at the financial institution (34) the recorded products or instruments; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Selling location")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:SellingLocationIndicator>Y</fc2:SellingLocationIndicator>				

Element Name:	SellingPayingLocationIndicator	minOccurs:	0	maxOccurs:	1
Description:	Selling and Paying location (indicator). This element declares that the financial institution where activity occurred was both a paying and selling location for the products or instruments recorded in the FinCEN SAR. This element corresponds with the following item(s): 56c. Financial Institution's role in transaction: Both Selling and Paying location <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Financial Institution Where Activity Occurred (34) and the financial institution was both the selling and paying location for the recorded products or instruments; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate both Selling and Paying location)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:SellingPayingLocationIndicator>Y</fc2:SellingPayingLocationIndicator>				

Element Name:	UnknownGenderIndicator	minOccurs:	0	maxOccurs:	1
Description:	Gender: Unknown (indicator). This element declares that the gender of the subject is unknown. This element corresponds with the following item(s): 8c. Gender (unknown) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33), the subject is an individual, and subject's gender is unknown; if the subject's gender is known, or the subject is an entity, do not record this element.				

Element Name:	UnknownGenderIndicator	minOccurs:	0	maxOccurs:	1
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate unknown gender)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: - More than one gender is recorded for the Subject. - The gender is not specified for the individual Subject. - The gender "unknown" is specified for the entity Subject.				
Example:	<fc2:UnknownGenderIndicator>Y</fc2:UnknownGenderIndicator>				

Element Name:	PartyName	See <i>PartyName Elements</i> for details.
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Element Name:	Address	See <i>Address Elements</i> for details.
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Element Name:	PhoneNumber	See <i>PhoneNumber Elements</i> for details.
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Element Name:	PartyIdentification	See <i>PartyIdentification Elements</i> for details.
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Element Name:	OrganizationClassificationTypeSubtype	See <i>OrganizationClassificationTypeSubtype Elements</i> for details.
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Element Name:	PartyOccupationBusiness	See <i>PartyOccupationBusiness Elements</i> for details.
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Element Name:	ElectronicAddress	See <i>ElectronicAddress Elements</i> for details.
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Element Name:	PartyAssociation	See <i>PartyAssociation Elements</i> for details.
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Element Name:	PartyAccountAssociation	See <i>PartyAccountAssociation Elements</i> for details.
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4.6.1. PartyName Elements

Element Name:	PartyName	minOccurs:	0	maxOccurs:	100
Description:	Party name (header). This is the container for information about the name of the party. The party name can be a legal name, doing business as (DBA) name, or also known as (AKA) name depending on the party type identified.				

Element Name:	PartyName	minOccurs:	0	maxOccurs:	100												
The following sub-element is associated with this element:																	
Activity party type code definitions 35 = Transmitter 37 = Transmitter Contact 30 = Filing Institution 8 = Contact Office 18 = LE Contact Agency 19 = LE Contact Name 34 = Financial Institution Where Activity Occurred 33 = Subject																	
1. Transmitter Information: Legal name (Required)																	
<table><tr><td></td><td></td><td></td><td></td></tr><tr><td>PartyNameTypeCode (Code L)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>RawPartyFullName</td><td>1</td><td>1</td><td>Simple</td></tr></table>										PartyNameTypeCode (Code L)	1	1	Simple	RawPartyFullName	1	1	Simple
PartyNameTypeCode (Code L)	1	1	Simple														
RawPartyFullName	1	1	Simple														
2. Transmitter Contact Information: Legal name (Required)																	
<table><tr><td></td><td></td><td></td><td></td></tr><tr><td>PartyNameTypeCode (Code L)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>RawPartyFullName</td><td>1</td><td>1</td><td>Simple</td></tr></table>										PartyNameTypeCode (Code L)	1	1	Simple	RawPartyFullName	1	1	Simple
PartyNameTypeCode (Code L)	1	1	Simple														
RawPartyFullName	1	1	Simple														
3. Filing Institution Information:																	
a. Legal name (Required FinCEN SAR Part IV, Items 76)																	
<table><tr><td></td><td></td><td></td><td></td></tr><tr><td>PartyNameTypeCode (Code L)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>RawPartyFullName (Item 76)</td><td>1</td><td>1</td><td>Simple</td></tr></table>										PartyNameTypeCode (Code L)	1	1	Simple	RawPartyFullName (Item 76)	1	1	Simple
PartyNameTypeCode (Code L)	1	1	Simple														
RawPartyFullName (Item 76)	1	1	Simple														
b. Alternate name (if applicable FinCEN SAR Part IV, Item 87)																	
<table><tr><td></td><td></td><td></td><td></td></tr><tr><td>PartyNameTypeCode (Code AKA or DBA)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>RawPartyFullName (Item 87)</td><td>1</td><td>1</td><td>Simple</td></tr></table>										PartyNameTypeCode (Code AKA or DBA)	1	1	Simple	RawPartyFullName (Item 87)	1	1	Simple
PartyNameTypeCode (Code AKA or DBA)	1	1	Simple														
RawPartyFullName (Item 87)	1	1	Simple														
4. Contact Office: Legal name (Required FinCEN SAR Part IV, Items 93)																	
<table><tr><td></td><td></td><td></td><td></td></tr><tr><td>PartyNameTypeCode (Code L)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>RawPartyFullName (Item 93)</td><td>1</td><td>1</td><td>Simple</td></tr></table>										PartyNameTypeCode (Code L)	1	1	Simple	RawPartyFullName (Item 93)	1	1	Simple
PartyNameTypeCode (Code L)	1	1	Simple														
RawPartyFullName (Item 93)	1	1	Simple														
5. LE Contact Agency: Legal name (if applicable FinCEN SAR Part IV, Item 89)																	
<table><tr><td></td><td></td><td></td><td></td></tr><tr><td>PartyNameTypeCode (Code L)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>RawPartyFullName (Item 89)</td><td>1</td><td>1</td><td>Simple</td></tr></table>										PartyNameTypeCode (Code L)	1	1	Simple	RawPartyFullName (Item 89)	1	1	Simple
PartyNameTypeCode (Code L)	1	1	Simple														
RawPartyFullName (Item 89)	1	1	Simple														
6. LE Contact Name: Legal name (if applicable FinCEN SAR Part IV, Items 90)																	
<table><tr><td></td><td></td><td></td><td></td></tr><tr><td>PartyNameTypeCode (Code L)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>RawPartyFullName (Item 90)</td><td>1</td><td>1</td><td>Simple</td></tr></table>										PartyNameTypeCode (Code L)	1	1	Simple	RawPartyFullName (Item 90)	1	1	Simple
PartyNameTypeCode (Code L)	1	1	Simple														
RawPartyFullName (Item 90)	1	1	Simple														
7. Financial Institution Where Activity Occurred:																	
a. Legal name/unknown (Required FinCEN SAR Part III, Item 57)																	

Element Name:	PartyName	minOccurs:	0	maxOccurs:	100
	Name		minOccurs	maxOccurs	Content
	EntityLastNameUnknownIndicator (Code Y)		0	1	Simple
	PartyNameTypeCode (Code L)		1	1	Simple
	RawPartyFullName (Item 57)		0	1	Simple
	*If unknown is indicated, the corresponding element whose value is unknown should not be recorded; otherwise, the unknown indicator element should not be recorded.				
	b. Alternate name (if applicable FinCEN SAR Part III, Item 58)				
	PartyNameTypeCode (Code AKA or DBA)		1	1	Simple
	RawPartyFullName (Item 58)		1	1	Simple
	8. Subject				
	a. Legal name/unknown (Conditionally Required FinCEN SAR Part I, Items 4-7)				
	EntityLastNameUnknownIndicator (Item 4a)		0	1	Simple
	FirstNameUnknownIndicator (Item 5a)		0	1	Simple
	PartyNameTypeCode (Code L)		1	1	Simple
	RawEntityIndividualLastName (Item 4)		0	1	Simple
	RawIndividualFirstName (Item 5)		0	1	Simple
	RawIndividualMiddleName (Item 6)		0	1	Simple
	RawIndividualNameSuffixText (Item 7)		0	1	Simple
	*If unknown is indicated, the corresponding element whose value is unknown should not be recorded; otherwise, the unknown indicator element should not be recorded. In the event that all critical subject information is unavailable, do not record the <PartyName> element for the Subject (33) unless recording the subjects alternative name (if known).				
	b. Alternate name (if applicable FinCEN SAR Part I, Item 9)				
	PartyNameTypeCode (Code AKA or DBA)		1	1	Simple
	RawPartyFullName (Item 58)		1	1	Simple
Attribute(s)	The following attributes must be recorded for this element:				
	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.			
Parent Element:	Party				
Element Restriction(s):	Required. This element must be recorded for all party types (Activity Level) with the following exception: In the event that all critical subject information is unavailable, do not record this element for the Subject (33) unless recording the subject's alternative name (if known). The following table describes the minimum and maximum reporting requirements per party type (at the activity level):				

Element Name:	PartyName	minOccurs:	0	maxOccurs:	100
	Party type	Legal (min-max)	Alternate (min-max)		
	Transmitter	1-1	n/a		
	Transmitter Contact	1-1	n/a		
	Filing Institution	1-1	0-1		
	Filing Institution Contact Office	1-1	n/a		
	Law Enforcement Agency	0-1	n/a		
	Law Enforcement Name	0-1	n/a		
	Financial Institution Where Activity Occurred	1-1	0-99		
	Subject*	0-1	0-99		
*In the event that all critical subject information is unavailable, do not record the <PartyName> element for the Subject (33) unless recording the subjects alternative name (if known).					
Value Restriction(s):	n/a				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). • The element is missing a "SeqNum" attribute. • The element contains a "SeqNum" attribute with a duplicate or invalid value. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: • The element is not recorded for the Subject (33) legal name and <AllCriticalSubjectInformationUnavailableIndicator> does not contain a "Y" value. • More than one legal name is recorded for a party within a single FinCEN SAR Activity.				
Example:	<pre><fc2:PartyName SeqNum="62"> <fc2:FirstNameUnknownIndicator>Y</fc2:FirstNameUnknownIndicator> <fc2:PartyNameTypeCode>L</fc2:PartyNameTypeCode> <fc2:RawEntityIndividualLastName>Mann</fc2:RawEntityIndividualLastName> <fc2:RawIndividualMiddleName>Randy</fc2:RawIndividualMiddleName> <fc2:RawIndividualNameSuffixText>Junior</fc2:RawIndividualNameSuffixText> </fc2:PartyName></pre>				

Element Name:	EntityLastNameUnknownIndicator	minOccurs:	0	maxOccurs:	1
Description:	Entity name or Individual last name unknown (indicator). This element declares that the person legal name (if entity) or last name (if individual) is unknown. This element corresponds with the following item(s): - Subject: 4a. Individual's last name or entity's legal name (unknown) - Financial Institution Where Activity Occurred: 57a. Legal name of Financial Institution (unknown) Please refer to Attachment C for additional information regarding the above item(s).				
Attribute(s)	n/a				
Parent Element:	PartyName				
Element Restriction(s):	Conditionally Required. Record this element for the following party types and conditions; otherwise, do not record this element: - Subject (33), the <PartyNameTypeCode> is "L" (legal), and the legal entity/last name of the subject is unknown. - Financial institution where activity occurred (34), the <PartyNameTypeCode> is "L" (legal), and the institution legal name (entity or individual) is unknown.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate entity/last name unknown)				

Element Name:	EntityLastNameUnknownIndicator	minOccurs:	0	maxOccurs:	1
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:EntityLastNameUnknownIndicator>Y</fc2:EntityLastNameUnknownIndicator>				

Element Name:	FirstNameUnknownIndicator	minOccurs:	0	maxOccurs:	1
Description:	Individual first name unknown (indicator). This element declares that the first name of the subject is unknown. This element corresponds with the following item(s): 5a. First name (unknown) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyName				
Element Restriction(s):	Conditionally Required. Record this element for the Subject (33) party type when the <PartyNameTypeCode> is "L" (legal) and the first name of the subject is unknown; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate first name unknown)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:FirstNameUnknownIndicator>Y</fc2:FirstNameUnknownIndicator>				

Element Name:	PartyNameTypeCode	minOccurs:	1	maxOccurs:	1
Description:	Party name type (code). This element identifies the type of name recorded for the party; specifically, legal name, doing business as (DBA) name, or also known as (AKA) name. This element corresponds with the following item(s): - Transmitter - Name (legal) - Transmitter Contact - Name (legal) - Filing Institution 76. Filer name (legal) 87. Alternate name (dba/aka) 89. LE contact agency (legal) 90. LE contact name (legal) 93. Designated contact office (legal) - Financial Institution Where Activity Occurred 57. Legal name of financial institution (legal) 58. Alternate name (dba/aka) - Subject: 4. Individual's last name or entity's legal name (legal) 9. Alternate name (dba/aka) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyName				
Element Restriction(s):	Required. This element must be recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: Identify the party name type by recording the appropriate code from the list below:				

Element Name:	PartyNameTypeCode	minOccurs:	1	maxOccurs:	1								
	<table><tr><th>Code</th><th>Description</th></tr><tr><td>L</td><td>Legal</td></tr><tr><td>DBA</td><td>Doing Business As*</td></tr><tr><td>AKA</td><td>Also Known As*</td></tr></table> *DBA and AKA name types may only be used for the following party types: • Filing Institution (30) • Financial Institution Where Activity Occurred (34) • Subject (33)	Code	Description	L	Legal	DBA	Doing Business As*	AKA	Also Known As*				
Code	Description												
L	Legal												
DBA	Doing Business As*												
AKA	Also Known As*												
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded. • The element is recorded but with no value (i.e. the value is null). • The element contains an invalid value. • The element is recorded with a value that is not approved for the associated party type (see Value Restrictions for more information).												
Example:	<fc2:PartyNameTypeCode>L</fc2:PartyNameTypeCode>												

Element Name:	RawEntityIndividualLastName	minOccurs:	0	maxOccurs:	1
Description:	Entity name or Individual last name (text). This element identifies the subject's legal name, whether it be the legal name of the entity or the last name of the individual. This element corresponds with the following item(s): 4. Individual's last name or entity's legal name <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyName				
Element Restriction(s):	Conditionally Required. Record this element when the party type is associated with the Subject (33), the <PartyNameTypeCode> is "L" (legal), and the entity/last name of the subject is known*; otherwise, do not record this element. *If the entity/last name of the subject is unknown, record the <EntityLastNameUnknownIndicator> element with the value "Y" and do not record the <RawEntityIndividualLastName> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 150 characters or less				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value for the Subject and unknown is not indicated.				
Example:	<fc2:RawEntityIndividualLastName>Mann</fc2:RawEntityIndividualLastName>				

Element Name:	RawIndividualFirstName	minOccurs:	0	maxOccurs:	1
Description:	Individual first name (text). This element identifies the first name of the subject. This element corresponds with the following item(s): 5. First name <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyName				

Element Name:	RawIndividualFirstName	minOccurs:	0	maxOccurs:	1
Element Restriction(s):	Conditionally Required. Record this element when the party type is associated with the Subject (33), the <PartyNameTypeCode> is "L" (legal), the subject is an individual, and the first name is known*; otherwise, do not record this element. *If the subject is an individual and the first name is unknown, record the <FirstNameUnknownIndicator> with the value "Y" and do not record the following elements: • <RawIndividualFirstName> • <PartyAsEntityOrganizationIndicator>				
Value Restriction(s):	The value provided must adhere to the following requirements: 35 characters or less				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: • The element is not recorded or does not contain a value for an individual Subject and unknown is not indicated.				
Example:	<fc2:RawIndividualFirstName>Will</fc2:RawIndividualFirstName>				

Element Name:	RawIndividualMiddleName	minOccurs:	0	maxOccurs:	1
Description:	Individual middle name (text). This element identifies the middle name of the subject. This element corresponds with the following item(s): • 6. Middle name <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyName				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33), the <PartyNameTypeCode> is "L" (legal), the subject is an individual, and the middle name is known*; otherwise, do not record this element. *If the subject is an individual and the middle name is unknown, this element (along with the <PartyAsEntityOrganizationIndicator> element) should not be recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: 35 characters or less				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information).				
Example:	<fc2:RawIndividualMiddleName>Randy</fc2:RawIndividualMiddleName>				

Element Name:	RawIndividualNameSuffixText	minOccurs:	0	maxOccurs:	1
Description:	Individual suffix name (text). This element identifies the suffix name of the subject. This element corresponds with the following item(s): • 7. Suffix <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyName				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33), the <PartyNameTypeCode> is "L" (legal), the subject is an individual, and the suffix name is known*; otherwise, do not record this element. *If the subject is an individual and the suffix name is unknown, this element (along with the <PartyAsEntityOrganizationIndicator> element) should not be recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: 35 characters or less				

Element Name:	RawIndividualNameSuffixText	minOccurs:	0	maxOccurs:	1
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information).				
Example:	<fc2:RawIndividualNameSuffixText>Junior</fc2:RawIndividualNameSuffixText>				

Element Name:	RawPartyFullName	minOccurs:	0	maxOccurs:	1
Description:	Party full name (text). This element identifies the full name of the party, whether it be the legal name if the institution, or DBA/AKA name of the institution or individual. This element corresponds with the following item(s): - Transmitter - Name (legal) - Transmitter Contact - Name (legal) - Filing Institution 76. Filer name (legal) 87. Alternate name (dba/aka) 89. LE contact agency (legal) 90. LE contact name (legal) 93. Designated contact office (legal) - Financial Institution Where Activity Occurred 57. Legal name of financial institution (legal) 58. Alternate name (dba/aka) - Subject: 9. Alternate name (dba/aka) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyName				
Element Restriction(s):	Conditionally Required. Record this element for the following party types and conditions: - The PartyNameTypeCode is "L" (legal) and the party type is associated with: - Transmitter (35) - Transmitter Contact (37) (NOTE: The value recorded must be the name of the individual to be contacted on issues involving the batch file. This entry must be the same for all FinCEN SARs in the batch file.) - Filing Institution (30) - Designated Contact Office (8) (NOTE: This value recorded must be the title of the administrative office (such as Compliance Office) that should be contacted for additional information about the FinCEN SAR.) - LE Contact Agency (18) - LE Contact Name (19) - Financial Institution Where Activity Occurred (34) and the legal name is known. If the Financial Institution (34) legal name is unknown, record the <EntityLastNameUnknownIndicator> element with the value "Y" and do not record the <RawPartyFullName> element. - The PartyNameTypeCode is "DBA" or "AKA" and the party type is associated with: - Filing institution* (30) - Financial Institution Where Activity Occurred* (34) - Subject* (33) *If there is no DBA or AKA name for the above party types, only record the <PartyName> element associated with the legal name.				
Value Restriction(s):	The value provided must adhere to the following requirements: 150 characters or less				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information).				

Element Name:	RawPartyFullName	minOccurs:	0	maxOccurs:	1
	- The element is not recorded for the financial institution where activity occurred legal name and unknown is not indicated. - The element is not recorded with a value for the designated contact office. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is recorded with a value for the financial institution where activity occurred legal name and unknown is indicated. - The element is not recorded for the filing institution.				
Example:	<pre><fc2:PartyName SeqNum="46"> <fc2:PartyNameTypeCode>L</fc2:PartyNameTypeCode> <fc2:RawPartyFullName>Union Bank of California</fc2:RawPartyFullName> </fc2:PartyName></pre>				

4.6.2. Address Elements

Element Name:	Address	minOccurs:	0	maxOccurs:	99
Description:	Address (header). This is the container for information about the address of the party.				
	The following sub-element is associated with this element:				
	Activity party type code definitions 35 = Transmitter 30 = Filing Institution 34 = Financial Institution Where Activity Occurred 33 = Subject				
	1. Transmitter Information: Address (Required)				
	RawCityText	1	1	Simple	
	RawCountryCodeText	1	1	Simple	
	RawStateCodeText	1	1	Simple	
	RawStreetAddress1Text	1	1	Simple	
	RawZIPCode	1	1	Simple	
2. Filing Institution Information: Address (Required FinCEN SAR Part IV, Items 82-86)					
RawCityText (Item 83)	1	1	Simple		
RawCountryCodeText (Item 86)	1	1	Simple		
RawStateCodeText (Item 84)	1	1	Simple		
RawStreetAddress1Text (Item 82)	1	1	Simple		
RawZIPCode (Item 85)	1	1	Simple		
3. Financial Institution Where Activity Occurred: Address/Unknown (Required FinCEN SAR Part III, Items 61-65)					
Name	minOccurs	maxOccurs	Content		
CityUnknownIndicator (Item 62a)	0	1	Simple		
CountryCodeUnknownIndicator (Item 65a)	0	1	Simple		
RawCityText (Item 62)	0	1	Simple		

Element Name:	Address	minOccurs:	0	maxOccurs:	99										
	RawCountryCodeText (Item 65)		0	1	Simple										
	RawStateCodeText (Item 63)		0	1	Simple										
	RawStreetAddress1Text (Item 61)		0	1	Simple										
	RawZIPCode (Item 64)		0	1	Simple										
	StreetAddressUnknownIndicator (Item 61a)		0	1	Simple										
	ZIPCodeUnknownIndicator (Item 64a)		0	1	Simple										
	<i>*If unknown is indicated, the corresponding element whose value is unknown should not be recorded; otherwise, the unknown indicator element should not be recorded.</i>														
	4. Subject: Address/Unknown* (Conditionally Required FinCEN SAR Part I, Items 11-15)														
	CityUnknownIndicator (Item 12a)		0	1	Simple										
	CountryCodeUnknownIndicator (Item 15a)		0	1	Simple										
	RawCityText (Item 12)		0	1	Simple										
	RawCountryCodeText (Item 15)		0	1	Simple										
	RawStateCodeText (Item 13)		0	1	Simple										
	RawStreetAddress1Text (Item 11)		0	1	Simple										
	RawZIPCode (Item 14)		0	1	Simple										
	StateCodeUnknownIndicator (Item 13a)		0	1	Simple										
	StreetAddressUnknownIndicator (Item 11a)		0	1	Simple										
	ZIPCodeUnknownIndicator (Item 14a)		0	1	Simple										
	<i>*If unknown is indicated, the corresponding element whose value is unknown should not be recorded; otherwise, the unknown indicator element should not be recorded. In the event that all critical subject information is unavailable, do not record the <Address> element for the Subject (33).</i>														
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td></td><td></td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>							SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.						
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.														
Parent Element:	Party														
Element Restriction(s):	Required. This element must be recorded for the following party types (activity level): <table><tr><td></td><td></td></tr><tr><td>Transmitter</td><td>1-1</td></tr><tr><td>Filing Institution</td><td>1-1</td></tr><tr><td>Financial Institution Where Activity Occurred</td><td>1-1</td></tr><tr><td>Subject*</td><td>0-99</td></tr></table> <i>*In the event that all critical subject information is unavailable, do not record the <Address> element for the Subject (33).</i>							Transmitter	1-1	Filing Institution	1-1	Financial Institution Where Activity Occurred	1-1	Subject*	0-99
Transmitter	1-1														
Filing Institution	1-1														
Financial Institution Where Activity Occurred	1-1														
Subject*	0-99														
Value Restriction(s):	n/a														
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value.														

Element Name:	Address	minOccurs:	0	maxOccurs:	99
	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded for the subject address and <AllCriticalSubjectInformationUnavailableIndicator> does not contain a "Y" value. - The element is recorded for the subject address and <AllCriticalSubjectInformationUnavailableIndicator> contains a "Y" value.				
Example:	<pre><fc2:Address SeqNum="48"> <fc2:CityUnknownIndicator>Y</fc2:CityUnknownIndicator> <fc2:RawCountryCodeText>US</fc2:RawCountryCodeText> <fc2:RawStateCodeText>VA</fc2:RawStateCodeText> <fc2:RawStreetAddress1Text>987 Rocky Road</fc2:RawStreetAddress1Text> <fc2:RawZIPCode>87598</fc2:RawZIPCode> </fc2:Address></pre>				

Element Name:	CityUnknownIndicator	minOccurs:	0	maxOccurs:	1
Description:	City unknown (indicator). This element declares that the city associated with the address of the party is unknown. This element corresponds with the following item(s): 12a. City (unknown): Subject 62a. City (unknown): Financial Institution Where Activity Occurred <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Conditionally Required. Record this element when the city is unknown* for the following party types: - Financial institution where activity occurred (34) - Subject (33) *If the city is known, record the <RawCityText> element with city name and do not record the <CityUnknownIndicator> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate city unknown)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:CityUnknownIndicator>Y</fc2:CityUnknownIndicator>				

Element Name:	CountryCodeUnknownIndicator	minOccurs:	0	maxOccurs:	1
Description:	Country unknown (indicator). This element declares that country associated with the address of the party is unknown. This element corresponds with the following item(s): 15a. Country Code (unknown): Subject 65a. Country Code (unknown): Financial Institution Where Activity Occurred <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Conditionally Required. Record this element when the country is unknown* for the following party types: - Financial institution where activity occurred (34) - Subject (33) *If the country is known, record the <RawCountryCodeText> element with the ISO 3166-2 country code and do not record the <CountryCodeUnknownIndicator> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate country unknown)				

Element Name:	CountryCodeUnknownIndicator	minOccurs:	0	maxOccurs:	1
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:CountryCodeUnknownIndicator>Y</fc2:CountryCodeUnknownIndicator>				

Element Name:	RawCityText	minOccurs:	0	maxOccurs:	1
Description:	City (text). This element identifies the city associated with the address of the party. This element corresponds with the following item(s): - Transmitter: City - Subject: 12. City - Financial Institution Where Activity Occurred: 62. City - Filing Institution: 83. City <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Required. This element must be recorded for the following party types: - Transmitter (35) - Filing institution (30) Conditionally Required. Record this element when the city is known* for the following party types: - Subject (33) - Financial institution where activity occurred (34) *If the city is unknown, record the <CityUnknownIndicator> element with the value "Y" and do not record the <RawCityText> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 50 characters or less.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value for the subject or the financial institution where activity occurred and unknown is not indicated. - The element is not recorded or does not contain a value for the transmitter or filing institution.				
Example:	<fc2:RawCityText>Tysons Corner</fc2:RawCityText>				

Element Name:	RawCountryCodeText	minOccurs:	0	maxOccurs:	1
Description:	Country (code). This element identifies the country associated with the party. This element corresponds with the following item(s): - Transmitter: Country Code - Subject: 15. Country Code - Financial Institution Where Activity Occurred: 65. Country Code - Filing Institution: 86. Country Code <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Required. This element must be recorded for the following party types: - Transmitter (35) - Filing institution (30)				

Element Name:	RawCountryCodeText	minOccurs:	0	maxOccurs:	1
	Conditionally Required. Record this element when the country is known* for the following party types: • Subject (33) • Financial institution where activity occurred (34) *If the country is unknown, record the <CountryCodeUnknownIndicator> element with the value "Y" and do not record the <RawCountryCodeText> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: Country codes (including U.S. Territory codes) must adhere to the two-letter country codes found in ISO 3166-2.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). • The value recorded is not a valid country code. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: • The element is not recorded or does not contain a value for the transmitter or filing institution. • The element is not recorded or does not contains a value for the subject or the financial institution where activity occurred and unknown is not indicated. • State code and country code mismatch when U.S. Territory is recorded.				
Example:	<fc2:RawCountryCodeText>US</fc2:RawCountryCodeText>				

Element Name:	RawStateCodeText	minOccurs:	0	maxOccurs:	1
Description:	State/Territory/Province (code). This element identifies the state/territory/province associated with the address of the party when the corresponding country is equal to US (United States), CA (Canada), MX (Mexico), or a U.S. Territory. This element corresponds with the following item(s): • Transmitter: State • Subject: 13. State • Financial Institution Where Activity Occurred: 63. State • Filing Institution: 84. State <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Conditionally Required. Record this element for the following party types when the corresponding country is US (United States), CA (Canada), MX (Mexico), or a U.S. Territory*; otherwise, do not record this element: • Transmitter (35) • Filing institution (30) • Subject (33) and the state is known** • Financial institution where activity occurred (34) *If the country is a U.S. Territory, record the same U.S. Territory code for the state. **If the subject's state is unknown, record the <StateCodeUnknownIndicator> element with the value "Y" and do not record the <RawStateCodeText> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: United States state/territory codes must adhere to the two-letter codes used by the United States Postal Service when the country is equal to US or a U.S. Territory. If a U.S. Territory is recorded for the country, it must also be recorded for the state. Canadian province/territory codes must adhere to the two-letter codes used by the Canadian Post Corporation when the country is equal to CA. Mexican state/federal district codes must adhere to the standards of ISO 3166-2:MX when the country is equal to MX.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). • The value recorded is not a valid state code. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: • The element is not recorded or does not contain a value for the transmitter or filing institution when the country is US, CA, MX, or a U.S. Territory.				

Element Name:	RawStateCodeText	minOccurs:	0	maxOccurs:	1
	- The element is not recorded or does not contains a value for the subject or the financial institution where activity occurred when the country is US, CA, or MX, and unknown is not indicated. - The element contains a value and the country is not US, CA, MX, or a U.S. Territory. - State code and country code mismatch when U.S. Territory is recorded.				
Example:	<fc2:RawStateCodeText>VA</fc2:RawStateCodeText>				

Element Name:	RawStreetAddress1Text	minOccurs:	0	maxOccurs:	1
Description:	Street address (text). This element identifies the street address of the party. This element corresponds with the following item(s): - Transmitter: Street Address - Subject: 11. Street Address - Financial Institution Where Activity Occurred: 61. Street Address - Filing Institution: 82. Street Address <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Required. This element must be recorded for the following party types: - Transmitter (35) - Filing institution (30) Conditionally Required. Record this element when the street address is known* for the following party types: - Subject (33) - Financial institution where activity occurred (34) *If the street address is unknown, record the <StreetAddressUnknownIndicator> element with the value "Y" and do not record the <RawStreetAddress1Text> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 100 characters or less				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value for the subject or the financial institution where activity occurred and unknown is not indicated. - The element is not recorded or does not contain a value for the transmitter or filing institution.				
Example:	<fc2:RawStreetAddress1Text>987 Rocky Road</fc2:RawStreetAddress1Text>				

Element Name:	RawZIPCode	minOccurs:	0	maxOccurs:	1
Description:	ZIP/Postal Code (text). This element identifies the ZIP Code or foreign postal code associated with the address of the party. This element corresponds with the following item(s): - Transmitter: ZIP/Postal Code - Subject: 14. ZIP/Postal Code - Financial Institution Where Activity Occurred: 64. ZIP/Postal Code - Filing Institution: 85. ZIP/Postal Code <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Required. This element must be recorded for the following party types:				

Element Name:	RawZIPCode	minOccurs:	0	maxOccurs:	1
	- Transmitter (35) - Filing institution (30) Conditionally Required. Record this element when the ZIP/Postal Code is known* for the following party types: - Subject (33) - Financial institution where activity occurred (34) *If the ZIP/Postal Code is unknown, record the <ZIPCodeUnknownIndicator> element with the value "Y" and do not record the <RawZIPCode> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: For a U.S. address (including U.S. Territories): 5 or 9 numeric character entry; 9 numeric character entry cannot end with four zeros or four nines. For a non-U.S. address: 9 (or less) character entry. Do not include punctuation or formatting such as hyphens, periods, and spaces within the value entry				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded contains punctuation or formatting. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value for the subject or the financial institution where activity occurred and unknown is not indicated. - The element is not recorded or does not contain a value for the transmitter or filing institution. - The value recorded is not equal to 5 or 9 numeric characters, is a 9-digit value ending in four zeros or four nines, and the corresponding country is equal to US or a U.S. Territory code.				
Example:	<fc2:RawZIPCode>87598</fc2:RawZIPCode>				

Element Name:	StateCodeUnknownIndicator	minOccurs:	0	maxOccurs:	1
Description:	State unknown (indicator). This element declares that state associated with the address of the party is unknown when the corresponding country is equal to US (United States), CA (Canada), or MX (Mexico). This element corresponds with the following item(s): 13a. State (unknown) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Conditionally Required. Record this element for the Subject (33) party type when the state is unknown* and the corresponding country is US (United States), CA (Canada), or MX (Mexico); otherwise, do not record this element. *If the subject's state is known, record the <RawStateCodeText> element with ISO 3166-2 state code and do not record the <StateCodeUnknownIndicator> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate state unknown)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:StateCodeUnknownIndicator>Y</fc2:StateCodeUnknownIndicator>				

Element Name:	StreetAddressUnknownIndicator	minOccurs:	0	maxOccurs:	1
Description:	Street address unknown (indicator). This element declares that the street address of the party is unknown. This element corresponds with the following item(s): Subject: 11a. Address (unknown)				

Element Name:	StreetAddressUnknownIndicator	minOccurs:	0	maxOccurs:	1
	Financial Institution Where Activity Occurred: 61a. Address (unknown) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Conditionally Required. Record this element when the street address is unknown* for the following party types: - Subject (33) - Financial institution where activity occurred (34) *If the street address is known, record the <RawStreetAddress1Text> element with street address and do not record the <StreetAddressUnknownIndicator> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate street address unknown)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:StreetAddressUnknownIndicator>Y</fc2:StreetAddressUnknownIndicator>				

Element Name:	ZIPCodeUnknownIndicator	minOccurs:	0	maxOccurs:	1
Description:	ZIP/Postal Code unknown (indicator). This element declares that the ZIP Code or foreign postal code associated with the address of the party is unknown. This element corresponds with the following item(s): - Subject: 14a. ZIP/Postal Code (unknown) - Financial Institution Where Activity Occurred: 64a. ZIP/Postal Code (unknown) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Conditionally Required. Record this element when the ZIP/Postal Code is unknown* for the following party types: - Subject (33) - Financial institution where activity occurred (34) *If the ZIP/Postal Code is known, record the <RawZIPCode> element with the code and do not record the <ZIPCodeUnknownIndicator> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate ZIP/Postal code unknown)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:ZIPCodeUnknownIndicator>Y</fc2:ZIPCodeUnknownIndicator>				

4.6.3. PhoneNumber Elements

Element Name:	PhoneNumber	minOccurs:	0	maxOccurs:	99
Description:	Telephone number (header). This is the container for information about the telephone number of the party.				

Element Name:	PhoneNumber	minOccurs:	0	maxOccurs:	99																																																
	The following sub-element is associated with this element: Activity party type code definitions 35 = Transmitter 8 = Contact Office 19 = LE Contact Name 33 = Subject 1. Transmitter Information: Telephone (Required) <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>PhoneNumberText</td><td>1</td><td>1</td><td>Simple</td></tr></table> 2. Contact Office: Telephone (Required FinCEN SAR Part IV, Item 94) <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>PhoneNumberExtensionText (Item 94a)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>PhoneNumberText (Item 94)</td><td>1</td><td>1</td><td>Simple</td></tr></table> 3. LE Contact Name: Telephone (If applicable FinCEN SAR Part IV, Item 91) <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>PhoneNumberExtensionText (Item 91a)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>PhoneNumberText (Item 91)</td><td>0</td><td>1</td><td>Simple</td></tr></table> 4. Subject: Telephone (If available FinCEN SAR Part I, Item 21) <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>PhoneNumberExtensionText (Item 21a)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>PhoneNumberText (Item 21)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>PhoneNumberTypeCode (Item 20)</td><td>0</td><td>1</td><td>Simple</td></tr></table>									PhoneNumberText	1	1	Simple					PhoneNumberExtensionText (Item 94a)	0	1	Simple	PhoneNumberText (Item 94)	1	1	Simple					PhoneNumberExtensionText (Item 91a)	0	1	Simple	PhoneNumberText (Item 91)	0	1	Simple					PhoneNumberExtensionText (Item 21a)	0	1	Simple	PhoneNumberText (Item 21)	0	1	Simple	PhoneNumberTypeCode (Item 20)	0	1	Simple
PhoneNumberText	1	1	Simple																																																		
PhoneNumberExtensionText (Item 94a)	0	1	Simple																																																		
PhoneNumberText (Item 94)	1	1	Simple																																																		
PhoneNumberExtensionText (Item 91a)	0	1	Simple																																																		
PhoneNumberText (Item 91)	0	1	Simple																																																		
PhoneNumberExtensionText (Item 21a)	0	1	Simple																																																		
PhoneNumberText (Item 21)	0	1	Simple																																																		
PhoneNumberTypeCode (Item 20)	0	1	Simple																																																		
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td></td><td></td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>							SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																																												
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																																																				
Parent Element:	Party																																																				
Element Restriction(s):	Required. This element must be recorded for the following party types (activity level): <table><tr><td></td><td></td></tr><tr><td>Transmitter</td><td>1-1</td></tr><tr><td>Contact Office</td><td>1-1</td></tr><tr><td>LE Contact Name</td><td>0-1</td></tr><tr><td>Subject</td><td>0-99</td></tr></table>							Transmitter	1-1	Contact Office	1-1	LE Contact Name	0-1	Subject	0-99																																						
Transmitter	1-1																																																				
Contact Office	1-1																																																				
LE Contact Name	0-1																																																				
Subject	0-99																																																				
Value Restriction(s):	n/a																																																				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The element is missing a "SeqNum" attribute.																																																				

Element Name:	PhoneNumber	minOccurs:	0	maxOccurs:	99
	The element contains a "SeqNum" attribute with a duplicate or invalid value.				
Example:	<pre><fc2:PhoneNumber SeqNum="67"> <fc2:PhoneNumberExtensionText>5584</fc2:PhoneNumberExtensionText> <fc2:PhoneNumberText>6194760276</fc2:PhoneNumberText> <fc2:PhoneNumberTypeCode>R</fc2:PhoneNumberTypeCode> </fc2:PhoneNumber></pre>				

Element Name:	PhoneNumberExtensionText	minOccurs:	0	maxOccurs:	1
Description:	Telephone extension (text). This element identifies the telephone extension associated with the telephone number of the party (if known). This element corresponds with the following item(s): - Subject: 21a. Phone number extension (if any) - LE Contact Name: 91a. LE contact phone number extension (if any) - Contact Office: 94a. Designated contact office phone number extension (if any) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PhoneNumber				
Element Restriction(s):	Record this element when the telephone number extension is known for the following party types; otherwise, do not record this element: - Subject (33) - LE Contact Name (19) - Contact Office (8)				
Value Restriction(s):	The value provided must adhere to the following requirements: 6 numeric characters or less				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information).				
Example:	<fc2:PhoneNumberExtensionText>5584</fc2:PhoneNumberExtensionText>				

Element Name:	PhoneNumberText	minOccurs:	0	maxOccurs:	1
Description:	Telephone number (text). This element identifies the telephone number of the party. This element corresponds with the following item(s): - Transmitter: Phone number - Subject: 21. Phone number - LE Contact Name: 91. LE contact phone number - Contact Office: 94. Designated contact office phone number <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PhoneNumber				
Element Restriction(s):	Record this element for the following party types and circumstances; otherwise, do not record this element: - Transmitter (35) Contact Office (8) - Subject (33) and the telephone number is known - LE Contact Name (19) and the telephone number is known				
Value Restriction(s):	The value provided must adhere to the following requirements by party type: - Transmitter (35) 10 numeric characters; not all same digit (such as all 0's or all 9's). NOTE: This number must be the same for all FinCEN SARs in the batch file. - Contact Office (8) / Subject (3) / LE Contact Name (19) 16 numeric characters or less; not all same digit (such as all 0's or all 9's)				

Element Name:	PhoneNumberText	minOccurs:	0	maxOccurs:	1
	Do not include punctuation or formatting such as hyphens, periods, and spaces within the value entry regardless of party type.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value for the designated contact office.				
Example:	<fc2:PhoneNumberText>6194760276</fc2:PhoneNumberText>				

Element Name:	PhoneNumberTypeCode	minOccurs:	0	maxOccurs:	1										
Description:	Telephone number type (code). This element identifies the telephone number type associated with the subject. This element corresponds with the following item(s): 20. Phone number – type a. Home b. Work c. Mobile d. Fax <i>Please refer to Attachment C for additional information regarding the above item(s).</i>														
Attribute(s)	n/a														
Parent Element:	PhoneNumber														
Element Restriction(s):	Record this element for the Subject (33) party type when a phone number is recorded with the <PhoneNumberText> element; otherwise, do not record this element.														
Value Restriction(s):	The value provided must adhere to the following requirements: Identify the phone number type by recording the appropriate code from the list below: <table><tr><th>Code</th><th>Description</th></tr><tr><td>R</td><td>Residence (Home)</td></tr><tr><td>W</td><td>Work</td></tr><tr><td>M</td><td>Mobile</td></tr><tr><td>F</td><td>Fax</td></tr></table>					Code	Description	R	Residence (Home)	W	Work	M	Mobile	F	Fax
Code	Description														
R	Residence (Home)														
W	Work														
M	Mobile														
F	Fax														
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is an invalid code.														
Example:	<fc2:PhoneNumberTypeCode>R</fc2:PhoneNumberTypeCode>														

4.6.4. PartyIdentification Elements

Element Name:	PartyIdentification	minOccurs:	0	maxOccurs:	100
Description:	Party identification (header). This is the container for information about the identification associated with the party. The following sub-element is associated with this element: Activity party type code definitions 35 = Transmitter 30 = Filing Institution 34 = Financial Institution Where Activity Occurred 33 = Subject				

Element Name:	PartyIdentification	minOccurs:	0	maxOccurs:	100
	1. Transmitter Information				
	a. Transmitter Control Code (TCC) (Required)				
	PartyIdentificationNumberText	1	1	Simple	
	PartyIdentificationTypeCode (Code 28)	1	1	Simple	
	b. Taxpayer Identification Number (TIN) (Required)				
	PartyIdentificationNumberText	1	1	Simple	
	PartyIdentificationTypeCode (Code 4)	1	1	Simple	
	2. Filing Institution				
	a. TIN (EIN, SSN/ITIN, Foreign) (Required FinCEN SAR Part IV, Item 77-78)				
	PartyIdentificationNumberText (Item 77)	1	1	Simple	
	PartyIdentificationTypeCode (Item 78)	1	1	Simple	
	b. Filing institution identification (CRD, IARD, etc.) (if applicable FinCEN SAR Part IV, Item 81)				
	PartyIdentificationNumberText (Item 81)	1	1	Simple	
	PartyIdentificationTypeCode (Item 81)	1	1	Simple	
	c. Internal control/file number (if available FinCEN SAR Part IV, Item 88)				
	PartyIdentificationNumberText (Item 88)	1	1	Simple	
	PartyIdentificationTypeCode (Code 29)	1	1	Simple	
	3. Financial Institution Where Activity Occurred				
	a. TIN (EIN, SSN/ITIN, Foreign) (Required FinCEN SAR Part III, Item 59-60)				
	PartyIdentificationNumberText (Item 59)	0	1	Simple	
	PartyIdentificationTypeCode (Item 60)	1	1	Simple	
	TINUnknownIndicator (Item 59a)	0	1	Simple	
	<i>*If unknown is indicated, the corresponding element whose value is unknown should not be recorded; otherwise, the unknown indicator element should not be recorded.</i>				
	b. Financial institution identification (CRD, IARD, etc.) (if applicable FinCEN SAR Part III, Item 55)				
	PartyIdentificationNumberText (Item 55)	1	1	Simple	
	PartyIdentificationTypeCode (Item 55)	1	1	Simple	
	c. Internal control/file number (if available FinCEN SAR Part III, Item 66)				

Element Name:	PartyIdentification	minOccurs:	0	maxOccurs:	100
	Name		minOccurs	maxOccurs	Content
	PartyIdentificationNumberText (Item 66)		1	1	Simple
	PartyIdentificationTypeCode (Code 29)		1	1	Simple
	4. Subject				
	a. TIN/Unknown* (EIN, SSN/ITIN, Foreign) (Conditionally Required FinCEN SAR Part I, Item 16-17)				
	PartyIdentificationNumberText (Item 16)		0	1	Simple
	PartyIdentificationTypeCode (Item 17)		1	1	Simple
	TINUnknownIndicator (Item 16a)		0	1	Simple
	*If unknown is indicated, the corresponding element whose value is unknown should not be recorded; otherwise, the unknown indicator element should not be recorded.				
	b. Form of identification/Unknown* (Driver's license, Passport, etc.) (Conditionally Required FinCEN SAR Part I, Item 18)				
	IdentificationPresentUnknownIndicator (Item 18a)		0	1	Simple
	OtherIssuerCountryText (Item 18g)		0	1	Simple
	OtherIssuerStateText (Item 18f)		0	1	Simple
	OtherPartyIdentificationTypeText (Item 18z)		0	1	Simple
	PartyIdentificationNumberText (Item 18e)		0	1	Simple
	PartyIdentificationTypeCode (Item 18b-d,z)		0	1	Simple
*If unknown is indicated for the subject form of identification, the above subsequent elements should not be recorded; Unless all information related to the subject form of identification is unknown, the unknown indicator element should not be recorded.					
Attribute(s)	The following attributes must be recorded for this element:				
	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.			
Parent Element:	Party				
Element Restriction(s):	Required. This element must be recorded for the following party types (activity level):				
	Transmitter	1-1	1-1	n/a	n/a
	Filing Institution	n/a	1-1	0-1	0-1
	Financial Institution Where Activity Occurred	n/a	1-1	0-1	0-1
	Subject*	n/a	0-1	0-99	n/a
	*In the event that all critical subject information is unavailable, do not record the <PartyIdentification> element for the Subject (33).				
Value Restriction(s):	n/a				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information).				

Element Name:	PartyIdentification	minOccurs:	0	maxOccurs:	100
	- The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value for the Subject TIN and <AllCriticalSubjectInformationUnavailableIndicator> does not contain a "Y" value. - The element is not recorded or does not contain a value for the Subject Form of Identification and <AllCriticalSubjectInformationUnavailableIndicator> does not contain a "Y" value. - More than one identification (other than the Form of ID for the Subject) of the same type is recorded for a party within a single FinCEN SAR Activity.				
Example:	<pre><fc2:PartyIdentification SeqNum="69"> <fc2:OtherIssuerCountryText>US</fc2:OtherIssuerCountryText> <fc2:OtherIssuerStateText>CA</fc2:OtherIssuerStateText> <fc2:OtherPartyIdentificationTypeText>Student ID</fc2:OtherPartyIdentificationTypeText> <fc2:PartyIdentificationNumberText>660623559</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>999</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification></pre>				

Element Name:	IdentificationPresentUnknownIndicator	minOccurs:	0	maxOccurs:	1
Description:	Identification unknown (indicator). This element declares that the form of identification used to verify the identity of the subject is unknown. This element corresponds with the following item(s): 18a. Form of identification for subject (unknown) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyIdentification				
Element Restriction(s):	Record this element when all information related to the Subject (33) form of identification is unknown; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Identification unknown)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:IdentificationPresentUnknownIndicator>Y</fc2:IdentificationPresentUnknownIndicator>				

Element Name:	OtherIssuerCountryText	minOccurs:	0	maxOccurs:	1
Description:	Identification issuing country (code). This element identifies the country where the identification was issued by (or in) associated with the subject. This element corresponds with the following item(s): 18g. Form of identification for subject – Issuing Country <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyIdentification				
Element Restriction(s):	Record this element for the Subject (33) party type when the following conditions are true; otherwise, do not record this element: - The identification type is Passport or Alien registration - The identification type is Driver's license/state ID or Other, and the country the identification was issued in is known				
Value Restriction(s):	The value provided must adhere to the following requirements: Country codes (including U.S. Territory codes) must adhere to the two-letter country codes found in ISO 3166-2.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true:				

Element Name:	OtherIssuerCountryText	minOccurs:	0	maxOccurs:	1
	- The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value for the Subject when the form of identification is Passport or Alien registration. - The element contains a value and identification unknown is indicated. - The element contains a value that is not a valid country code - State code and country code mismatch when U.S. Territory is recorded				
Example:	<fc2:OtherIssuerCountryText>US</fc2:OtherIssuerCountryText>				

Element Name:	OtherIssuerStateText	minOccurs:	0	maxOccurs:	1
Description:	Identification issuing state (code). This element identifies the state where the identification was issued by (or in) associated with the subject. This element corresponds with the following item(s): 18f. Form of identification for subject – Issuing State <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyIdentification				
Element Restriction(s):	Record this element for the Subject (33) party type when the following conditions are true; otherwise, do not record this element: - The identification type is Driver's license/state ID and the corresponding country is US, CA, MX, or a U.S. Territory - The identification type is Other and the identification was issued by or in a known state/province/territory of the U.S., a U.S. Territory, Canada, or Mexico. - The identification type is Other and the identification was not issues by a national government.				
Value Restriction(s):	The value provided must adhere to the following requirements: United States state/territory codes must adhere to the two-letter codes used by the United States Postal Service when the country is equal to US or a U.S. Territory. If a U.S. Territory is recorded for the country, it must also be recorded for the state. Canadian province/territory codes must adhere to the two-letter codes used by the Canadian Post Corporation when the country is equal to CA. Mexican state/federal district codes must adhere to the standards of ISO 3166-2:MX when the country is equal to MX.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value for the Subject when the form of identification is Driver's license/State ID. - The element contains a value and identification unknown is indicated. - The element contains a value that is not a valid state code. - State code and country code mismatch when U.S. Territory is recorded.				
Example:	<fc2:OtherIssuerStateText>CA</fc2:OtherIssuerStateText>				

Element Name:	OtherPartyIdentificationTypeText	minOccurs:	0	maxOccurs:	1
Description:	Identification type other description (text). This element identifies the other identification type associated with the party. This element corresponds with the following item(s): 18z. Form of identification for subject – Other (description) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyIdentification				

Element Name:	OtherPartyIdentificationTypeText	minOccurs:	0	maxOccurs:	1
Element Restriction(s):	Record this element for the Subject (33) party type and "Other" is declared for the form of identification type; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 50 characters or less				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value for the Subject when the form of identification is Other. - The element contains a value and identification unknown is indicated.				
Example:	<fc2:OtherPartyIdentificationTypeText>Student ID</fc2:OtherPartyIdentificationTypeText>				

Element Name:	PartyIdentificationNumberText	minOccurs:	0	maxOccurs:	1
Description:	Identification number (text). This element identifies the form of identification number associated with the party. This element corresponds with the following item(s): - Transmitter - Transmitter Control Code (TCC) number - Taxpayer Identification Number (TIN) number - Filing Institution 77. TIN (EIN, SSN/ITIN, Foreign) number 81. Filing institution identification (CRD, IARD, etc.) number (if known) 88. Internal control/file number (if known) - Financial Institution Where Activity Occurred 59. TIN (EIN, SSN/ITIN, Foreign) number (if known) 55. Financial institution identification (CRD, IARD, etc.) number (if known) 66. Internal control/file number (if known) - Subject 16. TIN (EIN, SSN/ITIN, Foreign) number (if known) 18. Form of identification (Driver's license/State ID, Passport, etc.) number (if known) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyIdentification				
Element Restriction(s):	Conditionally Required. Record this element for the above party types and conditions, otherwise, do not record this element. If unknown is indicated for the Financial Institution TIN or the Subject TIN, record the corresponding unknown element with a "Y" value and do not record this element. For Form of Identification do not record this element when unknown is indicated but only record the corresponding unknown element with a "Y" when all Form of Identification data are unknown.				
Value Restriction(s):	The value provided must adhere to the following requirements by party type: - Transmitter (35) - TCC = 8 characters equal to "TBSATEST" (when submitting in the BSA E-Filing User Test System) or "PBSA8180" (when submitting in the BSA E-Filing Production System) - TIN = 25 characters or less - Filing institution (30) and Financial institution where activity occurred (34) - EIN/SSN/ITIN = 9 numeric characters - Foreign TIN = 25 characters or less - Identification number (CRD, IARD, etc.) = 10 characters or less - Internal Control Number = 20 characters or less - Subject (33) - EIN/SSN/ITIN = 9 numeric characters				

Element Name:	PartyIdentificationNumberText	minOccurs:	0	maxOccurs:	1
	- Foreign TIN = 25 characters or less - Identification (Driver's license, Passport, etc.) = 24 characters or less All identification numbers must be entered as a single alpha/numeric text string without formatting or special characters such as, for example, spaces, hyphens, or periods; however, asterisks within the identification number are accepted for the subject's form of identification. Cannot be consecutive string of the same number or an incremental string such as 123456789.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The element is not recorded or does not contain a value for the filing institution TIN. - The element is not recorded or does not contain a value for the financial institution where activity occurred TIN and unknown is not indicated. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The value recorded for the EIN or SSN/ITIN is an invalid number string. - The element contains a value for the subject form of identification and unknown is indicated.				
Example:	<fc2:PartyIdentificationNumberText>660623559</fc2:PartyIdentificationNumberText>				

Element Name:	PartyIdentificationTypeCode	minOccurs:	0	maxOccurs:	1																																		
Description:	Identification type (code). This element identifies the type of identification associated with the party. This element corresponds with the following item(s): - Transmitter - Transmitter Control Code (TCC) type - Taxpayer Identification Number (TIN) type - Filing Institution 78. TIN (EIN, SSN/ITIN, Foreign) type 81. Filing institution identification (CRD, IARD, etc.) type 88. Internal control/file number type - Financial Institution Where Activity Occurred 60. TIN (EIN, SSN/ITIN, Foreign) type 55. Financial institution identification (CRD, IARD, etc.) type 66. Internal control/file number type - Subject 17. TIN (EIN, SSN/ITIN, Foreign) type 18. Form of identification (Driver's license/State ID, Passport, etc.) type <i>Please refer to Attachment C for additional information regarding the above item(s).</i>																																						
Attribute(s)	n/a																																						
Parent Element:	PartyIdentification																																						
Element Restriction(s):	Required. This element must be recorded for the above party types/conditions; otherwise, do not record this element.																																						
Value Restriction(s):	The value provided must adhere to the following requirements: Identify the identification type by recording the appropriate code from the list below (by party type at the activity level): <table> <tr> <th rowspan="2">Code</th><th rowspan="2">Description</th><th colspan="4">Party Type (Code)</th></tr> <tr> <th>35</th><th>30</th><th>34</th><th>33</th></tr> <tr> <td>4</td><td>Taxpayer Identification Number (TIN)</td><td>•</td><td></td><td></td><td></td></tr> <tr> <td>28</td><td>Transmitter Control Code (TCC)</td><td>•</td><td></td><td></td><td></td></tr> <tr> <td>2</td><td>Employer Identification Number (EIN)</td><td></td><td>•</td><td>•</td><td>•</td></tr> <tr> <td>1</td><td>Social Security Number (SSN)/Individual Taxpayer Identification Number (ITIN)</td><td></td><td>•</td><td>•</td><td>•</td></tr> </table>					Code	Description	Party Type (Code)				35	30	34	33	4	Taxpayer Identification Number (TIN)	•				28	Transmitter Control Code (TCC)	•				2	Employer Identification Number (EIN)		•	•	•	1	Social Security Number (SSN)/Individual Taxpayer Identification Number (ITIN)		•	•	•
Code	Description	Party Type (Code)																																					
		35	30	34	33																																		
4	Taxpayer Identification Number (TIN)	•																																					
28	Transmitter Control Code (TCC)	•																																					
2	Employer Identification Number (EIN)		•	•	•																																		
1	Social Security Number (SSN)/Individual Taxpayer Identification Number (ITIN)		•	•	•																																		

Element Name:	PartyIdentificationTypeCode	minOccurs:	0	maxOccurs:	1																																																																														
	<table> <tr><td>9</td><td>Foreign Taxpayer Identification Number (TIN)</td><td></td><td>•</td><td>•</td><td>•</td></tr> <tr><td>10</td><td>Central Registration Depository (CRD) number</td><td></td><td>•</td><td>•</td><td></td></tr> <tr><td>11</td><td>Investment Adviser Registration (IARD) number</td><td></td><td>•</td><td>•</td><td></td></tr> <tr><td>12</td><td>National Futures Association (NFA ID) number</td><td></td><td>•</td><td>•</td><td></td></tr> <tr><td>14</td><td>Research, Statistics, Supervision, and Discount (RSSD) number</td><td></td><td>•</td><td>•</td><td></td></tr> <tr><td>13</td><td>Securities and Exchange Commission (SEC) number</td><td></td><td>•</td><td>•</td><td></td></tr> <tr><td>32</td><td>National Association of Insurance Commissioners (NAIC) number</td><td></td><td>•</td><td>•</td><td></td></tr> <tr><td>33</td><td>National Mortgage Licensing System (NMLS) number</td><td></td><td>•</td><td>•</td><td></td></tr> <tr><td>29</td><td>Internal control/file number</td><td></td><td>•</td><td>•</td><td></td></tr> <tr><td>5</td><td>Driver's license/State ID</td><td></td><td></td><td></td><td>•</td></tr> <tr><td>6</td><td>Passport</td><td></td><td></td><td></td><td>•</td></tr> <tr><td>7</td><td>Alien registration</td><td></td><td></td><td></td><td>•</td></tr> <tr><td>999</td><td>Other Identification</td><td></td><td></td><td></td><td>•</td></tr> </table>	9	Foreign Taxpayer Identification Number (TIN)		•	•	•	10	Central Registration Depository (CRD) number		•	•		11	Investment Adviser Registration (IARD) number		•	•		12	National Futures Association (NFA ID) number		•	•		14	Research, Statistics, Supervision, and Discount (RSSD) number		•	•		13	Securities and Exchange Commission (SEC) number		•	•		32	National Association of Insurance Commissioners (NAIC) number		•	•		33	National Mortgage Licensing System (NMLS) number		•	•		29	Internal control/file number		•	•		5	Driver's license/State ID				•	6	Passport				•	7	Alien registration				•	999	Other Identification				•				
9	Foreign Taxpayer Identification Number (TIN)		•	•	•																																																																														
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32	National Association of Insurance Commissioners (NAIC) number		•	•																																																																															
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29	Internal control/file number		•	•																																																																															
5	Driver's license/State ID				•																																																																														
6	Passport				•																																																																														
7	Alien registration				•																																																																														
999	Other Identification				•																																																																														
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded and the <PartyIdentificationNumberText> contains a value. - The element contains a value not equal to one of the approved codes listed above. - The element is recorded but without a value (i.e. the value is null). - The element contains a value that is not valid for the associated party type.																																																																																		
Example:	<fc2:PartyIdentificationTypeCode>999</fc2:PartyIdentificationTypeCode>																																																																																		

Element Name:	TINUnknownIndicator	minOccurs:	0	maxOccurs:	1
Description:	TIN unknown (indicator). This element declares that the TIN associated with the party is unknown. This element corresponds with the following item(s): - Subject: 16a. TIN (unknown) - Financial Institution Where Activity Occurred: 59a. TIN (unknown) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyIdentification				
Element Restriction(s):	Conditionally Required. Record this element for the Financial institution where activity occurred (34) and Subject (33) part types when the TIN is unknown; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate TIN unknown)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<pre><fc2:PartyIdentification SeqNum="69"> <fc2:TINUnknownIndicator>Y</fc2:TINUnknownIndicator> </fc2:PartyIdentification></pre>				

4.6.5. OrganizationClassificationTypeSubtype Elements

Element Name:	OrganizationClassificationTypeSubtype	minOccurs:	0	maxOccurs:	15
Description:	Institution type/subtype (header). This is the container form information about the type and subtype of institution associated with the party.				

Element Name:	OrganizationClassificationTypeSubtype	minOccurs:	0	maxOccurs:	15																																								
	The following sub-element is associated with this element: Activity party type code definitions 30 = Filing Institution 34 = Financial Institution Where Activity Occurred 1. Filing Institution Information: Type of financial institution (Required FinCEN SAR Part IV, Items 79-80) <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>OrganizationSubtypeID (Item 80a-n, z)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>OrganizationTypeID (Item 79a-g, z)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>OtherOrganizationSubTypeText (Item 80z)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>OtherOrganizationTypeText (Item 79z)</td><td>0</td><td>1</td><td>Simple</td></tr></table> 2. Financial Institution Where Activity Occurred: Type of financial institution (Required FinCEN SAR Part III, Items 51, 53-54) <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>OrganizationSubtypeID (Items 53a-c, z / 54a-k, z)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>OrganizationTypeID (Item 51a-g, z)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>OtherOrganizationSubTypeText (Items 53z / 54z)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>OtherOrganizationTypeText (Item 51z)</td><td>0</td><td>1</td><td>Simple</td></tr></table>									OrganizationSubtypeID (Item 80a-n, z)	0	1	Simple	OrganizationTypeID (Item 79a-g, z)	1	1	Simple	OtherOrganizationSubTypeText (Item 80z)	0	1	Simple	OtherOrganizationTypeText (Item 79z)	0	1	Simple					OrganizationSubtypeID (Items 53a-c, z / 54a-k, z)	0	1	Simple	OrganizationTypeID (Item 51a-g, z)	1	1	Simple	OtherOrganizationSubTypeText (Items 53z / 54z)	0	1	Simple	OtherOrganizationTypeText (Item 51z)	0	1	Simple
OrganizationSubtypeID (Item 80a-n, z)	0	1	Simple																																										
OrganizationTypeID (Item 79a-g, z)	1	1	Simple																																										
OtherOrganizationSubTypeText (Item 80z)	0	1	Simple																																										
OtherOrganizationTypeText (Item 79z)	0	1	Simple																																										
OrganizationSubtypeID (Items 53a-c, z / 54a-k, z)	0	1	Simple																																										
OrganizationTypeID (Item 51a-g, z)	1	1	Simple																																										
OtherOrganizationSubTypeText (Items 53z / 54z)	0	1	Simple																																										
OtherOrganizationTypeText (Item 51z)	0	1	Simple																																										
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td></td><td></td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>							SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																																				
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																																												
Parent Element:	Party																																												
Element Restriction(s):	Required. This element must be recorded for the following party types (activity level): <table><tr><td></td><td></td></tr><tr><td>Filing Institution</td><td>1-15</td></tr><tr><td>Financial Institution Where Activity Occurred</td><td>1-12</td></tr></table> *If the Filing institution (30) and/or Financial institution where activity occurred (34) is a Securities and Futures institution (or individual) and the institution/individual can be classified as more than one type of Securities and Futures institution, the <OrganizationClassificationTypeSubtype> element may be recorded multiple times in order to identify all of the associated Securities and Futures subtypes (in which case each occurrence would identify the same type of institution with the applicable subtype); however, if the type of institution is not equal to Securities and Futures, then the <OrganizationClassificationTypeSubtype> should only be recorded once per these party types.							Filing Institution	1-15	Financial Institution Where Activity Occurred	1-12																																		
Filing Institution	1-15																																												
Financial Institution Where Activity Occurred	1-12																																												
Value Restriction(s):	n/a																																												
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The element is missing a "SeqNum" attribute. The element contains a "SeqNum" attribute with a duplicate or invalid value.																																												

Element Name:	OrganizationClassificationTypeSubtype	minOccurs:	0	maxOccurs:	15
	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: The element is not recorded for the Financial institution where activity occurred and/or the Filing institution.				
Example:	<pre><fc2:OrganizationClassificationTypeSubtype SeqNum="52"> <fc2:OrganizationSubtypeID>533</fc2:OrganizationSubtypeID> <fc2:OrganizationTypeID>5</fc2:OrganizationTypeID> </fc2:OrganizationClassificationTypeSubtype></pre>				

Element Name:	OrganizationSubtypeID	minOccurs:	0	maxOccurs:	1																																																																		
Description:	Institution subtype (code). This element identifies the specific type of gaming or securities/futures institution. This element corresponds with the following item(s): - Filing institution 80a-n, z. Type of Securities and Futures institution or individual - Financial institution where activity occurred 53a-c, z. Type of Gaming institution 54a-k, z. Type of Securities and Futures institution or individual <i>Please refer to Attachment C for additional information regarding the above item(s).</i>																																																																						
Attribute(s)	n/a																																																																						
Parent Element:	OrganizationClassificationTypeSubtype																																																																						
Element Restriction(s):	Conditionally Required. Record this element for the following party types and conditions; otherwise, do not record this element: - Filing institution (30) and the type of institution is Securities/Futures (5) - Financial institution where activity occurred (34) and the type of institution is either Casino/Card club (1) or Securities/Futures (5)																																																																						
Value Restriction(s):	The value provided must adhere to the following requirements: If the party type is associated with the Filing institution (30) or Filing institution where activity occurred (34) and the type of institution is Securities/Futures (5), then select from the list of codes to describe the institution subtype: <table><tr><th rowspan="2">Code</th><th rowspan="2">Description</th><th colspan="2">Party Type (Code)</th></tr><tr><th>30</th><th>34</th></tr><tr><td>535</td><td>Clearing broker-securities</td><td>●</td><td>●</td></tr><tr><td>534</td><td>CPO/CTA</td><td>●</td><td></td></tr><tr><td>541</td><td>Execution-only broker securities</td><td>●</td><td>●</td></tr><tr><td>508</td><td>Futures Commission Merchant</td><td>●</td><td>●</td></tr><tr><td>504</td><td>Holding Company</td><td>●</td><td>●</td></tr><tr><td>513</td><td>Introducing broker-commodity</td><td>●</td><td>●</td></tr><tr><td>540</td><td>Introducing broker-securities</td><td>●</td><td>●</td></tr><tr><td>514</td><td>Investment adviser</td><td>●</td><td>●</td></tr><tr><td>539</td><td>Investment company</td><td>●</td><td>●</td></tr><tr><td>533</td><td>Retail foreign exchange dealer</td><td>●</td><td>●</td></tr><tr><td>542</td><td>Self-clearing broker-securities</td><td>●</td><td>●</td></tr><tr><td>528</td><td>SRO futures</td><td>●</td><td></td></tr><tr><td>529</td><td>SRO securities</td><td>●</td><td></td></tr><tr><td>503</td><td>Subsidiary of financial/bank holding company</td><td>●</td><td>●</td></tr><tr><td>5999</td><td>Other</td><td>●</td><td>●</td></tr></table>					Code	Description	Party Type (Code)		30	34	535	Clearing broker-securities	●	●	534	CPO/CTA	●		541	Execution-only broker securities	●	●	508	Futures Commission Merchant	●	●	504	Holding Company	●	●	513	Introducing broker-commodity	●	●	540	Introducing broker-securities	●	●	514	Investment adviser	●	●	539	Investment company	●	●	533	Retail foreign exchange dealer	●	●	542	Self-clearing broker-securities	●	●	528	SRO futures	●		529	SRO securities	●		503	Subsidiary of financial/bank holding company	●	●	5999	Other	●	●
Code	Description	Party Type (Code)																																																																					
		30	34																																																																				
535	Clearing broker-securities	●	●																																																																				
534	CPO/CTA	●																																																																					
541	Execution-only broker securities	●	●																																																																				
508	Futures Commission Merchant	●	●																																																																				
504	Holding Company	●	●																																																																				
513	Introducing broker-commodity	●	●																																																																				
540	Introducing broker-securities	●	●																																																																				
514	Investment adviser	●	●																																																																				
539	Investment company	●	●																																																																				
533	Retail foreign exchange dealer	●	●																																																																				
542	Self-clearing broker-securities	●	●																																																																				
528	SRO futures	●																																																																					
529	SRO securities	●																																																																					
503	Subsidiary of financial/bank holding company	●	●																																																																				
5999	Other	●	●																																																																				

Element Name:	OrganizationSubtypeID	minOccurs:	0	maxOccurs:	1										
	If the party type is associated with the Financial institution where activity occurred (34) and the type of institution is Casino/Card club (1), then select from the list of codes to describe the institution subtype: <table><tr><th>Code</th><th>Description</th></tr><tr><td>101</td><td>State casino</td></tr><tr><td>102</td><td>Tribal casino</td></tr><tr><td>103</td><td>Card club</td></tr><tr><td>1999</td><td>Other</td></tr></table>					Code	Description	101	State casino	102	Tribal casino	103	Card club	1999	Other
Code	Description														
101	State casino														
102	Tribal casino														
103	Card club														
1999	Other														
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded but without a value (i.e. the value is null). - The element contains a value not equal to one of the approved codes listed above. - The element contains a value but the institution type is not equal to Casino/Card club or Securities and Futures. - The value recorded conflicts with the institution type recorded (e.g. State Casino recorded for Securities and Futures institution) - The element is not recorded for the filing institution and the institution type is equal to Securities and Futures. - The element is not recorded for the financial institution where activity occurred and the institution type is equal to Casino/Card club or Securities and Futures. - The element contains a value that has already been recorded for the Activity.														
Example:	<fc2:OrganizationSubtypeID>103</fc2:OrganizationSubtypeID>														

Element Name:	OrganizationTypeID	minOccurs:	1	maxOccurs:	1																		
Description:	Institution type (code). This element identifies the type of institution. This element corresponds with the following item(s): 79a-g, z. Type of financial institution: Filing institution 51a-g, z. Type of financial institution: Financial institution where activity occurred <i>Please refer to Attachment C for additional information regarding the above item(s).</i>																						
Attribute(s)	n/a																						
Parent Element:	OrganizationClassificationTypeSubtype																						
Element Restriction(s):	Required. This element must be recorded when the parent element is recorded.																						
Value Restriction(s):	The value provided must adhere to the following requirements: Identify the institution type by recording the appropriate code from the list below: <table><tr><th>Code</th><th>Description</th></tr><tr><td>1</td><td>Casino/Card club</td></tr><tr><td>2</td><td>Depository institution</td></tr><tr><td>3</td><td>Insurance company</td></tr><tr><td>4</td><td>MSB (Money Service Business)</td></tr><tr><td>5</td><td>Securities/Futures</td></tr><tr><td>11</td><td>Loan or Finance Company</td></tr><tr><td>12</td><td>Housing GSE (Government Sponsored Enterprise)</td></tr><tr><td>999</td><td>Other</td></tr></table>					Code	Description	1	Casino/Card club	2	Depository institution	3	Insurance company	4	MSB (Money Service Business)	5	Securities/Futures	11	Loan or Finance Company	12	Housing GSE (Government Sponsored Enterprise)	999	Other
Code	Description																						
1	Casino/Card club																						
2	Depository institution																						
3	Insurance company																						
4	MSB (Money Service Business)																						
5	Securities/Futures																						
11	Loan or Finance Company																						
12	Housing GSE (Government Sponsored Enterprise)																						
999	Other																						
Remarks:	The batch submission will be rejected if any of the following conditions are true:																						

Element Name:	OrganizationTypeID	minOccurs:	1	maxOccurs:	1
	- The element is recorded but without a value (i.e. the value is null). - The element contains a value not equal to one of the approved codes listed above.				
Example:	<fc2:OrganizationTypeID>1</fc2:OrganizationTypeID>				

Element Name:	OtherOrganizationSubTypeText	minOccurs:	0	maxOccurs:	1
Description:	Institution subtype other (description). This element identifies the other type of gaming or securities/futures institution. This element corresponds with the following item(s): - Filing institution 80z. Type of Securities and Futures institution or individual (other description) - Financial institution where activity occurred 53z. Type of Gaming institution (other description) 54z. Type of Securities and Futures institution or individual (other description) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	OrganizationClassificationTypeSubtype				
Element Restriction(s):	Conditionally Required. Record this element for the following party types and conditions; otherwise, do not record this element: - Filing institution (30), the type of institution is Securities/Futures (5), and the <OrganizationSubtypeID> element contains the value "5999" (Other) - Financial institution where activity occurred (34) and: - The type of institution is Casino/Card club (1) and the <OrganizationSubtypeID> element contains the value "1999" (Other) - The type of institution is Securities/Futures (5) and the <OrganizationSubtypeID> element contains the value "5999" (Other)				
Value Restriction(s):	The value provided must adhere to the following requirements: 50 characters or less.				
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value and the institution subtype is equal to Other. - The element is recorded with a value but the institution subtype is not equal to Other.				
Example:	<fc2:OtherOrganizationSubTypeText>other description</fc2:OtherOrganizationSubTypeText>				

Element Name:	OtherOrganizationTypeText	minOccurs:	0	maxOccurs:	1
Description:	Institution type other (description). This element identifies the description of the other gaming or securities/futures institution. This element corresponds with the following item(s): 79z. Type of financial institution: Filing institution (other description) 51z. Type of financial institution: Financial institution where activity occurred (other description) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	OrganizationClassificationTypeSubtype				
Element Restriction(s):	Conditionally Required. Record this element for the following party types and conditions; otherwise, do not record this element: - Filing institution (30) and the <OrganizationTypeID> element contains the value "999" (Other) - Financial institution where activity occurred (34) and the <OrganizationTypeID> element contains the value "999" (Other)				
Value Restriction(s):	The value provided must adhere to the following requirements: 50 characters or less.				
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true:				

Element Name:	OtherOrganizationTypeText	minOccurs:	0	maxOccurs:	1
	- The element is not recorded or does not contain a value and the institution type is equal to Other. - The element is recorded with a value but the institution type is not equal to Other.				
Example:	<fc2:OtherOrganizationTypeText>other description</fc2:OtherOrganizationTypeText>				

4.6.6. PartyOccupationBusiness Elements

Element Name:	PartyOccupationBusiness	minOccurs:	0	maxOccurs:	1												
Description:	Occupation or type of business (header). This is the container for information about the occupation or type of business of the subject. The following sub-element is associated with this element: Activity party type code definitions 33 = Subject 1. Subject: Occupation or type of business (if available FinCEN SAR Part I, Item 10/10a) <table><tr><td>Name</td><td>minOccurs</td><td>maxOccurs</td><td>Content</td></tr><tr><td>NAICSCode (Item 10a)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>OccupationBusinessText (Item 10)</td><td>0</td><td>1</td><td>Simple</td></tr></table> <i>*If the <PartyOccupationBusiness> element is recorded for the Subject (33), then at least one of the above elements should be recorded with a valid value.</i>					Name	minOccurs	maxOccurs	Content	NAICSCode (Item 10a)	0	1	Simple	OccupationBusinessText (Item 10)	0	1	Simple
Name	minOccurs	maxOccurs	Content														
NAICSCode (Item 10a)	0	1	Simple														
OccupationBusinessText (Item 10)	0	1	Simple														
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td>Name</td><td>Description</td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>					Name	Description	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.								
Name	Description																
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																
Parent Element:	Party																
Element Restriction(s):	Record this element when the occupation/type of business and/or NAICS Code is known for the Subject (33) party type; otherwise, do not record this element.																
Value Restriction(s):	n/a																
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value.																
Example:	<fc2:PartyOccupationBusiness SeqNum="72"> <fc2:NAICSCode>7548</fc2:NAICSCode> <fc2:OccupationBusinessText>Mechanic</fc2:OccupationBusinessText> </fc2:PartyOccupationBusiness>																

Element Name:	NAICSCode	minOccurs:	0	maxOccurs:	1
Description:	NAICS Code (text). This element identifies the North American Industry Classification System (NAICS) code for the occupation or type of business of the subject. This element corresponds with the following item(s): 10a. NAICS Code: Subject <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				

Element Name:	NAICSCode	minOccurs:	0	maxOccurs:	1
Attribute(s)	n/a				
Parent Element:	PartyOccupationBusiness				
Element Restriction(s):	Record this element when known and the party type is associated with the Subject (33); otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 3-6 digit numeric characters. Use the list of NAICS Codes authorized for use in the FinCEN SAR located on the BSA E-Filing Web Site (http://bsaeiling.fincen.treas.gov) or from the U.S. Census Bureau NAICS list. Select a code that most-closely relates to the occupation or type of business recorded for the subject in the <OccupationBusinessText> element.				
Remarks:	n/a				
Example:	<fc2:NAICSCode> 7548 </fc2:NAICSCode>				

Element Name:	OccupationBusinessText	minOccurs:	0	maxOccurs:	1
Description:	Occupation or type of business (description). This element identifies the description of the occupation, profession, or type of business of the subject. This element corresponds with the following item(s): 10. Occupation or type of business: Subject <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyOccupationBusiness				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33) and the subject's occupation, profession, or type of business is known; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 50 characters or less				
Remarks:	n/a				
Example:	<fc2:OccupationBusinessText> Mechanic </fc2:OccupationBusinessText>				

4.6.7. ElectronicAddress Elements

Element Name:	ElectronicAddress	minOccurs:	0	maxOccurs:	198																				
Description:	Electronic address (header). This is the container for information about the subject's e-mail address or website URL (Uniform Resource Locator). The following sub-element is associated with this element: Activity party type code definitions 33 = Subject 1. Subject: a. E-mail address (if available FinCEN SAR Part I, Item 22) <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>ElectronicAddressText (Item 22)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>ElectronicAddressTypeCode (Code E)</td><td>1</td><td>1</td><td>Simple</td></tr></table> <i>*If the <ElectronicAddress> element is recorded for the Subject's (33) e-mail address, then the above elements should be recorded with a valid value for each.</i> b. Website (URL) address (if available FinCEN SAR Part I, Item 22a) <table><tr><td>Name</td><td>minOccurs</td><td>maxOccurs</td><td>Content</td></tr><tr><td>ElectronicAddressText (Item 22a)</td><td>1</td><td>1</td><td>Simple</td></tr></table>									ElectronicAddressText (Item 22)	1	1	Simple	ElectronicAddressTypeCode (Code E)	1	1	Simple	Name	minOccurs	maxOccurs	Content	ElectronicAddressText (Item 22a)	1	1	Simple
ElectronicAddressText (Item 22)	1	1	Simple																						
ElectronicAddressTypeCode (Code E)	1	1	Simple																						
Name	minOccurs	maxOccurs	Content																						
ElectronicAddressText (Item 22a)	1	1	Simple																						

Element Name:	ElectronicAddress	minOccurs:	0	maxOccurs:	198						
	ElectronicAddressTypeCode (Code U)		1	1	Simple						
	*If the <ElectronicAddress> element is recorded for the Subject's (33) website URL address, then the above elements should be recorded with a valid value for each.										
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td>Name</td><td>Description</td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>					Name	Description	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.		
Name	Description										
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.										
Parent Element:	Party										
Element Restriction(s):	Record this element for the Subject (33) party type when the e-mail address and/or website URL address is known; otherwise, do not record this element. The following table describes the minimum and maximum reporting requirements for this element: <table><tr><td>Party type</td><td>E-mail (min-max)</td><td>URL (min-max)</td></tr><tr><td>Subject</td><td>0-99</td><td>0-99</td></tr></table>					Party type	E-mail (min-max)	URL (min-max)	Subject	0-99	0-99
Party type	E-mail (min-max)	URL (min-max)									
Subject	0-99	0-99									
Value Restriction(s):	n/a										
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value.										
Example:	<fc2:ElectronicAddress SeqNum="74"> <fc2:ElectronicAddressText>will.mann@gmail.com</fc2:ElectronicAddressText> <fc2:ElectronicAddressTypeCode>E</fc2:ElectronicAddressTypeCode> </fc2:ElectronicAddress> <fc2:ElectronicAddress SeqNum="75"> <fc2:ElectronicAddressText>https://www.will_mann.org/</fc2:ElectronicAddressText> <fc2:ElectronicAddressTypeCode>U</fc2:ElectronicAddressTypeCode> </fc2:ElectronicAddress>										

Element Name:	ElectronicAddressText	minOccurs:	1	maxOccurs:	1
Description:	Electronic address (text). This element identifies the subject's email address or website URL (Uniform Resource Locator) address. This element corresponds with the following item(s): - Subject 22. E-mail address (if available) 22a. Website (URL) address (if available) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	ElectronicAddress				
Element Restriction(s):	Record this element when the parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: - E-mail address: 50 characters or less; the value must contain the "@" sign followed by at least one period (e.g. richardroepd@college.edu) - Website (URL) address: 517 characters or less; the values should contain at least one period.				
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: The value recorded for the element is not a valid email address or URL format.				

Element Name:	ElectronicAddressText	minOccurs:	1	maxOccurs:	1
Example:	<pre><fc2:ElectronicAddress SeqNum="74"> <fc2:ElectronicAddressText> richardroepd@college.edu </fc2:ElectronicAddressText> <fc2:ElectronicAddressTypeCode>E</fc2:ElectronicAddressTypeCode> </fc2:ElectronicAddress> <fc2:ElectronicAddress SeqNum="75"> <fc2:ElectronicAddressText> https://www.will_mann.org/ </fc2:ElectronicAddressText> <fc2:ElectronicAddressTypeCode>U</fc2:ElectronicAddressTypeCode> </fc2:ElectronicAddress></pre>				

Element Name:	ElectronicAddressTypeCode	minOccurs:	1	maxOccurs:	1						
Description:	Electronic address type (code). This element identifies the type of electronic address recorded for the subject; specifically whether it is an email address or a website URL (Uniform Resource Locator) address. This element corresponds with the following item(s): • Subject ○ 22. E-mail address type ○ 22a. Website (URL) type <i>Please refer to Attachment C for additional information regarding the above item(s).</i>										
Attribute(s)	n/a										
Parent Element:	ElectronicAddress										
Element Restriction(s):	Record this element when the parent element is recorded.										
Value Restriction(s):	The value provided must adhere to the following requirements: Identify the electronic address type by recording the appropriate code from the list below: <table><tr><th>Code</th><th>Description</th></tr><tr><td>E</td><td>E-mail address</td></tr><tr><td>U</td><td>Website (URL) address</td></tr></table>					Code	Description	E	E-mail address	U	Website (URL) address
Code	Description										
E	E-mail address										
U	Website (URL) address										
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded or does not contain a value (i.e. the value is null). • The value recorded is an invalid code.										
Example:	<pre><fc2:ElectronicAddress SeqNum="74"> <fc2:ElectronicAddressText>richardroephd@college.edu </fc2:ElectronicAddressText> <fc2:ElectronicAddressTypeCode>E</fc2:ElectronicAddressTypeCode> </fc2:ElectronicAddress> <fc2:ElectronicAddress SeqNum="75"> <fc2:ElectronicAddressText>https://www.will_mann.org/</fc2:ElectronicAddressText> <fc2:ElectronicAddressTypeCode>U</fc2:ElectronicAddressTypeCode> </fc2:ElectronicAddress></pre>										

4.6.8. PartyAssociation Elements

Element Name:	PartyAssociation	minOccurs:	0	maxOccurs:	99
Description:	Party association (header). This is the container for information about the subject's relationship to the institution recorded in the FinCEN SAR, as well as information about the branch where activity occurred. The following tables describe all possible sub-elements for each activity level party type: Activity party type code definitions 33 = Subject 34 = Financial institution where activity occurred				

Element Name:	PartyAssociation	minOccurs:	0	maxOccurs:	99
	1. Subject: Relationship of subject to an institution recorded in Part III or IV (FinCEN SAR Part I, Items 24-26)				
	AccountantIndicator (Item 24b)	0	1	Simple	
	ActionTakenDateText (Item 26)	0	1	Simple	
	AgentIndicator (Item 24c)	0	1	Simple	
	AppraiserIndicator (Item 24d)	0	1	Simple	
	AttorneyIndicator (Item 24e)	0	1	Simple	
	BorrowerIndicator (Item 24f)	0	1	Simple	
	CustomerIndicator (Item 24g)	0	1	Simple	
	DirectorIndicator (Item 24h)	0	1	Simple	
	EmployeeIndicator (Item 24i)	0	1	Simple	
	NoRelationshipToInstitutionIndicator (Item 24j)	0	1	Simple	
	OfficerIndicator (Item 24k)	0	1	Simple	
	OtherPartyAssociationTypeText (Item 24z)	0	1	Simple	
	OtherRelationshipIndicator (Item 24z)	0	1	Simple	
	OwnerShareholderIndicator (Item 24l)	0	1	Simple	
	RelationshipContinuesIndicator (Item 25a)	0	1	Simple	
	ResignedIndicator (Item 25d)	0	1	Simple	
	SubjectRelationshipFinancialInstitutionTINText (Item 24a)	0	1	Simple	
	SuspendedBarredIndicator (Item 24c)	0	1	Simple	
	TerminatedIndicator (Item 25b)	0	1	Simple	
	<i>*If the <PartyAssociation> element is recorded for the Subject (33), then at least one of the above relationship indicator elements should be recorded with a valid value.</i>				
	2. Financial institution where activity occurred: Branch location (FinCEN SAR Part III, Items 68, 69, 70-74)				
	Party (Items 68, 69, 70-74)	0	99	Complex	
Attribute(s)	The following attributes must be recorded for this element:				
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.				
Parent Element:	Party				
Element Restriction(s):	Record this element under the following circumstances; otherwise do not record this element:"				
	The party recorded is associated with the Subject (33) and the relationship of the subject to the filing institution and/or the financial institution(s) where activity occurred is being recorded..				
	NOTE: If the subject does not have a relationship with any of the recorded institutions in Part III or IV, record a single <PartyAssociation> element for the subject where the element <NoRelationshipToInstitutionIndicator> is recorded with a "Y" value and the TIN of the filing institution is recorded for the <SubjectRelationshipFinancialInstitutionTINText> element. The				

Element Name:	PartyAssociation	minOccurs:	0	maxOccurs:	99
	<NoRelationshipToInstitutionIndicator> element should not be recorded for the subject if a relationship exists with any institution recorded in Part III or IV, even when there is no relationship with other institutions. The party recorded is associated with the financial institution where activity occurred (34) and activity occurred at a branch location.				
Value Restriction(s):	n/a				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value. The batch submission will be accepted with warning if any of the following conditions are true: - The element is recorded but at least one indicator identifying the type of relationship is not recorded with a "Y" value. .				
Example:	Relationship of subject to an institution: <pre><fc2:PartyAssociation SeqNum="77"> <fc2:AccountantIndicator>Y</fc2:AccountantIndicator> <fc2:ActionTakenDateText>20170905</fc2:ActionTakenDateText> <fc2:ResignedIndicator>Y</fc2:ResignedIndicator> <fc2:SubjectRelationshipFinancialInstitutionTINText>458789856</fc2:SubjectRelationshipFinancialInstitutionTINText> </fc2:PartyAssociation></pre> Branch where activity occurred: <pre><fc2:PartyAssociation SeqNum="38"> <fc2:Party SeqNum="39"> <fc2:ActivityPartyTypeCode>46</fc2:ActivityPartyTypeCode> <fc2:SellingLocationIndicator>Y</fc2:SellingLocationIndicator> <fc2:Address SeqNum="40"> <fc2:RawCityText>Cityville</fc2:RawCityText> <fc2:RawCountryCodeText>US</fc2:RawCountryCodeText> <fc2:RawStateCodeText>VA</fc2:RawStateCodeText> <fc2:RawStreetAddress1Text>123 Road</fc2:RawStreetAddress1Text> <fc2:RawZIPCode>547898856</fc2:RawZIPCode> </fc2:Address> <fc2:PartyIdentification SeqNum="41"> <fc2:PartyIdentificationNumberText>154879885</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>14</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification> </fc2:Party> </fc2:PartyAssociation></pre>				

Element Name:	AccountantIndicator	minOccurs:	0	maxOccurs:	1
Description:	Accountant (indicator). This element declares that the subject's relationship to the institution can be described as "Accountant." This element corresponds with the following item(s): 24b. Relationship of subject to institution: Accountant <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				

Element Name:	AccountantIndicator	minOccurs:	0	maxOccurs:	1
Element Restriction(s):	Record this element when it describes the relationship of the subject (33) to the institution TIN recorded in the <SubjectRelationshipFinancialInstitutionTINText> element; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Accountant)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:AccountantIndicator>Y</fc2:AccountantIndicator>				

Element Name:	ActionTakenDateText	minOccurs:	0	maxOccurs:	1
Description:	Action date (date). This element identifies the date on which the action was taken in the event that the relationship no longer continues between the subject and the institution. This element corresponds with the following item(s): 26. Relationship of subject to institution: Action date <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33) and the status of the subject relationship to the institution TIN recorded for the <SubjectRelationshipFinancialInstitutionTINText> element has been identified as Terminated, Suspended/barred, or Resigned; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 8 numeric characters in the format YYYYMMDD where YYYY = year, MM = month, and DD = day. Single digit days or months must be prefaced by a zero.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value and the status of the relationship is Terminated, Suspended/barred, or Resigned. - The element is recorded with a valid value but the status of the relationship is not equal to Terminated, Suspended/barred, or Resigned. - The value recorded for the element is not in the required format (YYYYMMDD).				
Example:	<fc2:ActionTakenDateText>20170905</fc2:ActionTakenDateText>				

Element Name:	AgentIndicator	minOccurs:	0	maxOccurs:	1
Description:	Agent (indicator). This element declares that the subject's relationship to the institution can be described as "Agent." This element corresponds with the following item(s): 24c. Relationship of subject to institution: Agent <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when it describes the relationship of the subject (33) to the institution TIN recorded in the <SubjectRelationshipFinancialInstitutionTINText> element; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Agent)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information).				

Element Name:	AgentIndicator	minOccurs:	0	maxOccurs:	1
	The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:AgentIndicator>Y</fc2:AgentIndicator>				

Element Name:	AppraiserIndicator	minOccurs:	0	maxOccurs:	1
Description:	Appraiser (indicator). This element declares that the subject's relationship to the institution can be described as "Appraiser." This element corresponds with the following item(s): 24d. Relationship of subject to institution: Appraiser <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when it describes the relationship of the subject (33) to the institution TIN recorded in the <SubjectRelationshipFinancialInstitutionTINText> element; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Appraiser)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:AppraiserIndicator>Y</fc2:AppraiserIndicator>				

Element Name:	AttorneyIndicator	minOccurs:	0	maxOccurs:	1
Description:	Attorney (indicator). This element declares that the subject's relationship to the institution can be described as "Attorney." This element corresponds with the following item(s): 24e. Relationship of subject to institution: Attorney <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when it describes the relationship of the subject (33) to the institution TIN recorded in the <SubjectRelationshipFinancialInstitutionTINText> element; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Attorney)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:AttorneyIndicator>Y</fc2:AttorneyIndicator>				

Element Name:	BorrowerIndicator	minOccurs:	0	maxOccurs:	1
Description:	Borrower (indicator). This element declares that the subject's relationship to the institution can be described as "Borrower." This element corresponds with the following item(s): 24f. Relationship of subject to institution: Borrower <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when it describes the relationship of the subject (33) to the institution TIN recorded in the <SubjectRelationshipFinancialInstitutionTINText> element; otherwise, do not record this element.				

Element Name:	BorrowerIndicator	minOccurs:	0	maxOccurs:	1
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Borrower)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:BorrowerIndicator>Y</fc2:BorrowerIndicator>				

Element Name:	CustomerIndicator	minOccurs:	0	maxOccurs:	1
Description:	Customer (indicator). This element declares that the subject's relationship to the institution can be described as "Customer." This element corresponds with the following item(s): 24g. Relationship of subject to institution: Customer <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when it describes the relationship of the subject (33) to the institution TIN recorded in the <SubjectRelationshipFinancialInstitutionTINText> element; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Customer)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:CustomerIndicator>Y</fc2:CustomerIndicator>				

Element Name:	DirectorIndicator	minOccurs:	0	maxOccurs:	1
Description:	Director (indicator). This element declares that the subject's relationship to the institution can be described as "Director." This element corresponds with the following item(s): 24h. Relationship of subject to institution: Director <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when it describes the relationship of the subject (33) to the institution TIN recorded in the <SubjectRelationshipFinancialInstitutionTINText> element; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Director)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is recorded with a "Y" value for the subject and <JointReportIndicator> contains a "Y" value.				
Example:	<fc2:DirectorIndicator>Y</fc2:DirectorIndicator>				

Element Name:	EmployeeIndicator	minOccurs:	0	maxOccurs:	1
Description:	Employee (indicator). This element declares that the subject's relationship to the institution can be described as "Employee." This element corresponds with the following item(s):				

Element Name:	EmployeeIndicator	minOccurs:	0	maxOccurs:	1
	24i. Relationship of subject to institution: Employee <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when it describes the relationship of the subject (33) to the institution TIN recorded in the <SubjectRelationshipFinancialInstitutionTINText> element; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Employee)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is recorded with a "Y" value for the subject and <JointReportIndicator> contains a "Y" value.				
Example:	<fc2:EmployeeIndicator>Y</fc2:EmployeeIndicator>				

Element Name:	NoRelationshipToInstitutionIndicator	minOccurs:	0	maxOccurs:	1
Description:	No relationship to institution (indicator). This element declares that the subject has no relationship with any of the financial institutions recorded in the FinCEN SAR. This element corresponds with the following item(s): 24j. Relationship of subject to institution: No relationship to institution <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33) and the subject does not have a relationship with filing institution or financial institution(s) where activity occurred*; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "No relationship to an institution")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:NoRelationshipToInstitutionIndicator>Y</fc2:NoRelationshipToInstitutionIndicator>				

Element Name:	OfficerIndicator	minOccurs:	0	maxOccurs:	1
Description:	Officer (indicator). This element declares that the subject's relationship to the institution can be described as "Officer." This element corresponds with the following item(s): 24k Relationship of subject to institution: Officer <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when it describes the relationship of the subject (33) to the institution TIN recorded in the <SubjectRelationshipFinancialInstitutionTINText> element; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Officer)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true:				

Element Name:	OfficerIndicator	minOccurs:	0	maxOccurs:	1
	- The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is recorded with a "Y" value for the subject and <JointReportIndicator> contains a "Y" value.				
Example:	<fc2:OfficerIndicator>Y</fc2:OfficerIndicator>				

Element Name:	OtherPartyAssociationTypeText	minOccurs:	0	maxOccurs:	1
Description:	Other relationship (description). This element declares that the subject's relationship to the institution is not covered by any of pre-defined options. This element corresponds with the following item(s): 24z. Relationship of subject to institution: Other (description) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when the party type is associated with the Subject (33) and the <OtherRelationshipIndicator> element contains a "Y" value; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 50 characters or less.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value and Other is indicated. - The element is recorded with a value and Other is not indicated.				
Example:	<fc2:OtherPartyAssociationTypeText>Other description</fc2:OtherPartyAssociationTypeText>				

Element Name:	OtherRelationshipIndicator	minOccurs:	0	maxOccurs:	1
Description:	Other relationship (indicator). This element describes the other type of relationship between the subject and the institution. This element corresponds with the following item(s): 24z. Relationship of subject to institution: Other (indicator) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when it describes the relationship of the subject (33) to the institution TIN recorded in the <SubjectRelationshipFinancialInstitutionTINText> element cannot be categorized by one of the pre-defined indicator elements; otherwise, do not record this element. If this element is recorded with a "Y" value, please ensure a brief description of the relationship type is recorded in the <OtherPartyAssociationTypeText> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Other relationship")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:OtherRelationshipIndicator>Y</fc2:OtherRelationshipIndicator>				

Element Name:	OwnerShareholderIndicator	minOccurs:	0	maxOccurs:	1
Description:	Owner or controlling shareholder (indicator). This element declares that the subject's relationship to the institution can be described as "Owner or controlling shareholder." This element corresponds with the following item(s): 24l. Relationship of subject to institution: Owner or Controlling Shareholder <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element when it describes the relationship of the subject (33) to the institution TIN recorded in the <SubjectRelationshipFinancialInstitutionTINText> element; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Owner or controlling shareholder")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is recorded with a "Y" value for the subject and <JointReportIndicator> contains a "Y" value.				
Example:	<fc2:OwnerShareholderIndicator>Y</fc2:OwnerShareholderIndicator>				

Element Name:	RelationshipContinuesIndicator	minOccurs:	0	maxOccurs:	1
Description:	Relationship continues (indicator). This element declares that the status of the subject's relationship to the institution can be described as "Relationship continues." This element corresponds with the following item(s): 25a. Relationship status of subject to institution: Relationship continues <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element for the Subject (33) party type when it best describes the status of the relationship when the subject's relationship to the institution TIN recorded for the <SubjectRelationshipFinancialInstitutionTINText> element has been identified as Director, Employee, Officer, or Owner/Controlling Shareholder; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Relationship continues")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be accepted with warning if any of the following conditions are true: - The element is recorded with a valid value but the type of relationship is not equal to Director, Employee, Officer, or Owner/Controlling Shareholder. - The element is not recorded or does not contain a value and the type of relationship is equal to Director, Employee, Officer, and/or Owner/Controlling Shareholder.				
Example:	<fc2:RelationshipContinuesIndicator>Y</fc2:RelationshipContinuesIndicator>				

Element Name:	ResignedIndicator	minOccurs:	0	maxOccurs:	1
Description:	Resigned (indicator). This element declares that the status of the subject's relationship to the institution can be described as "Resigned." This element corresponds with the following item(s):				

Element Name:	ResignedIndicator	minOccurs:	0	maxOccurs:	1
	25d. Relationship status of subject to institution: Resigned <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element for the Subject (33) party type when it best describes the status of the relationship when the subject's relationship to the institution TIN recorded for the <SubjectRelationshipFinancialInstitutionTINText> element has been identified as Director, Employee, Officer, or Owner/Controlling Shareholder; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Resigned)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be accepted with warning if any of the following conditions are true: - The element is recorded with a valid value but the type of relationship is not equal to Director, Employee, Officer, or Owner/Controlling Shareholder. - The element is not recorded or does not contain a value and the type of relationship is equal to Director, Employee, Officer, and/or Owner/Controlling Shareholder.				
Example:	<fc2:ResignedIndicator>Y</fc2:ResignedIndicator>				

Element Name:	SubjectRelationshipFinancialInstitutionTINText	minOccurs:	0	maxOccurs:	1
Description:	Institution TIN (text). This element identifies the TIN of the institution recorded in the FinCEN SAR that the subject has a relationship with. This element corresponds with the following item(s): 24a. Relationship of subject to institution: Institution TIN <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element for the Subject (33) party type in order to identify the TIN (if known) associated with the filing institution or financial institution where activity occurred in which the subject has a relationship with; otherwise, do not record this element. If the subject has no relationship with any of these institutions, record the TIN of the filing institution for this element and record a "Y" value for the <NoRelationshipToInstitutionIndicator> element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 25 characters or less. The number recorded must match the TIN recorded for the filing institution or the financial institution where activity occurred.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded does not match the TIN for the Filing institution or the Financial institution where the activity occurred.				
Example:	<fc2:SubjectRelationshipFinancialInstitutionTINText>458789856</fc2:SubjectRelationshipFinancialInstitutionTINText>				

Element Name:	SuspendedBarredIndicator	minOccurs:	0	maxOccurs:	1
Description:	Suspended/Barred (indicator). This element declares that the status of the subject's relationship to the institution can be described as "Suspended/Barred." This element corresponds with the following item(s): 25c. Relationship status of subject to institution: Suspended/barred				

Element Name:	SuspendedBarredIndicator	minOccurs:	0	maxOccurs:	1
	<i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element for the Subject (33) party type when it best describes the status of the relationship when the subject's relationship to the institution TIN recorded for the <SubjectRelationshipFinancialInstitutionTINText> element has been identified as Director, Employee, Officer, or Owner/Controlling Shareholder; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Suspended/Barred)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be accepted with warning if any of the following conditions are true: - The element is recorded with a valid value but the type of relationship is not equal to Director, Employee, Officer, or Owner/Controlling Shareholder. - The element is not recorded or does not contain a value and the type of relationship is equal to Director, Employee, Officer, and/or Owner/Controlling Shareholder.				
Example:	<fc2:SuspendedBarredIndicator>Y</fc2:SuspendedBarredIndicator>				

Element Name:	TerminatedIndicator	minOccurs:	0	maxOccurs:	1
Description:	Terminated (indicator). This element declares that the status of the subject's relationship to the institution can be described as "Terminated." This element corresponds with the following item(s): 25d. Relationship status of subject to institution: Terminated <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAssociation				
Element Restriction(s):	Record this element for the Subject (33) party type when it best describes the status of the relationship when the subject's relationship to the institution TIN recorded for the <SubjectRelationshipFinancialInstitutionTINText> element has been identified as Director, Employee, Officer, or Owner/Controlling Shareholder; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate Terminated)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be accepted with warning if any of the following conditions are true: - The element is recorded with a valid value but the type of relationship is not equal to Director, Employee, Officer, or Owner/Controlling Shareholder. - The element is not recorded or does not contain a value and the type of relationship is equal to Director, Employee, Officer, and/or Owner/Controlling Shareholder.				
Example:	<fc2:TerminatedIndicator>Y</fc2:TerminatedIndicator>				

Element Name:	Party	See <i>Party Elements</i> (below) for details.
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4.6.8.1. Party Elements

The following Party element (and associated sub-elements) corresponds with the Part III Branch location where activity occurred. In the event that the FinCEN SAR involves branch locations, up to 99 branch locations may be reported; otherwise, this Party element should not be recorded.

Element Name:	Party	minOccurs:	0	maxOccurs:	99																												
Description:	Party (header). This is the container for information about the individual or entity associated with the FinCEN SAR; specifically, the branch location where activity occurred. The following tables describe all possible sub-elements for the Branch (46) party type: Activity party type code definitions 46 = Branch location where activity occurred 1. Financial institution where activity occurred: Branch location (FinCEN SAR Part III, Items 68, 69, 70-74) <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>ActivityPartyTypeCode (Code 46)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>PayLocationIndicator (Item 68b)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>SellingLocationIndicator (Item 68a)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>SellingPayingLocationIndicator (Item 68c)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>Address (Items 69, 71-74)</td><td>1</td><td>1</td><td>Complex</td></tr><tr><td>PartyIdentification (Item 70)</td><td>0</td><td>1</td><td>Complex</td></tr></table>									ActivityPartyTypeCode (Code 46)	1	1	Simple	PayLocationIndicator (Item 68b)	0	1	Simple	SellingLocationIndicator (Item 68a)	0	1	Simple	SellingPayingLocationIndicator (Item 68c)	0	1	Simple	Address (Items 69, 71-74)	1	1	Complex	PartyIdentification (Item 70)	0	1	Complex
ActivityPartyTypeCode (Code 46)	1	1	Simple																														
PayLocationIndicator (Item 68b)	0	1	Simple																														
SellingLocationIndicator (Item 68a)	0	1	Simple																														
SellingPayingLocationIndicator (Item 68c)	0	1	Simple																														
Address (Items 69, 71-74)	1	1	Complex																														
PartyIdentification (Item 70)	0	1	Complex																														
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td></td><td></td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>							SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																								
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																																
Parent Element:	PartyAssociation																																
Element Restriction(s):	Record this element if the associated financial institution has a branch involved in the suspicious activity; otherwise, do not record this element. A branch is a location (such as an office or ATM) owned by the financial institution but located separately from the financial institution’s headquarters. Generally, a branch operates under the same TIN as the financial institution. Up to 99 branches may be recorded for a single FinCEN SAR.																																
Value Restriction(s):	n/a																																
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is missing a “SeqNum” attribute. - The element contains a “SeqNum” attribute with a duplicate or invalid value. - More than 99 branches are recorded for the FinCEN SAR.																																
Example:	See Part Elements by Party Type for a detailed example...																																

Element Name:	ActivityPartyTypeCode	minOccurs:	1	maxOccurs:	1				
Description:	Party type (code). This element identifies the type of party associated with the FinCEN SAR; specifically, the branch where activity occurred.								
Attribute(s)	n/a								
Parent Element:	Party								
Element Restriction(s):	Required. This element must be recorded for each <Party> element regardless of party type.								
Value Restriction(s):	The value provided must adhere to the following requirements: <table><tr><td>Code</td><td>Description</td></tr><tr><td>46</td><td>Branch where activity occurred</td></tr></table>					Code	Description	46	Branch where activity occurred
Code	Description								
46	Branch where activity occurred								

Element Name:	ActivityPartyTypeCode	minOccurs:	1	maxOccurs:	1
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded. • The element is recorded but with no value (i.e. the value is null). • The element contains a value not equal to "46".				
Example:	<fc2:ActivityPartyTypeCode>46</fc2:ActivityPartyTypeCode>				

Element Name:	PayLocationIndicator	minOccurs:	0	maxOccurs:	1
Description:	Paying location (indicator). This element declares that the customer received payment from the branch for the products or instruments recorded in the FinCEN SAR. This element corresponds with the following item(s): • 68b. Branch's role in transaction (Paying location) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Branch Where Activity Occurred (46) and the customer received payment from the branch (46) for the recorded products or instruments; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Paying location")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). • The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: • More than one role is recorded for the branch's role in the transaction.				
Example:	<fc2:PayLocationIndicator>Y</fc2:PayLocationIndicator>				

Element Name:	SellingLocationIndicator	minOccurs:	0	maxOccurs:	1
Description:	Selling location (indicator). This element declares that the branch sold the products or instruments recorded in the FinCEN SAR. This element corresponds with the following item(s): • 68a. Branch's role in transaction (Selling location) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Branch Where Activity Occurred (46) and the branch sold the recorded products or instruments; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Selling location")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). • The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: • More than one role is recorded for the branch's role in the transaction.				
Example:	<fc2:SellingLocationIndicator>Y</fc2:SellingLocationIndicator>				

Element Name:	SellingPayingLocationIndicator	minOccurs:	0	maxOccurs:	1
Description:	Selling and Paying location (indicator). This element declares that the branch was both a paying and selling location for the products or instruments recorded in the FinCEN SAR. This element corresponds with the following item(s): 68c. Branch's role in transaction (both Selling and Paying location) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the party type is associated with the Branch Where Activity Occurred (46) and the branch was both the selling and paying location for the recorded products or instruments; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate both Selling and Paying location)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). - The value recorded is not equal to "Y" or not equal to null. The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: - More than one role is recorded for the branch's role in the transaction.				
Example:	<fc2:SellingPayingLocationIndicator>Y</fc2:SellingPayingLocationIndicator>				

Element Name:	Address	See <i>Address Elements</i> (below) for details.
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Element Name:	PartyIdentification	See <i>PartyIdentification Elements</i> (below) for details.
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4.6.8.1.1. Address Elements

Element Name:	Address	minOccurs:	1	maxOccurs:	99																								
Description:	Address (header). This is the container for information about the address of the party; specifically, the branch where activity occurred. The following tables describe all possible sub-elements for the Branch (46) party type: 1. Branch: Address (FinCEN SAR Part III, Items 69, 71-74) <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>RawCityText</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>RawCountryCodeText</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>RawStateCodeText</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>RawStreetAddress1Text</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>RawZIPCode</td><td>0</td><td>1</td><td>Simple</td></tr></table> <i>*If the <Address> element is recorded for the Branch (46) party type, then the <RawCountryCodeText> must contain a value in addition to any other known address elements.</i>									RawCityText	0	1	Simple	RawCountryCodeText	1	1	Simple	RawStateCodeText	0	1	Simple	RawStreetAddress1Text	0	1	Simple	RawZIPCode	0	1	Simple
RawCityText	0	1	Simple																										
RawCountryCodeText	1	1	Simple																										
RawStateCodeText	0	1	Simple																										
RawStreetAddress1Text	0	1	Simple																										
RawZIPCode	0	1	Simple																										
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td></td><td></td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>							SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																				
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																												
Parent Element:	Party																												

Element Name:	Address	minOccurs:	1	maxOccurs:	99
Element Restriction(s):	Required. This element must be recorded when the parent element is recorded for the branch location.				
Value Restriction(s):	n/a				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value. The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: - The element is not recorded for the branch location.				
Example:	<pre><fc2:Address SeqNum="59"> <fc2:RawCityText>Cityville</fc2:RawCityText> <fc2:RawCountryCodeText>US</fc2:RawCountryCodeText> <fc2:RawStateCodeText>VA</fc2:RawStateCodeText> <fc2:RawStreetAddress1Text>123 Address Way</fc2:RawStreetAddress1Text> <fc2:RawZIPCode>547898856</fc2:RawZIPCode> </fc2:Address></pre>				

Element Name:	RawCityText	minOccurs:	0	maxOccurs:	1
Description:	City (text). This element identifies the city associated with the address of the branch. This element corresponds with the following item(s): Branch: 71. City <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Record this element for the Branch (46) where activity occurred party type when the city associated with the branch address is known; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 50 characters or less				
Remarks:	None				
Example:	<fc2:RawCityText>Rockville</fc2:RawCityText>				

Element Name:	RawCountryCodeText	minOccurs:	1	maxOccurs:	1
Description:	Country (code). This element identifies the country associated with the branch. This element corresponds with the following item(s): Branch: 74. Country <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Required. This element must be recorded if the parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: Country codes (including U.S. Territory codes) must adhere to the two-letter country codes found in ISO 3166-2.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The value recorded is not a valid country code. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value. - State code and country code mismatch when U.S. Territory is recorded.				
Example:	<fc2:RawCountryCodeText>US</fc2:RawCountryCodeText>				

Element Name:	RawStateCodeText	minOccurs:	0	maxOccurs:	1
Description:	State/Territory/Province (code). This element identifies the state/territory/province associated with the address of the branch when the corresponding country is equal to US (United States), CA (Canada), MX (Mexico), or a U.S. Territory. This element corresponds with the following item(s): Branch: 72. State <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Record this element for the Branch (46) where activity occurred party type and the corresponding country is US (United States), CA (Canada), MX (Mexico), or a U.S. Territory*; otherwise, do not record this element. *If the country is a U.S. Territory, record the same U.S. Territory code for the state.				
Value Restriction(s):	The value provided must adhere to the following requirements: United States state/territory codes must adhere to the two-letter codes used by the United States Postal Service when the country is equal to US or a U.S. Territory. If a U.S. Territory is recorded for the country, it must also be recorded for the state. Canadian province/territory codes must adhere to the two-letter codes used by the Canadian Post Corporation when the country is equal to CA. Mexican state/federal district codes must adhere to the standards of ISO 3166-2:MX when the country is equal to MX.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The value recorded is not a valid country code. The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element contains a value and the country is not US, CA, MX, or a U.S. Territory. - The element is not recorded or does not contain a value when the country is US, CA, MX, or a U.S. Territory. - State code and country code mismatch when U.S. Territory is recorded.				
Example:	<fc2:RawStateCodeText>VA</fc2:RawStateCodeText>				

Element Name:	RawStreetAddress1Text	minOccurs:	0	maxOccurs:	1
Description:	Street address (text). This element identifies the street address of the branch. This element corresponds with the following item(s): Branch: 69. Street Address <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				
Element Restriction(s):	Record this element for the Branch (46) where activity occurred party type when the street address associated with the branch address is known; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 100 characters or less				
Remarks:	None				
Example:	<fc2:RawStreetAddress1Text>123 Address Way</fc2:RawStreetAddress1Text>				

Element Name:	RawZIPCode	minOccurs:	0	maxOccurs:	1
Description:	ZIP/Postal Code (text). This element identifies the ZIP Code or foreign postal code associated with the address of the branch. This element corresponds with the following item(s): Branch: 73. ZIP/Postal Code <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Address				

Element Name:	RawZIPCode	minOccurs:	0	maxOccurs:	1
Element Restriction(s):	Record this element for the Branch (46) where activity occurred party type when the ZIP/Postal Code associated with the branch address is known; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: For a U.S. address (including U.S. Territories): 5 or 9 numeric character entry; 9 numeric character entry cannot end with four zeros or four nines. For a non-U.S. address: 9 (or less) character entry. Do not include punctuation or formatting such as hyphens, periods, and spaces within the value entry				
Remarks:	None				
Example:	<fc2:RawZIPCode>547898856</fc2:RawZIPCode>				

4.6.8.1.2. PartyIdentification Elements

Element Name:	PartyIdentification	minOccurs:	0	maxOccurs:	1												
Description:	Party identification (header). This is the container for information about the identification associated with the branch, specifically, the Research, Statistics, Supervision, and Discount (RSSD) number. The following tables describe all possible sub-elements for the Branch (46) party type: 2. Branch: RSSD number (FinCEN SAR Part III, Item 70) <table><tr><th>Name</th><th>minOccurs</th><th>maxOccurs</th><th>Content</th></tr><tr><td>PartyIdentificationNumberText (Item 70)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>PartyIdentificationTypeCode (Item 70)</td><td>1</td><td>1</td><td>Simple</td></tr></table> <i>*If the <PartyIdentification> element is recorded for the Branch (46) party type, then the above elements must contain a valid value for each.</i>					Name	minOccurs	maxOccurs	Content	PartyIdentificationNumberText (Item 70)	1	1	Simple	PartyIdentificationTypeCode (Item 70)	1	1	Simple
Name	minOccurs	maxOccurs	Content														
PartyIdentificationNumberText (Item 70)	1	1	Simple														
PartyIdentificationTypeCode (Item 70)	1	1	Simple														
Attribute(s)	The following attributes must be recorded for this element: <table><tr><th>Name</th><th>Description</th></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>					Name	Description	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.								
Name	Description																
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																
Parent Element:	Party																
Element Restriction(s):	Record this element if the RSSD number is known for the Branch (46) party type; otherwise, do not record this element.																
Value Restriction(s):	n/a																
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is missing a "SeqNum" attribute. • The element contains a "SeqNum" attribute with a duplicate or invalid value.																
Example:	<pre><fc2:PartyIdentification SeqNum="60"> <fc2:PartyIdentificationNumberText>445564615654</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>14</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification></pre>																

Element Name:	PartyIdentificationNumberText	minOccurs:	1	maxOccurs:	1
Description:	Identification number (text). This element identifies the RSSD number associated with the branch. This element corresponds with the following item(s): Branch: 70. RSSD number <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyIdentification				

Element Name:	PartyIdentificationNumberText	minOccurs:	1	maxOccurs:	1
Element Restriction(s):	Required. This element must be recorded if the parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: 20 numeric characters or less				
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: The element is not recorded or does not contain a value.				
Example:	<fc2:PartyIdentificationNumberText>445564615654</fc2:PartyIdentificationNumberText>				

Element Name:	PartyIdentificationTypeCode	minOccurs:	1	maxOccurs:	1
Description:	Identification type (code). This element identifies the type of identification number associated with the branch as an "RSSD" number. This element corresponds with the following item(s): Branch: 70. RSSD number <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyIdentification				
Element Restriction(s):	Required. This element must be recorded if the parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: "14" (to identify the number recorded as the RSSD number)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded or does not contain a value - The value recorded is not equal to "14".				
Example:	<fc2:PartyIdentificationTypeCode>14</fc2:PartyIdentificationTypeCode>				

ALERT: This is the end of the elements associated with the Part III Branch location where activity occurred. The following PartyAccountAssociation element corresponds with the Subject party type only.

4.6.9. PartyAccountAssociation Elements

The following PartyAccountAssociation element (and associated sub-elements) corresponds with the Part I Item 27 Financial institution TIN and account number(s) affected that are related to the subject. This element should not be recorded for the subject in the event that there are no known accounts involved related to the subject (in which case the NoKnownAccountInvolvedIndicator element would be recorded with a "Y" value for the subject). Please refer to the Item 27 Item Instructions (Attachment C) for additional information.

Element Name:	PartyAccountAssociation	minOccurs:	0	maxOccurs:	1												
Description:	Party account association (header). This is the container element for information about the financial institution and account(s) related to the subject. The following sub-element is associated with this element: Activity party type code definitions 33 = Subject 1. Subject: Financial institution TIN and account number(s) affected that are related to the subject (if any) (FinCEN SAR Part I, Item 27b-e) <table><tr><td>Name</td><td>minOccurs</td><td>maxOccurs</td><td>Content</td></tr><tr><td>PartyAccountAssociationTypeCode (Code 7)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>Party (Items 27b-e)</td><td>1</td><td>99</td><td>Complex</td></tr></table>					Name	minOccurs	maxOccurs	Content	PartyAccountAssociationTypeCode (Code 7)	1	1	Simple	Party (Items 27b-e)	1	99	Complex
Name	minOccurs	maxOccurs	Content														
PartyAccountAssociationTypeCode (Code 7)	1	1	Simple														
Party (Items 27b-e)	1	99	Complex														

Element Name:	PartyAccountAssociation	minOccurs:	0	maxOccurs:	1				
	<i>*If the <PartyAccountAssociation> element is recorded for the Subject (33), then the above elements must be recorded.</i>								
Attribute(s)	The following attributes must be recorded for this element: <table><tr><th>Name</th><th>Description</th></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>					Name	Description	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.
Name	Description								
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.								
Parent Element:	Party								
Element Restriction(s):	Conditionally Required. Record this element for the Subject (33) party type when information about account(s) involved in the suspicious activity (related to the subject) exist; otherwise do not record this element and record the <NoKnownAccountInvolvedIndicator> element with a "Y" value. An account is related to a subject if the subject owns the account, has control over the account, or conducted activity in or through an account the subject does not own or control.								
Value Restriction(s):	n/a								
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is recorded for a party type that is not applicable to this data (see Element Restrictions for more information). • The element is missing a "SeqNum" attribute. • The element contains a "SeqNum" attribute with a duplicate or invalid value. The batch submission will be accepted with warning if any of the following conditions are true: • The element is recorded but the <NoKnownAccountInvolvedIndicator> element is also recorded with a "Y" value. • The element is not recorded and the <NoKnownAccountInvolvedIndicator> element is not recorded with a "Y" value.								
Example:	<fc2:PartyAccountAssociation SeqNum="79"> <fc2:PartyAccountAssociationTypeCode>7</fc2:PartyAccountAssociationTypeCode> <fc2:Party SeqNum="80">								

Element Name:	PartyAccountAssociationTypeCode	minOccurs:	1	maxOccurs:	1
Description:	Party account association type (code). This element is for FinCEN purposes only.				
Attribute(s)	n/a				
Parent Element:	PartyAccountAssociation				
Element Restriction(s):	Required. This element must be recorded when the parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: "7" (to link the subject to the account)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded or does not contain a value. - The value recorded is not equal to "7".				
Example:	<fc2:PartyAccountAssociationTypeCode>7</fc2:PartyAccountAssociationTypeCode>				

Element Name:	Party	See <i>Party Elements (below)</i> for details.
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4.6.9.1. Party Elements

The following Party element (and associated sub-elements) corresponds with the Part I Item 27 Financial institution TIN and account number(s) affected that are related to the subject. Unless there are no known accounts involved related to a subject (in which case the NoKnownAccountInvolvedIndicator element is recorded with a "Y" value for the subject and, as a result, the PartyAccountAssociation element is not recorded), up to 99 financial institutions' where

account(s) are held may be reported for each subject. Please refer to the Item 27 Item Instructions (Attachment C) for additional information.

Element Name:	Party	minOccurs:	1	maxOccurs:	99																				
Description:	Party (header). This is the container for information about the financial institution in which the account related to the subject is held. The following sub-element is associated with this element: Activity party type code definitions 41 = Financial institution where account is held 1. Subject: Financial institution TIN (FinCEN SAR Part I, Item 27b-c) <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>ActivityPartyTypeCode (Code 41)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>NonUSFinancialInstitutionIndicator (Item 27b)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>PartyIdentification (Item 27c)</td><td>0</td><td>1</td><td>Complex</td></tr><tr><td>Account (Item 27 d-e)</td><td>0</td><td>99</td><td>Complex</td></tr></table>									ActivityPartyTypeCode (Code 41)	1	1	Simple	NonUSFinancialInstitutionIndicator (Item 27b)	0	1	Simple	PartyIdentification (Item 27c)	0	1	Complex	Account (Item 27 d-e)	0	99	Complex
ActivityPartyTypeCode (Code 41)	1	1	Simple																						
NonUSFinancialInstitutionIndicator (Item 27b)	0	1	Simple																						
PartyIdentification (Item 27c)	0	1	Complex																						
Account (Item 27 d-e)	0	99	Complex																						
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td></td><td></td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>							SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																								
Parent Element:	PartyAccountAssociation																								
Element Restriction(s):	Required. This element must be recorded when the parent element is recorded.																								
Value Restriction(s):	n/a																								
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded. - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value. - More than 99 Financial Institutions Where Account is Held are recorded for the FinCEN SAR.																								
Example:	See Part Elements by Party Type for a detailed example...																								

Element Name:	ActivityPartyTypeCode	minOccurs:	1	maxOccurs:	1				
Description:	Party type (code). This element identifies the type of party associated with the FinCEN SAR; specifically the financial institution where the account is held.								
Attribute(s)	n/a								
Parent Element:	Party								
Element Restriction(s):	Required. This element must be recorded for each <Party> element regardless of party type.								
Value Restriction(s):	The value provided must adhere to the following requirements: <table><tr><th>Code</th><th>Description</th></tr><tr><td>41</td><td>Financial institution where account is held</td></tr></table>					Code	Description	41	Financial institution where account is held
Code	Description								
41	Financial institution where account is held								
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded. • The element is recorded but with no value (i.e. the value is null). • The element contains a value not equal to "41".								

Element Name:	ActivityPartyTypeCode	minOccurs:	1	maxOccurs:	1
Example:	<fc2:ActivityPartyTypeCode>41</fc2:ActivityPartyTypeCode>				

Element Name:	NonUSFinancialInstitutionIndicator	minOccurs:	0	maxOccurs:	1
Description:	Non-U.S. financial institution (indicator). This element declares that the account is located at a foreign financial institution. This element corresponds with the following item(s): 27b. Non-U.S. financial institution <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Party				
Element Restriction(s):	Record this element when the Financial institution where the account is held (41) party type and the location of the institution is not within the U.S. or a U.S. Territory; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Non U.S. financial institution")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:NonUSFinancialInstitutionIndicator>Y</fc2:NonUSFinancialInstitutionIndicator>				

Element Name:	PartyIdentification	See <i>PartyIdentification Elements (below)</i> for details.			
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Element Name:	Account	See <i>Account Elements (below)</i> for details.			
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4.6.9.1.1. PartyIdentification Elements

Element Name:	PartyIdentification	minOccurs:	0	maxOccurs:	1												
Description:	Party identification (header). This is the container for information about the TIN associated with the financial institution in which the account is held. The following sub-element is associated with this element: Activity party type code definitions 41 = Financial institution where account is held 1. Subject: Financial institution TIN (FinCEN SAR Part I, Item 27c) <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>PartyIdentificationNumberText (Item 27c)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>PartyIdentificationTypeCode (Code 4)</td><td>1</td><td>1</td><td>Simple</td></tr></table>									PartyIdentificationNumberText (Item 27c)	1	1	Simple	PartyIdentificationTypeCode (Code 4)	1	1	Simple
PartyIdentificationNumberText (Item 27c)	1	1	Simple														
PartyIdentificationTypeCode (Code 4)	1	1	Simple														
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td></td><td></td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>							SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.								
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																
Parent Element:	Party																

Element Name:	PartyIdentification	minOccurs:	0	maxOccurs:	1
Element Restriction(s):	Record this element when the TIN of the financial institution where the account is held is known; otherwise, do not record this element.				
Value Restriction(s):	n/a				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value.				
Example:	<pre><fc2:PartyIdentification SeqNum="81"> <fc2:PartyIdentificationNumberText>458789856</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>4</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification></pre>				

Element Name:	PartyIdentificationNumberText	minOccurs:	1	maxOccurs:	1
Description:	Identification number (text). This element identifies the Taxpayer Identification Number (TIN) associated with the financial institution in which the account is held. This element corresponds with the following item(s): 27c. Financial Institution TIN related to subject <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyIdentification				
Element Restriction(s):	Required. Record this element if the parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: 25 characters or less. Identification numbers must be entered as a single alpha/numeric text string without formatting or special characters such as, for example, spaces, hyphens, or periods. Cannot be consecutive string of the same number or an incremental string such as 123456789.				
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: The element is not recorded or does not contain a value.				
Example:	<fc2:PartyIdentificationNumberText>458789856</fc2:PartyIdentificationNumberText>				

Element Name:	PartyIdentificationTypeCode	minOccurs:	1	maxOccurs:	1
Description:	Identification type (code). This element identifies the type of identification number associated with financial institution in which the account is held as a "TIN." This element corresponds with the following item(s): 27c. Financial Institution TIN type related to subject <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyIdentification				
Element Restriction(s):	Required. Record this element if the parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: "4" (to indicate TIN)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded or does not contain a value. - The value recorded does not equal "4".				
Example:	<fc2:PartyIdentificationTypeCode>4</fc2:PartyIdentificationTypeCode>				

4.6.9.1.2. Account Elements

Element Name:	Account	minOccurs:	0	maxOccurs:	99												
Description:	Account (header). This is the container for information about the account (held at the corresponding financial institution) involved in the suspicious activity related to the recorded subject. The following sub-element is associated with this element: Activity party type code definitions 41 = Financial institution where account is held 1. Subject: Financial institution TIN (FinCEN SAR Part I, Item 27 d-e) <table><tr><td>Name</td><td>minOccurs</td><td>maxOccurs</td><td>Content</td></tr><tr><td>AccountNumberText (Item 27d)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>PartyAccountAssociation (Item 27e)</td><td>1</td><td>1</td><td>Complex</td></tr></table>					Name	minOccurs	maxOccurs	Content	AccountNumberText (Item 27d)	1	1	Simple	PartyAccountAssociation (Item 27e)	1	1	Complex
Name	minOccurs	maxOccurs	Content														
AccountNumberText (Item 27d)	1	1	Simple														
PartyAccountAssociation (Item 27e)	1	1	Complex														
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td>Name</td><td>Description</td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>					Name	Description	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.								
Name	Description																
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																
Parent Element:	Party																
Element Restriction(s):	Record this element for the Financial institution where the account is held (41) party type when the account number involved in the suspicious activity (related to the subject*) is known**; otherwise do not record this element. *An account is related to a subject if the subject owns the account, has control over the account, or conducted activity in or through an account the subject does not own or control. **If the filer is aware that the subject has an account involved in the suspicious activity with the recorded financial institution but the account number is unknown, record the <PartyIdentificationNumberText> element with the TIN of the financial institution (41) party type and do not record the <Account> element. Provide an explanation for the missing account number in the narrative.																
Value Restriction(s):	n/a																
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value.																
Example:	<pre><fc2:Account SeqNum="82"> <fc2:AccountNumberText>1502417873</fc2:AccountNumberText> <fc2:PartyAccountAssociation SeqNum="83"></pre>																

Element Name:	AccountNumberText	minOccurs:	1	maxOccurs:	1
Description:	Account number (text). This element identifies the account number involved in the suspicious activity related to the recorded subject. This element corresponds with the following item(s): 27d. Account number <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	Account				
Element Restriction(s):	Required. This element must be recorded when the <Account> parent element is recorded.				

Element Name:	AccountNumberText	minOccurs:	1	maxOccurs:	1
Value Restriction(s):	The value provided must adhere to the following requirements: 40 characters or less				
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: The element is not recorded or does not contain a value.				
Example:	<fc2:AccountNumberText>1502417873</fc2:AccountNumberText>				

Element Name:	PartyAccountAssociation	See <i>PartyAccountAssociation Elements (below)</i> for details.			
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4.6.9.1.3. PartyAccountAssociation Elements

Element Name:	PartyAccountAssociation	minOccurs:	1	maxOccurs:	1												
Description:	Party account association (header). This is the container for creating the association of the account to the Financial institution where the account is held, as well as indicating whether or not the account is closed. The following sub-element is associated with this element: Activity party type code definitions 41 = Financial institution where account is held 1. Subject: Financial institution TIN and account number(s) affected that are related to the subject (if any) (FinCEN SAR Part I, Item 27e) <table><tr><td>Name</td><td>minOccurs</td><td>maxOccurs</td><td>Content</td></tr><tr><td>AccountClosedIndicator</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>PartyAccountAssociationTypeCode (Code 5)</td><td>1</td><td>1</td><td>Simple</td></tr></table>					Name	minOccurs	maxOccurs	Content	AccountClosedIndicator	0	1	Simple	PartyAccountAssociationTypeCode (Code 5)	1	1	Simple
Name	minOccurs	maxOccurs	Content														
AccountClosedIndicator	0	1	Simple														
PartyAccountAssociationTypeCode (Code 5)	1	1	Simple														
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td>Name</td><td>Description</td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>					Name	Description	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.								
Name	Description																
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																
Parent Element:	Account																
Element Restriction(s):	Required. This element must be recorded when the parent element is recorded.																
Value Restriction(s):	n/a																
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded. - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value.																
Example:	<fc2:PartyAccountAssociation SeqNum="83"> <fc2:AccountClosedIndicator>Y</fc2:AccountClosedIndicator> <fc2:PartyAccountAssociationTypeCode>5</fc2:PartyAccountAssociationTypeCode> </fc2:PartyAccountAssociation>																

Element Name:	AccountClosedIndicator	minOccurs:	0	maxOccurs:	1
Description:	Account closed (indicator). This element declares that the recorded account is closed. This element corresponds with the following item(s):				

Element Name:	AccountClosedIndicator	minOccurs:	0	maxOccurs:	1
	27e. Account closed <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	PartyAccountAssociation				
Element Restriction(s):	Record this element for the Financial institution where the account is held (41) party type when the associated account is closed; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Account closed")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The element contains a value not equal to "Y" or null.				
Example:	<fc2:AccountClosedIndicator>Y</fc2:AccountClosedIndicator>				

Element Name:	PartyAccountAssociationTypeCode	minOccurs:	1	maxOccurs:	1
Description:	Party account association type (code). This element is for FinCEN purposes only.				
Attribute(s)	n/a				
Parent Element:	PartyAccountAssociation				
Element Restriction(s):	Required. This element must be recorded when the parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: "5" (to link the Financial institution to the account)				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded or does not contain a value. - The value recorded is not equal to "5".				
Example:	<fc2:PartyAccountAssociationTypeCode>5</fc2:PartyAccountAssociationTypeCode>				

ALERT: This is the end of the elements associated with the Part I Item 27 Financial institution TIN and account number(s) affected that are related to the subject. The following SuspiciousActivity element corresponds with the FinCEN SAR activity.

4.7. SuspiciousActivity Elements

Element Name:	SuspiciousActivity	minOccurs:	1	maxOccurs:	1																																
Description:	Suspicious Activity (header). This element is the container for information about the suspicious activity, such as the total amount involved and the type of suspicious activity. The following sub-element is associated with this element: <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>AmountUnknownIndicator (Item 29a)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>CumulativeTotalViolationAmountText (Item 31)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>NoAmountInvolvedIndicator (Item 29b)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>SuspiciousActivityFromDateText (Item 30a)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>SuspiciousActivityToDateText (Item 30b)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>TotalSuspiciousAmountText (Item 29)</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>SuspiciousActivityClassification (Items 32-42)</td><td>1</td><td>99</td><td>Complex</td></tr></table> <i>Please refer to Attachment C for additional information regarding the above item(s).</i>									AmountUnknownIndicator (Item 29a)	0	1	Simple	CumulativeTotalViolationAmountText (Item 31)	0	1	Simple	NoAmountInvolvedIndicator (Item 29b)	0	1	Simple	SuspiciousActivityFromDateText (Item 30a)	1	1	Simple	SuspiciousActivityToDateText (Item 30b)	0	1	Simple	TotalSuspiciousAmountText (Item 29)	0	1	Simple	SuspiciousActivityClassification (Items 32-42)	1	99	Complex
AmountUnknownIndicator (Item 29a)	0	1	Simple																																		
CumulativeTotalViolationAmountText (Item 31)	0	1	Simple																																		
NoAmountInvolvedIndicator (Item 29b)	0	1	Simple																																		
SuspiciousActivityFromDateText (Item 30a)	1	1	Simple																																		
SuspiciousActivityToDateText (Item 30b)	0	1	Simple																																		
TotalSuspiciousAmountText (Item 29)	0	1	Simple																																		
SuspiciousActivityClassification (Items 32-42)	1	99	Complex																																		
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td>Name</td><td>Description</td></tr></table>					Name	Description																														
Name	Description																																				

Element Name:	SuspiciousActivity	minOccurs:	1	maxOccurs:	1
	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.			
Parent Element:	Activity				
Element Restriction(s):	Required. This element must be recorded.				
Value Restriction(s):	n/a				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded. • The element is missing a "SeqNum" attribute. • The element contains a "SeqNum" attribute with a duplicate or invalid value.				
Example:	<pre><fc2:SuspiciousActivity SeqNum="123"> <fc2:SuspiciousActivityFromDateText>20171001 </fc2:SuspiciousActivityFromDateText> <fc2:SuspiciousActivityToDateText>20171030 </fc2:SuspiciousActivityToDateText> <fc2:TotalSuspiciousAmountText>20000 </fc2:TotalSuspiciousAmountText> <fc2:SuspiciousActivityClassification SeqNum="124"> <fc2:OtherSuspiciousActivityTypeText>other type of suspicious activity description</fc2:OtherSuspiciousActivityTypeText> <fc2:SuspiciousActivitySubtypeID>915 </fc2:SuspiciousActivitySubtypeID> <fc2:SuspiciousActivityTypeID>9 </fc2:SuspiciousActivityTypeID> </fc2:SuspiciousActivityClassification></pre>				

Element Name:	AmountUnknownIndicator	minOccurs:	0	maxOccurs:	1
Description:	Amount unknown (indicator). This element declares that the total dollar amount involved in the FinCEN SAR for the time period being reported is unknown. This element corresponds with the following item(s): • 29a. Amount involved in this report (unknown) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	SuspiciousActivity				
Element Restriction(s):	Record this element when the dollar amount involved in the FinCEN SAR being filed is unknown; otherwise, do not record this element. If unknown, provide an explanation as to why the dollar amount is unknown in narrative. If some dollar amounts are known while others are unknown, do not record the AmountUnknownIndicator element; instead, record the total of all known amounts in the TotalSuspiciousAmountText element and provide an explanation for the unknown amounts in the narrative.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "Amount unknown")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:AmountUnknownIndicator>Y</fc2:AmountUnknownIndicator>				

Element Name:	CumulativeTotalViolationAmountText	minOccurs:	0	maxOccurs:	1
Description:	Cumulative amount (amount). This element identifies the cumulative amount (in whole U.S. dollars) involved in the suspicious activity. The cumulative amount represents the total amount involved in all FinCEN SARs filed on the suspicious activity, including the current FinCEN SAR being filed. This element corresponds with the following item(s): • 31. Cumulative amount (only if continuing activity report is indicated) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				

Element Name:	CumulativeTotalViolationAmountText	minOccurs:	0	maxOccurs:	1
Parent Element:	SuspiciousActivity				
Element Restriction(s):	Conditionally Required. Record the CumulativeTotalViolationAmountText element if the FinCEN SAR being filed is a continuing activity report (i.e. the ContinuingActivityReportIndicator element is recorded with a "Y" value); otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 1-15 numeric characters (without leading zeros) denominated in whole U.S. Dollars. If the cumulative dollar amount is unknown because all dollar amounts are unknown or no dollar amount is involved, enter zero ("0") and provide an explanation in the narrative. If some dollar amounts are known while others are unknown, enter the total of all known amounts and explain the nature of the unknown amounts in the narrative.				
Remarks:	The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: • The value recorded contains one or more non-numeric characters. • The element is not recorded or does not contain a value and continuing activity report is indicated. • The element is recorded with a value and continuing activity report is not indicated. • The amount recorded is less than the total amount recorded for <TotalSuspiciousAmountText>				
Example:	<fc2:CumulativeTotalViolationAmountText>30000</fc2:CumulativeTotalViolationAmountText>				

Element Name:	NoAmountInvolvedIndicator	minOccurs:	0	maxOccurs:	1
Description:	No amount involved (indicator). This element declares that there is no amount involved in the suspicious activity. This element corresponds with the following item(s): • 29b. No amount involved <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	SuspiciousActivity				
Element Restriction(s):	Record this element when there is no amount involved in the suspicious activity; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: "Y" (to indicate "No amount involved")				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The value recorded is not equal to "Y" or not equal to null.				
Example:	<fc2:NoAmountInvolvedIndicator>Y</fc2:NoAmountInvolvedIndicator>				

Element Name:	SuspiciousActivityFromDateText	minOccurs:	1	maxOccurs:	1
Description:	Date or start date of suspicious activity. This element identifies either the date on which the suspicious activity occurred (in the event that the suspicious activity occurred on a single day) or the earliest date of suspicious activity (in the event that that suspicious activity occurred on multiple days). This element corresponds with the following item(s): • 30a. Date or date range (from) of suspicious activity <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	SuspiciousActivity				
Element Restriction(s):	Required. This element must be recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: 8 numeric characters in the format YYYYMMDD where YYYY = year, MM = month, and DD = day. Single digit days or months must be prefaced by a zero. If the exact date(s) of the suspicious activity is (are) unknown, enter a date range that the filer believes will encompass the date(s) of the suspicious activity. Explain the nature of this date range in the narrative. If the FinCEN SAR involves continuing activity, enter only the date range covered by this FinCEN SAR. Record in the narrative the aggregated date range of all FinCEN SARs filed on the continuing suspicious activity.				

Element Name:	SuspiciousActivityFromDateText	minOccurs:	1	maxOccurs:	1
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value. - The value recorded for the element is not in the required format (YYYYMMDD). - The value recorded is greater than the date recorded for <SuspiciousActivityToDateText>.				
Example:	<fc2:SuspiciousActivityFromDateText>20171001</fc2:SuspiciousActivityFromDateText>				

Element Name:	SuspiciousActivityToDateText	minOccurs:	0	maxOccurs:	1
Description:	End date of suspicious activity (when different from the start date). This element identifies the most-recent date of suspicious activity (in the event that that suspicious activity occurred on multiple days). This element corresponds with the following item(s): 30b. Date range (to) of suspicious activity <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	SuspiciousActivity				
Element Restriction(s):	Record this element when the suspicious activity occurred on multiple days (in which case this element will record the most-recent date of suspicious activity); otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 8 numeric characters in the format YYYYMMDD where YYYY = year, MM = month, and DD = day. Single digit days or months must be prefaced by a zero. If the exact date(s) of the suspicious activity is (are) unknown, enter a date range that the filer believes will encompass the date(s) of the suspicious activity. Explain the nature of this date range in the narrative. If the FinCEN SAR involves continuing activity, enter only the date range covered by this FinCEN SAR. Record in the narrative the aggregated date range of all FinCEN SARs filed on the continuing suspicious activity.				
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: The value recorded for the element is not in the required format (YYYYMMDD).				
Example:	<fc2:SuspiciousActivityToDateText>20171030</fc2:SuspiciousActivityToDateText>				

Element Name:	TotalSuspiciousAmountText	minOccurs:	0	maxOccurs:	1
Description:	Total amount involved (amount). This element identifies the total amount (in whole U.S. dollars) involved in the suspicious activity for the time period of the report. This element corresponds with the following item(s): 29. Amount involved in this report <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	SuspiciousActivity				
Element Restriction(s):	Record this element when there is an amount involved in the FinCEN SAR and some or all of the dollar amounts are known. Otherwise, do not record this element and instead, record either the AmountUnknownIndicator element with a "Y" value if the entire amount is unknown, or the NoAmountInvolvedIndicator element with a "Y" value if there is no amount involved in the FinCEN SAR. If some dollar amounts are known while others are unknown, do not record the AmountUnknownIndicator element; instead, record the total of all known amounts in the TotalSuspiciousAmountText element and provide an explanation for the unknown amounts in the narrative.				
Value Restriction(s):	The value provided must adhere to the following requirements: 1-15 numeric characters (without leading zeros) denominated in whole U.S. Dollars.				
Remarks:	The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: - The value recorded contains one or more non-numeric characters. - The element is not recorded or does not contain a value and unknown or no amount involved is not indicated. - The element is recorded with a value and unknown or no amount involved is indicated.				

Element Name:	TotalSuspiciousAmountText	minOccurs:	0	maxOccurs:	1
Example:	<fc2:TotalSuspiciousAmountText>20000</fc2:TotalSuspiciousAmountText>				

Element Name:	SuspiciousActivityClassification	See <i>SuspiciousActivityClassification Elements (below)</i> for details.			
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4.7.1. SuspiciousActivityClassification Elements

Element Name:	SuspiciousActivityClassification	minOccurs:	1	maxOccurs:	99																
Description:	Suspicious activity classification (header). This element is the container for information about the specific type of suspicious activity. The following sub-element is associated with this element: <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>OtherSuspiciousActivityTypeText</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>SuspiciousActivitySubtypeID</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>SuspiciousActivityTypeID</td><td>1</td><td>1</td><td>Simple</td></tr></table> This element corresponds with the following item(s): • 32. Structuring (32a – 32e, 32z) • 33. Terrorist financing (33a, 33z) • 34. Fraud (34a – 34m, 34z) • 35. Gaming activities (35a – 35d, 35z) • 36. Money Laundering (36a – 36m, 36z) • 37. Identification/Documentation (37a – 37f, 37z) • 38. Other suspicious activities (38a – 38s, 38z) • 39. Insurance (39a – 39f, 39z) • 40. Securities/Futures/Options (40a – 40e, 40z) • 41. Mortgage fraud (41a – 41e, 41z) • 42. Cyber event (42a – 42b, 42z) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>									OtherSuspiciousActivityTypeText	0	1	Simple	SuspiciousActivitySubtypeID	1	1	Simple	SuspiciousActivityTypeID	1	1	Simple
OtherSuspiciousActivityTypeText	0	1	Simple																		
SuspiciousActivitySubtypeID	1	1	Simple																		
SuspiciousActivityTypeID	1	1	Simple																		
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td></td><td></td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>							SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.												
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																				
Parent Element:	SuspiciousActivity																				
Element Restriction(s):	Required. This element must be recorded.																				
Value Restriction(s):	n/a																				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded. • The element is missing a “SeqNum” attribute. • The element contains a “SeqNum” attribute with a duplicate or invalid value.																				
Example:	<fc2:SuspiciousActivityClassification SeqNum="125"> <fc2:SuspiciousActivitySubtypeID>806</fc2:SuspiciousActivitySubtypeID> <fc2:SuspiciousActivityTypeID>8</fc2:SuspiciousActivityTypeID> </fc2:SuspiciousActivityClassification>																				

Element Name:	OtherSuspiciousActivityTypeText	minOccurs:	0	maxOccurs:	1
Description:	Suspicious activity other (description). This element identifies the other description of the suspicious activity in the event that a type/category of activity applies (i.e. Structuring, Terrorist financing, etc.) but none of the subtype options apply. This element corresponds with the following item(s): 32z - 42z. Other description of the suspicious activity subtype <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	SuspiciousActivityClassification				
Element Restriction(s):	Conditionally Required. Record this element when the type of suspicious activity is recorded as "Other" (i.e. <SuspiciousActivitySubtypeID> contains any of the following codes: 1999,3999,4999,5999,6999,7999,8999,9999,10999,11999,12999); otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 50 characters or less				
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The element is not recorded or does not contain a value and the subtype of suspicious activity is equal to Other. - The element is recorded with a value but the subtype of suspicious activity is not equal to Other.				
Example:	<fc2:OtherSuspiciousActivityTypeText>other type of suspicious activity description</fc2:OtherSuspiciousActivityTypeText>				

Element Name:	SuspiciousActivitySubtypeID	minOccurs:	1	maxOccurs:	1								
Description:	Suspicious activity subtype (code). This element identifies the suspicious activity subtype, such as the specific type of structuring or specific type of gaming activity. This element corresponds with the <u>subtype</u> options associated with the following item(s): • 32. Structuring (32a – 32e, 32z) • 33. Terrorist financing (33a, 33z) • 34. Fraud (34a – 34m, 34z) • 35. Gaming activities (35a – 35d, 35z) • 36. Money Laundering (36a – 36m, 36z) • 37. Identification/Documentation (37a – 37f, 37z) • 38. Other suspicious activities (38a – 38s, 38z) • 39. Insurance (39a – 39f, 39z) • 40. Securities/Futures/Options (40a – 40e, 40z) • 41. Mortgage fraud (41a – 41e, 41z) • 42. Cyber event (42a – 42b, 42z) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>												
Attribute(s)	n/a												
Parent Element:	SuspiciousActivityClassification												
Element Restriction(s):	Required. This element must be recorded.												
Value Restriction(s):	The value provided must adhere to the following requirements: • Record the subtype code from the lists below to identify the specific suspicious activity subtype for the following: ○ Structuring (1)												
	<table><tr><th>Code</th><th>Description</th></tr><tr><td>111</td><td>Alters or cancels transaction to avoid BSA recordkeeping requirement</td></tr><tr><td>112</td><td>Alters or cancels transaction to avoid CTR requirement</td></tr><tr><td>106</td><td>Suspicious inquiry by customer regarding BSA reporting or recordkeeping requirements</td></tr></table>	Code	Description	111	Alters or cancels transaction to avoid BSA recordkeeping requirement	112	Alters or cancels transaction to avoid CTR requirement	106	Suspicious inquiry by customer regarding BSA reporting or recordkeeping requirements				
Code	Description												
111	Alters or cancels transaction to avoid BSA recordkeeping requirement												
112	Alters or cancels transaction to avoid CTR requirement												
106	Suspicious inquiry by customer regarding BSA reporting or recordkeeping requirements												

Element Name:	SuspiciousActivitySubtypeID	minOccurs:	1	maxOccurs:	1
	113	Transaction(s) below BSA recordkeeping threshold			
	114	Transaction(s) below CTR threshold			
	1999	Other			
	○ Terrorist financing (7)				
	701	Known or suspected terrorist/terrorist organization			
	7999	Other			
	○ Fraud (3)				
	320	ACH			
	322	Advance fee			
	321	Business loan			
	301	Check			
	304	Consumer Loan			
	305	Credit/Debit Card			
	323	Healthcare/Public or private health insurance			
	308	Mail			
	309	Mass-marketing			
	324	Ponzi scheme			
	310	Pyramid scheme			
	325	Securities fraud			
	312	Wire transfer			
	3999	Other			
	○ Gaming activities (12)				
	1201	Chip walking			
	1202	Minimal gaming with large transactions			
	1203	Suspicious use of counter checks or markers			
	1204	Unknown source of chips			
	12999	Other			
	○ Money Laundering (8)				
	Code	Description			
	801	Exchanges small bills for large bills or vice versa			
	824	Funnel account			
	820	Suspicious concerning the physical condition of funds			

Element Name:	SuspiciousActivitySubtypeID	minOccurs:	1	maxOccurs:	1
	821	Suspicious concerning the source of funds			
	804	Suspicious designation of beneficiaries, assignees or joint owners			
	805	Suspicious EFT/wire transfers			
	822	Suspicious exchange of currencies			
	806	Suspicious receipt of government payments/benefits			
	807	Suspicious use of multiple accounts			
	808	Suspicious use of noncash monetary instruments			
	809	Suspicious use of third-party transactions (straw-man)			
	823	Trade Based Money Laundering/Black Market Peso Exchange			
	812	Transaction out of pattern for customer(s)			
	8999	Other			
○ Identification / Documentation (4)					
401	Changes spelling or arrangement of name				
402	Multiple individuals with same or similar identities				
403	Provided questionable or false documentation				
409	Provided questionable or false identification				
404	Refused or avoided request for documentation				
405	Single individual with multiple identities				
4999	Other				
○ Other suspicious activities (9)					
Code	Description				
920	Account takeover				
901	Bribery or gratuity				
917	Counterfeit Instrument (other)				
921	Elder financial exploitation				
903	Embezzlement/theft/disappearance of funds				
904	Forgeries				
926	Human smuggling				
927	Human trafficking				
905	Identity theft				
922	Little or no concern for product performance penalties, fees, or tax consequences				
924	Misuse of position or self-dealing				
907	Suspected public/private corruption (domestic)				
908	Suspected public/private corruption (foreign)				
909	Suspicious use of informal value transfer system				
910	Suspicious use of multiple locations				
925	Transaction with no apparent economic, business, or lawful purpose				

Element Name:	SuspiciousActivitySubtypeID	minOccurs:	1	maxOccurs:	1
	928	Transaction(s) involving foreign high risk jurisdiction			
	911	Two or more individuals working together			
	913	Unlicensed or unregistered MSB			
	9999	Other			
	○ Insurance (5)				
	501	Excessive insurance			
	502	Excessive or unusual cash borrowing against policy/annuity			
	504	Proceeds sent to unrelated third party			
	505	Suspicious life settlement sales insurance (e.g., STOLI's, Viaticals)			
	506	Suspicious termination of policy or contract			
	507	Unclear or no insurable interest			
	5999	Other			
	○ Securities/Futures/Options (6)				
	601	Insider trading			
	608	Market manipulation			
	603	Misappropriation			
	604	Unauthorized pooling			
	609	Wash trading			
	6999	Other			
	○ Mortgage fraud (10)				
	1005	Application fraud			
	1001	Appraisal fraud			
	1006	Foreclosure/Short sale fraud			
	1003	Loan Modification fraud			
	1007	Origination fraud			
	10999	Other			
	○ Cyber event (11)				
	1101	Against financial institution(s)			
	1102	Against financial institution customer(s)			
	11999	Other			
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true:				

Element Name:	SuspiciousActivitySubtypeID	minOccurs:	1	maxOccurs:	1
	- The element is not recorded. - The element is recorded but without a value (i.e. the value is null). - The element contains a value not equal to one of the approved codes listed above. - The element contains a value that is not appropriate for the type of suspicious activity recorded. - The element contains a value that has already been recorded for the Activity.				
Example:	<fc2:SuspiciousActivitySubtypeID>601</fc2:SuspiciousActivitySubtypeID>				

Element Name:	SuspiciousActivityTypeID	minOccurs:	1	maxOccurs:	1																								
Description:	Suspicious activity type (code). This element identifies the type/category of suspicious activity, such as Structuring, Terrorist financing, Fraud, etc. This element corresponds with the following item(s): 32. Structuring 33. Terrorist financing 34. Fraud 35. Gaming activities 36. Money Laundering 37. Identification/Documentation 38. Other suspicious activities 39. Insurance 40. Securities/Futures/Options 41. Mortgage fraud 42. Cyber event <i>Please refer to Attachment C for additional information regarding the above item(s).</i>																												
Attribute(s)	n/a																												
Parent Element:	SuspiciousActivityClassification																												
Element Restriction(s):	Required. This element must be recorded.																												
Value Restriction(s):	The value provided must adhere to the following requirements: Record the type code from the list below to identify the specific suspicious activity type: <table><tr><th></th><th></th></tr><tr><td>1</td><td>Structuring</td></tr><tr><td>7</td><td>Terrorist financing</td></tr><tr><td>3</td><td>Fraud</td></tr><tr><td>12</td><td>Gaming activities</td></tr><tr><td>8</td><td>Money Laundering</td></tr><tr><td>4</td><td>Identification / Documentation</td></tr><tr><td>9</td><td>Other suspicious activities</td></tr><tr><td>5</td><td>Insurance</td></tr><tr><td>6</td><td>Securities/Futures/Options</td></tr><tr><td>10</td><td>Mortgage fraud</td></tr><tr><td>11</td><td>Cyber event</td></tr></table>							1	Structuring	7	Terrorist financing	3	Fraud	12	Gaming activities	8	Money Laundering	4	Identification / Documentation	9	Other suspicious activities	5	Insurance	6	Securities/Futures/Options	10	Mortgage fraud	11	Cyber event
1	Structuring																												
7	Terrorist financing																												
3	Fraud																												
12	Gaming activities																												
8	Money Laundering																												
4	Identification / Documentation																												
9	Other suspicious activities																												
5	Insurance																												
6	Securities/Futures/Options																												
10	Mortgage fraud																												
11	Cyber event																												
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded. - The element is recorded but without a value (i.e. the value is null). - The element contains a value not equal to one of the approved codes listed above.																												
Example:	<fc2:SuspiciousActivityTypeID>6</fc2:SuspiciousActivityTypeID>																												

4.8. ActivityIPAddress Elements

Element Name:	Activity\IPAddress	minOccurs:	0	maxOccurs:	99																
Description:	IP Address (header). This element is the container for information about IP address involved in the suspicious activity. An explanation of the IP address must be recorded in the narrative as well. The following sub-element is associated with this element: <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>Activity\IPAddressDateText</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>Activity\IPAddressTimeStampText</td><td>0</td><td>1</td><td>Simple</td></tr><tr><td>IPAddressText</td><td>1</td><td>1</td><td>Simple</td></tr></table> This element corresponds with the following item(s): 43. IP Address (if available) 43a. Date (YYYYMMDD) 43b. Timestamp (UCT) (HH:MM:SS) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>									Activity\IPAddressDateText	0	1	Simple	Activity\IPAddressTimeStampText	0	1	Simple	IPAddressText	1	1	Simple
Activity\IPAddressDateText	0	1	Simple																		
Activity\IPAddressTimeStampText	0	1	Simple																		
IPAddressText	1	1	Simple																		
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td></td><td></td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>							SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.												
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																				
Parent Element:	Activity																				
Element Restriction(s):	Record this element when the IP address of the subject’s electronic internet based contact with the financial institution is known; otherwise, do not record this element. If reporting an IP address in connection with a cyber-event, do not record this element; instead, record the IP address within the <CyberEventIndicators> section.																				
Value Restriction(s):	n/a																				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is missing a “SeqNum” attribute. - The element contains a “SeqNum” attribute with a duplicate or invalid value.																				
Example:	<fc2:Activity\IPAddress SeqNum="126"> <fc2:Activity\IPAddressDateText>20171101</fc2:Activity\IPAddressDateText> <fc2:Activity\IPAddressTimeStampText/> <fc2:IPAddressText>166.123.216.61</fc2:IPAddressText> </fc2:Activity\IPAddress>																				

Element Name:	ActivityIPAddressDateText	minOccurs:	0	maxOccurs:	1
Description:	IP address (date). This element identifies the date of the activity associated with the reported IP address. This element corresponds with the following item(s): 43a. IP Address (Date) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	ActivityIPAddress				
Element Restriction(s):	Record this element to identify the date of the first instance of the reported IP Address (if known); otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 8 numeric characters in the format YYYYMMDD where YYYY = year, MM = month, and DD = day. Single digit days or months must be prefaced by a zero.				

Element Name:	ActivityIPAddressDateText	minOccurs:	0	maxOccurs:	1
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: The value recorded for the element is not in the required format (YYYYMMDD).				
Example:	<fc2:ActivityIPAddressDateText>20171101</fc2:ActivityIPAddressDateText>				

Element Name:	ActivityIPAddressTimeStampText	minOccurs:	0	maxOccurs:	1
Description:	IP address (timestamp). This element identifies the UTC time of the first instance of the reported IP address. This element corresponds with the following item(s): 43b. IP Address (Timestamp) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	ActivityIPAddress				
Element Restriction(s):	Record this element to identify the Coordinated Universal Time (UCT) associated with the first instance of the reported IP Address (if known); otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: UCT time must be in the format "HH:MM:SS" where HH = hour (00-23), MM = minutes (00-59), and SS = second (00-59). Single digit times must be prefaced by a zero.				
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: The value recorded for the element is not in the required format (HH:MM:SS).				
Example:	<fc2:ActivityIPAddressTimeStampText>05:13:55</fc2:ActivityIPAddressTimeStampText>				

Element Name:	IPAddressText	minOccurs:	1	maxOccurs:	1
Description:	IP address (text). This element identifies the IP address of the subject's electronic internet based contact with the financial institution. example, this may be the IP address used to log into the institution's online banking page or the IP address used to access an institution's mobile application. This element corresponds with the following item(s): 43. IP Address (if available) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	ActivityIPAddress				
Element Restriction(s):	Required. This element must be recorded if the parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: If the IP address is IPv4, use a variation of the format nnn.nnn.nnn.nnn (n = number) with periods between the segments. First set of numbers must be values between 1-255 (inclusive); second, third and fourth set of numbers must be values between 0-255 (inclusive). If the IP address is IPv6, use a variation of the format cccc:cccc:cccc:cccc:cccc:cccc:cccc:cccc (c = character, IPv6 is alphanumeric in some segments) with colons between the segments.				
Remarks:	The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: The value recorded for the element is not in the required format (see Value Restrictions for format requirements).				
Example:	<fc2:IPAddressText>166.123.216.61</fc2:IPAddressText>				

4.9. CyberEventIndicators Elements

Element Name:	CyberEventIndicators	minOccurs:	0	maxOccurs:	99
Description:	Cyber Event (header). This element is the container for information about cyber event involved in the suspicious activity. An explanation of the cyber event must be recorded in the narrative as well.				

Element Name:	CyberEventIndicators	minOccurs:	0	maxOccurs:	99
	The following sub-element is associated with this element:				
	CyberEventDateText	0	1	Simple	
	CyberEventIndicatorsTypeCode	1	1	Simple	
	CyberEventTimeStampText	0	1	Simple	
	CyberEventTypeOtherText	0	1	Simple	
	EventValueText	1	1	Simple	
	This element corresponds with the following item(s):				
	44. Cyber Event Indicators (44a-j, z)				
	<i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	The following attributes must be recorded for this element:				
	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.			
Parent Element:	Activity				
Element Restriction(s):	Record this element when the suspicious activity involves one or more types of cyber events; otherwise, do not record this element.				
Value Restriction(s):	n/a				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value.				
Example:	<fc2:CyberEventIndicators SeqNum="128"> <fc2:CyberEventDateText>20171101</fc2:CyberEventDateText> <fc2:CyberEventIndicatorsTypeCode>1</fc2:CyberEventIndicatorsTypeCode> <fc2:CyberEventTimeStampText>11:05:45</fc2:CyberEventTimeStampText> <fc2:EventValueText>166.123.216.61</fc2:EventValueText> </fc2:CyberEventIndicators>				

Element Name:	CyberEventDateText	minOccurs:	0	maxOccurs:	1
Description:	Cyber event (date). This element identifies the date of the first instance of the reported cyber event, specifically, when reporting a Command and Control IP address or Suspicious IP Address. This element corresponds with the following item(s): 44a2. Date associated with Command and Control IP Address 44h2. Date associated with Suspicious IP Address <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	CyberEventIndicators				
Element Restriction(s):	Record this element to identify the date associated with the following cyber events (if known); otherwise, do not record this element: - Command and Control IP Address - Suspicious IP Address				
Value Restriction(s):	The value provided must adhere to the following requirements: 8 numeric characters in the format YYYYMMDD where YYYY = year, MM = month, and DD = day. Single digit days or months must be prefaced by a zero.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true:				

Element Name:	CyberEventDateText	minOccurs:	0	maxOccurs:	1
	- The element is recorded for a cyber event type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The value recorded for the element is not in the required format (YYYYMMDD).				
Example:	<fc2:CyberEventDateText>20171101</fc2:CyberEventDateText>				

Element Name:	CyberEventIndicatorsTypeCode	minOccurs:	1	maxOccurs:	1																								
Description:	Cyber event indicator type (code). This element identifies the cyber event indicator type. This element corresponds with the following item(s): 44a-j, z. Cyber Event Indicator <i>Please refer to Attachment C for additional information regarding the above item(s).</i>																												
Attribute(s)	n/a																												
Parent Element:	CyberEventIndicators																												
Element Restriction(s):	Required. This element must be recorded if the parent element is recorded.																												
Value Restriction(s):	The value provided must adhere to the following requirements: Record the type of cyber event indicator from the list below: <table><tr><td></td><td></td></tr><tr><td>1</td><td>Command and control IP address</td></tr><tr><td>2</td><td>Command and control URL/domain</td></tr><tr><td>3</td><td>Malware MD5, Malware SHA-1, or Malware SHA-256</td></tr><tr><td>4</td><td>Media Access Control (MAC) Address</td></tr><tr><td>5</td><td>Port</td></tr><tr><td>6</td><td>Suspicious e-mail address</td></tr><tr><td>7</td><td>Suspicious file name</td></tr><tr><td>8</td><td>Suspicious IP address</td></tr><tr><td>9</td><td>Suspicious URL/domain</td></tr><tr><td>10</td><td>Targeted system</td></tr><tr><td>999</td><td>Other</td></tr></table>							1	Command and control IP address	2	Command and control URL/domain	3	Malware MD5, Malware SHA-1, or Malware SHA-256	4	Media Access Control (MAC) Address	5	Port	6	Suspicious e-mail address	7	Suspicious file name	8	Suspicious IP address	9	Suspicious URL/domain	10	Targeted system	999	Other
1	Command and control IP address																												
2	Command and control URL/domain																												
3	Malware MD5, Malware SHA-1, or Malware SHA-256																												
4	Media Access Control (MAC) Address																												
5	Port																												
6	Suspicious e-mail address																												
7	Suspicious file name																												
8	Suspicious IP address																												
9	Suspicious URL/domain																												
10	Targeted system																												
999	Other																												
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded or does not contain a value. - The value recorded is invalid.																												
Example:	<fc2:CyberEventIndicatorsTypeCode>1</fc2:CyberEventIndicatorsTypeCode>																												

Element Name:	CyberEventTimeStampText	minOccurs:	0	maxOccurs:	1
Description:	Cyber event (timestamp). This element identifies the UTC time of the first instance of the reported cyber event, specifically, when reporting a Command and Control IP address or Suspicious IP Address. This element corresponds with the following item(s): 44a2. Timestamp associated with Command and Control IP Address 44h2. Timestamp associated with Suspicious IP Address <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	CyberEventIndicators				

Element Name:	CyberEventTimeStampText	minOccurs:	0	maxOccurs:	1
Element Restriction(s):	Record this element to identify the Coordinated Universal Time (UCT) associated with the first instance of the following cyber events (if known); otherwise, do not record this element: - Command and Control IP Address - Suspicious IP Address				
Value Restriction(s):	The value provided must adhere to the following requirements: UCT time must be in the format "HH:MM:SS" where HH = hour (00-23), MM = minutes (00-59), and SS = second (00-59). Single digit times must be prefaced by a zero.				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is recorded for a cyber event type that is not applicable to this data (see Element Restrictions for more information). The batch submission will be <u>accepted with warning</u> if any of the following conditions are true: - The value recorded for the element is not in the required format (HH:MM:SS).				
Example:	<fc2:CyberEventTimeStampText> 11:05:45 </fc2:CyberEventTimeStampText>				

Element Name:	CyberEventTypeOtherText	minOccurs:	0	maxOccurs:	1
Description:	Cyber event other (description). This element identifies the description of the other type of reported cyber event. This element corresponds with the following item(s): 44z2. Text description of other value <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	CyberEventIndicators				
Element Restriction(s):	Conditionally Required. Record this element when the type of cyber event is recorded as "Other" (i.e. <CyberEventIndicatorsTypeCode> contains the value "11" code); otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 50 characters or less				
Remarks:	The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: - The element is not recorded or does not contain a value and the <CyberEventIndicatorsTypeCode> is equal to "11" Other. - The element is recorded with a value and the <CyberEventIndicatorsTypeCode> is not equal to "11" Other.				
Example:	<fc2:CyberEventTypeOtherText>Other description</fc2:CyberEventTypeOtherText>				

Element Name:	EventValueText	minOccurs:	1	maxOccurs:	1
Description:	Cyber event (value). This element identifies the event value associated with the reported cyber event. This element corresponds with the following item(s): 44a-j, z. Cyber Event Indicator <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	CyberEventIndicators				
Element Restriction(s):	Required. This element must be recorded if the parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: 4000 characters or less; must be in the following format based on these specific types of cyber events: Command and Control/Suspicious IP Addresses: If the IP address is IPv4, use a variation of the format nnn.nnn.nnn.nnn (n = number) with periods between the segments. First set of numbers must be values between 1-255 (inclusive); second, third and fourth set of numbers must be values between 0-255 (inclusive). If the IP address is IPv6, use a variation of the format cccc:cccc:cccc:cccc:cccc:cccc:cccc:cccc (c = character, IPv6 is alphanumeric in some segments) with colons between the segments.				

Element Name:	EventValueText	minOccurs:	1	maxOccurs:	1
	- URL/Domain names: Must contain at least one period, no spaces, cannot begin or end with a dash. - Media Access Control (MAC) Addresses: Must be in the format XX:XX:XX:XX:XX:XX - Email Addresses: Must contain @ symbol and at least one period following the @ symbol.				
Remarks:	The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: - The element is not recorded or does not contain. - The value recorded is not valid based on the type of cyber event (see Value Restrictions for format requirements).				
Example:	<fc2:EventValueText> 166.123.216.61 </fc2:EventValueText>				

4.10. Assets Elements

Element Name:	Assets	minOccurs:	0	maxOccurs:	31																
Description:	Asset (header). This element is the container for information about asset involved in the suspicious activity, specifically the product type, instrument type, and/or payment mechanism. The following sub-elements are associated with this element: <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>AssetSubtypeID (Items 45a-t, z / 46a-i, z)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>AssetTypeID (Items 45, 46)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>OtherAssetSubtypeText (Items 45z, 46z)</td><td>0</td><td>1</td><td>Simple</td></tr></table> This element corresponds with the following item(s): 45. Product type(s) involved in suspicious activity (45a-t, z) 46. Instrument type(s)/payment mechanism(s) involved in suspicious activity (46a-l, z) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>									AssetSubtypeID (Items 45a-t, z / 46a-i, z)	1	1	Simple	AssetTypeID (Items 45, 46)	1	1	Simple	OtherAssetSubtypeText (Items 45z, 46z)	0	1	Simple
AssetSubtypeID (Items 45a-t, z / 46a-i, z)	1	1	Simple																		
AssetTypeID (Items 45, 46)	1	1	Simple																		
OtherAssetSubtypeText (Items 45z, 46z)	0	1	Simple																		
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td></td><td></td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>							SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.												
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																				
Parent Element:	Activity																				
Element Restriction(s):	Record this element when a product type, instrument type, and/or payment mechanism, was involved in the suspicious activity; otherwise, do not record this element. If multiple product/instrument types and/or payment mechanisms were involved in the suspicious activity, record a separate instance of this element to identify each one that applies. The following table describes the min/max number of occurrences this element may be recorded for item 45 (product type) and item 46 (instrument type/payment mechanism): <table><tr><td></td><td></td></tr><tr><td>Item 45. Product type (AssetTypeID=5)</td><td>0-21</td></tr><tr><td>Item 46. Instrument type/Payment mechanism (AssetTypeID=6)</td><td>0-10</td></tr><tr><td>Total</td><td>0-31</td></tr></table>							Item 45. Product type (AssetTypeID=5)	0-21	Item 46. Instrument type/Payment mechanism (AssetTypeID=6)	0-10	Total	0-31								
Item 45. Product type (AssetTypeID=5)	0-21																				
Item 46. Instrument type/Payment mechanism (AssetTypeID=6)	0-10																				
Total	0-31																				
Value Restriction(s):	n/a																				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value.																				

Element Name:	Assets	minOccurs:	0	maxOccurs:	31
Example:	<pre><fc2:Assets SeqNum="130"> <fc2:AssetSubtypeID>2</fc2:AssetSubtypeID> <fc2:AssetTypeID>5</fc2:AssetTypeID> </fc2:Assets></pre>				

Element Name:	AssetSubtypeID	minOccurs:	1	maxOccurs:	1																																																
Description:	Asset subtype (code). This element identifies the specific type of asset involved in the suspicious activity, such as Bonds/Notes if a product type is involved, or Bank/cashier's check if an instrument/payment mechanism is involved. This element corresponds with the following item(s): 45a-t, z. Product type(s) involved in suspicious activity 46a-i, z. Instrument type(s)/payment mechanism(s) involved in suspicious activity <i>Please refer to Attachment C for additional information regarding the above item(s).</i>																																																				
Attribute(s)	n/a																																																				
Parent Element:	Assets																																																				
Element Restriction(s):	Required. This element must be recorded if the parent element is recorded.																																																				
Value Restriction(s):	The value provided must adhere to the following requirements: - Item 45. Product type (AssetTypeID=5) <table><tr><td></td><td></td></tr><tr><td>2</td><td>Bonds/Notes</td></tr><tr><td>3</td><td>Commercial mortgage</td></tr><tr><td>4</td><td>Commercial paper</td></tr><tr><td>5</td><td>Credit card</td></tr><tr><td>6</td><td>Debit card</td></tr><tr><td>46</td><td>Deposit Account</td></tr><tr><td>7</td><td>Forex transactions</td></tr><tr><td>8</td><td>Futures/Options on futures</td></tr><tr><td>9</td><td>Hedge fund</td></tr><tr><td>11</td><td>Home equity line of credit</td></tr><tr><td>10</td><td>Home equity loan</td></tr><tr><td>12</td><td>Insurance/Annuity products</td></tr><tr><td>47</td><td>Microcap securities</td></tr><tr><td>13</td><td>Mutual fund</td></tr><tr><td>14</td><td>Options on securities</td></tr><tr><td>16</td><td>Prepaid access</td></tr><tr><td>17</td><td>Residential mortgage</td></tr><tr><td>18</td><td>Security futures products</td></tr><tr><td>19</td><td>Stocks</td></tr><tr><td>20</td><td>Swap, hybrid, or other derivative</td></tr><tr><td>30</td><td>Other</td></tr></table> - Item 46. Instrument type/Payment mechanism (AssetTypeID=6) <table><tr><td>Code</td><td>Description</td></tr><tr><td>31</td><td>Bank/Cashier's check</td></tr></table>							2	Bonds/Notes	3	Commercial mortgage	4	Commercial paper	5	Credit card	6	Debit card	46	Deposit Account	7	Forex transactions	8	Futures/Options on futures	9	Hedge fund	11	Home equity line of credit	10	Home equity loan	12	Insurance/Annuity products	47	Microcap securities	13	Mutual fund	14	Options on securities	16	Prepaid access	17	Residential mortgage	18	Security futures products	19	Stocks	20	Swap, hybrid, or other derivative	30	Other	Code	Description	31	Bank/Cashier's check
2	Bonds/Notes																																																				
3	Commercial mortgage																																																				
4	Commercial paper																																																				
5	Credit card																																																				
6	Debit card																																																				
46	Deposit Account																																																				
7	Forex transactions																																																				
8	Futures/Options on futures																																																				
9	Hedge fund																																																				
11	Home equity line of credit																																																				
10	Home equity loan																																																				
12	Insurance/Annuity products																																																				
47	Microcap securities																																																				
13	Mutual fund																																																				
14	Options on securities																																																				
16	Prepaid access																																																				
17	Residential mortgage																																																				
18	Security futures products																																																				
19	Stocks																																																				
20	Swap, hybrid, or other derivative																																																				
30	Other																																																				
Code	Description																																																				
31	Bank/Cashier's check																																																				

Element Name:	AssetSubtypeID	minOccurs:	1	maxOccurs:	1																		
	<table><tr><td>32</td><td>Foreign currency</td></tr><tr><td>33</td><td>Funds transfer</td></tr><tr><td>34</td><td>Gaming instruments</td></tr><tr><td>35</td><td>Government payment</td></tr><tr><td>36</td><td>Money orders</td></tr><tr><td>37</td><td>Personal/Business check</td></tr><tr><td>38</td><td>Travelers checks</td></tr><tr><td>39</td><td>U.S. Currency</td></tr><tr><td>41</td><td>Other</td></tr></table>	32	Foreign currency	33	Funds transfer	34	Gaming instruments	35	Government payment	36	Money orders	37	Personal/Business check	38	Travelers checks	39	U.S. Currency	41	Other				
32	Foreign currency																						
33	Funds transfer																						
34	Gaming instruments																						
35	Government payment																						
36	Money orders																						
37	Personal/Business check																						
38	Travelers checks																						
39	U.S. Currency																						
41	Other																						
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded. • The element is recorded but without a value (i.e. the value is null). • The element contains a value not equal to one of the approved codes listed above. • The element contains a value that is not appropriate for the type of asset recorded. • The element contains a value that has already been recorded for the Activity.																						
Example:	<fc2:AssetSubtypeID>2</fc2:AssetSubtypeID>																						

Element Name:	AssetTypeID	minOccurs:	1	maxOccurs:	1						
Description:	Asset type (code). This element identifies the type/category of assets, specifically whether it is associated with a product type or instrument/payment mechanism. This element corresponds with the following item(s): • 45. Product type(s) involved in suspicious activity • 46. Instrument type(s)/payment mechanism(s) involved in suspicious activity <i>Please refer to Attachment C for additional information regarding the above item(s).</i>										
Attribute(s)	n/a										
Parent Element:	Assets										
Element Restriction(s):	Required. This element must be recorded if the parent element is recorded.										
Value Restriction(s):	The value provided must adhere to the following requirements: <table><tr><th>Code</th><th>Description</th></tr><tr><td>5</td><td>Product type(s) involved in suspicious activity</td></tr><tr><td>6</td><td>Instrument type(s)/payment mechanism(s) involved in suspicious activity</td></tr></table>					Code	Description	5	Product type(s) involved in suspicious activity	6	Instrument type(s)/payment mechanism(s) involved in suspicious activity
Code	Description										
5	Product type(s) involved in suspicious activity										
6	Instrument type(s)/payment mechanism(s) involved in suspicious activity										
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded. • The element is recorded but without a value (i.e. the value is null). • The element contains a value not equal to one of the approved codes listed above.										
Example:	<fc2:AssetTypeID>5</fc2:AssetTypeID>										

Element Name:	OtherAssetSubtypeText	minOccurs:	0	maxOccurs:	1
Description:	Asset other (description). This element identifies the description of the other type of reported asset subtype. This element corresponds with the following item(s): • 45z. Product type(s) (other description) • 46z. Instrument type(s)/payment mechanism(s) (other description) <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				

Element Name:	OtherAssetSubtypeText	minOccurs:	0	maxOccurs:	1
Attribute(s)	n/a				
Parent Element:	Assets				
Element Restriction(s):	Conditionally Required. Record this element to provide a description of the other product/instrument type/payment mechanism when the <AssetSubtypeID> element contains the values "30" or "41"; otherwise, do not record this element.				
Value Restriction(s):	The value provided must adhere to the following requirements: 50 characters or less.				
Remarks:	The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: - The element is not recorded or does not contain a value and Other is indicated for the <AssetSubtypeID> element. - The element is recorded with a value and Other is not indicated for the <AssetSubtypeID> element.				
Example:	<fc2:OtherAssetSubtypeText>other instrument type description</fc2:OtherAssetSubtypeText>				

4.11. AssetsAttribute Elements

Element Name:	AssetsAttribute	minOccurs:	0	maxOccurs:	396												
Description:	Asset Attribute (header). This element is the container for information about the asset attribute involved in the suspicious activity, whether it be a type of commodity, product/instrument, market where traded, and/or CUSIP number. The following sub-elements are associated with this element: <table><tr><td></td><td></td><td></td><td></td></tr><tr><td>AssetAttributeDescriptionText (Items 47-50)</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>AssetAttributeTypeID (Items 47-50)</td><td>1</td><td>1</td><td>Simple</td></tr></table> This element corresponds with the following item(s): • 47. Commodity type (if applicable) • 48. Product/Instrument description (if needed) • 49. Market where traded • 50. CUSIP number <i>Please refer to Attachment C for additional information regarding the above item(s).</i>									AssetAttributeDescriptionText (Items 47-50)	1	1	Simple	AssetAttributeTypeID (Items 47-50)	1	1	Simple
AssetAttributeDescriptionText (Items 47-50)	1	1	Simple														
AssetAttributeTypeID (Items 47-50)	1	1	Simple														
Attribute(s)	The following attributes must be recorded for this element: <table><tr><td></td><td></td></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>							SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.								
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																
Parent Element:	Activity																
Element Restriction(s):	Record this element when the suspicious activity involves any of the following: Commodity type, product/instrument, market where traded, and/or CUSIP number; otherwise, do not record this element. No more than 99 occurrences of each asset attribute type mentioned above may be recorded for the FinCEN SAR: <table><tr><td>Attribute types</td><td>min-max</td></tr><tr><td>Item 47. Commodity type (if applicable)</td><td>0-99</td></tr><tr><td>Item 48. Product/Instrument description (if needed)</td><td>0-99</td></tr><tr><td>Item 49. Market where traded</td><td>0-99</td></tr><tr><td>Item 50. CUSIP number</td><td>0-99</td></tr></table>					Attribute types	min-max	Item 47. Commodity type (if applicable)	0-99	Item 48. Product/Instrument description (if needed)	0-99	Item 49. Market where traded	0-99	Item 50. CUSIP number	0-99		
Attribute types	min-max																
Item 47. Commodity type (if applicable)	0-99																
Item 48. Product/Instrument description (if needed)	0-99																
Item 49. Market where traded	0-99																
Item 50. CUSIP number	0-99																

Element Name:	AssetsAttribute	minOccurs:	0	maxOccurs:	396
	Total				0-396
Value Restriction(s):	n/a				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is missing a "SeqNum" attribute. - The element contains a "SeqNum" attribute with a duplicate or invalid value.				
Example:	<pre><fc2:AssetsAttribute SeqNum="134"> <fc2:AssetAttributeDescriptionText>Commodity type description</fc2:AssetAttributeDescriptionText> <fc2:AssetAttributeTypeID>2</fc2:AssetAttributeTypeID> </fc2:AssetsAttribute></pre>				

Element Name:	AssetAttributeDescriptionText	minOccurs:	1	maxOccurs:	1
Description:	Asset attribute other (description). This element provides a description of the reported asset attribute involved in the suspicious activity. This element corresponds with the following item(s): 47. Commodity type (if applicable) 48. Product/Instrument description (if needed) 49. Market where traded 50. CUSIP number <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	AssetsAttribute				
Element Restriction(s):	Required. This element must be recorded if the parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: - Commodity type description: 50 characters or less - Instrument/Product description: 50 characters or less - Market where traded: 3-5 letter code for the market where a recorded commodity was traded. Use only the ISO 10383 Exchange/Market Identifier Codes (MIC) found at http://www.iso15022.org/MIC/homepageMIC.htm. - CUSIP Number: 12 characters or less to identify the CUSIP number of a recorded securities product (such as stocks and bonds) involved in the suspicious.				
Remarks:	The batch submission will be <u>accepted with warnings</u> if any of the following conditions are true: - The element is not recorded or the element is recorded but with no value. - The value recorded is not valid based on the type of asset attribute (see Value Restrictions for format requirements).				
Example:	<fc2:AssetAttributeDescriptionText>Commodity type description</fc2:AssetAttributeDescriptionText>				

Element Name:	AssetAttributeTypeID	minOccurs:	1	maxOccurs:	1
Description:	Asset attribute type (code). This element identifies the type/category of asset attribute, specifically whether it is a type of commodity, product/instrument, market where traded, or CUSIP number. This element corresponds with the following item(s): 47. Commodity type (if applicable) 48. Product/Instrument description (if needed) 49. Market where traded 50. CUSIP number <i>Please refer to Attachment C for additional information regarding the above item(s).</i>				
Attribute(s)	n/a				
Parent Element:	AssetsAttribute				

Element Name:	AssetAttributeTypeID	minOccurs:	1	maxOccurs:	1										
Element Restriction(s):	Required. This element must be recorded if the parent element is recorded.														
Value Restriction(s):	The value provided must adhere to the following requirements: <table><tr><th>Code</th><th>Description</th></tr><tr><td>2</td><td>Commodity type</td></tr><tr><td>3</td><td>Product/Instrument type</td></tr><tr><td>4</td><td>Market where traded</td></tr><tr><td>1</td><td>CUSIP number</td></tr></table>					Code	Description	2	Commodity type	3	Product/Instrument type	4	Market where traded	1	CUSIP number
Code	Description														
2	Commodity type														
3	Product/Instrument type														
4	Market where traded														
1	CUSIP number														
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded. • The element is recorded but without a value (i.e. the value is null). • The element contains a value not equal to one of the approved codes listed above.														
Example:	<fc2:AssetAttributeTypeID>2</fc2:AssetAttributeTypeID>														

4.12. ActivityNarrativeInformation Elements

Element Name:	ActivityNarrativeInformation	minOccurs:	1	maxOccurs:	5												
Description:	Narrative (header). This element is the container for information about narrative description associated with the FinCEN SAR. The following sub-elements are associated with this element: <table><tr><th>Name</th><th>minOccurs</th><th>maxOccurs</th><th>Category</th></tr><tr><td>ActivityNarrativeSequenceNumber</td><td>1</td><td>1</td><td>Simple</td></tr><tr><td>ActivityNarrativeText</td><td>1</td><td>1</td><td>Simple</td></tr></table> This element corresponds with the following item(s): Part V. Suspicious Activity Report – Narrative <i>Please refer to Attachment C for additional information regarding the above item(s).</i>					Name	minOccurs	maxOccurs	Category	ActivityNarrativeSequenceNumber	1	1	Simple	ActivityNarrativeText	1	1	Simple
Name	minOccurs	maxOccurs	Category														
ActivityNarrativeSequenceNumber	1	1	Simple														
ActivityNarrativeText	1	1	Simple														
Attribute(s)	The following attributes must be recorded for this element: <table><tr><th>Name</th><th>Description</th></tr><tr><td>SeqNum</td><td>The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.</td></tr></table>					Name	Description	SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.								
Name	Description																
SeqNum	The value recorded for this attribute must be numeric and unique. It may contain any numeric value up to 19 characters in length.																
Parent Element:	Activity																
Element Restriction(s):	Required. This element must be recorded.																
Value Restriction(s):	n/a																
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: - The element is not recorded. - The element is missing a “SeqNum” attribute. - The element contains a “SeqNum” attribute with a duplicate or invalid value.																
Example:	<pre><fc2:ActivityNarrativeInformation SeqNum="136"> <fc2:ActivityNarrativeSequenceNumber>1</fc2:ActivityNarrativeSequenceNumber> <fc2:ActivityNarrativeText>Text narrative text</fc2:ActivityNarrativeText> </fc2:ActivityNarrativeInformation></pre>																

Element Name:	ActivityNarrativeSequenceNumber	minOccurs:	1	maxOccurs:	1												
Description:	Narrative (sequence number). This element identifies the sequence in which the narrative text should be constructed in the event that multiple ActivityNarrativeInformation element blocks are needed to record the entire narrative. For example, if the narrative text is 5,000 characters in length, there should be two instances of the ActivityNarrativeInformation element block, where the first instance contains ActivityNarrativeSequenceNumber ">1<" followed by the first 4,000 characters of the narrative description in the ActivityNarrativeText element; in order to record the remaining 1,000 characters of the narrative description, a second instance of the ActivityNarrativeInformation element block should be recorded where the ActivityNarrativeSequenceNumber is ">2<" followed by the remaining 1,000 characters of the narrative description in the ActivityNarrativeText element.																
Attribute(s)	n/a																
Parent Element:	ActivityNarrativeInformation																
Element Restriction(s):	Required. This element must be recorded when the parent element is recorded.																
Value Restriction(s):	The value provided must adhere to the following requirements: <table><tr><th>Code</th><th>Description</th></tr><tr><td>1</td><td>First block of narrative text (character set 1-4000)</td></tr><tr><td>2</td><td>Second block of narrative text (character set 4001-8000, if needed)</td></tr><tr><td>3</td><td>Third block of narrative text (character set 8001-12000, if needed)</td></tr><tr><td>4</td><td>Fourth block of narrative text (character set 12001-16000, if needed)</td></tr><tr><td>5</td><td>Fifth block of narrative text (character set 16001-20000, if needed)</td></tr></table>					Code	Description	1	First block of narrative text (character set 1-4000)	2	Second block of narrative text (character set 4001-8000, if needed)	3	Third block of narrative text (character set 8001-12000, if needed)	4	Fourth block of narrative text (character set 12001-16000, if needed)	5	Fifth block of narrative text (character set 16001-20000, if needed)
Code	Description																
1	First block of narrative text (character set 1-4000)																
2	Second block of narrative text (character set 4001-8000, if needed)																
3	Third block of narrative text (character set 8001-12000, if needed)																
4	Fourth block of narrative text (character set 12001-16000, if needed)																
5	Fifth block of narrative text (character set 16001-20000, if needed)																
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: • The element is not recorded or does not contain a value. • The value recorded is not equal to a valid code. • The element contains a value that has already been recorded for the Activity.																
Example:	<fc2:ActivityNarrativeSequenceNumber> 1 </fc2:ActivityNarrativeSequenceNumber>																

Element Name:	ActivityNarrativeText	minOccurs:	1	maxOccurs:	1
Description:	Narrative (description). This element records the narrative description associated with the suspicious activity. The narrative must provide a clear, complete, and concise description of the activity, including what was unusual or irregular that caused suspicion. This description should include data from Parts I through III only when that data are necessary for a complete understanding of the suspicious activity. Filers should include any other information necessary to explain the nature and circumstances of the suspicious activity				
Attribute(s)	n/a				
Parent Element:	ActivityNarrativeInformation				
Element Restriction(s):	Required. This element must be recorded when the parent element is recorded.				
Value Restriction(s):	The value provided must adhere to the following requirements: 4000 characters or less				
Remarks:	The batch submission will be <u>rejected</u> if any of the following conditions are true: The element is not recorded or does not contain a value.				
Example:	<fc2:ActivityNarrativeText>Text narrative text</fc2:ActivityNarrativeText>				

5. Party Elements by Party Type

The <Party> element is comprised of various elements and sub-elements that apply to specific party types (i.e. Transmitter, financial institution where activity occurred, etc.). The chart below describes at a high level the party elements that apply to each party type.

Activity party type code definitions										
35 = Transmitter 37 = Transmitter Contact 30 = Filing Institution 8 = Contact Office 18 = LE Contact Agency 19 = LE Contact Name 34 = Financial Institution Where Activity Occurred 46 = Branch Where Activity Occurred 33 = Subject 41 = Financial Institution Where Account is Held										
Element name	35	37	30	8	18	19	34	46	33	41
<Party SeqNum="">	•	•	•	•	•	•	•		•	
<ActivityPartyTypeCode/>	•	•	•	•	•	•	•		•	
<AdmissionConfessionNoIndicator/>									•	
<AdmissionConfessionYesIndicator/>									•	
<AllCriticalSubjectInformationUnavailableIndicator/>									•	
<BirthDateUnknownIndicator/>									•	
<BothPurchaserSenderPayeeReceiveIndicator/>									•	
<ContactDateText/>						•				
<FemaleGenderIndicator/>									•	
<IndividualBirthDateText/>									•	
<LossToFinancialAmountText/>							•			
<MaleGenderIndicator/>									•	
<NoBranchActivityInvolvedIndicator/>							•			
<NoKnownAccountInvolvedIndicator/>									•	
<NonUSFinancialInstitutionIndicator/>										
<PartyAsEntityOrganizationIndicator/>									•	
<PayeeReceiverIndicator/>									•	
<PayLocationIndicator/>							•			
<PrimaryRegulatorTypeCode/>			•				•			
<PurchaserSenderIndicator/>									•	
<SellingLocationIndicator/>							•			
<SellingPayingLocationIndicator/>							•			
<UnknownGenderIndicator/>									•	
<PartyName SeqNum="">	•	•	•	•	•	•	•		•	
<EntityLastNameUnknownIndicator/>							•		•	
<FirstNameUnknownIndicator/>									•	
<PartyNameTypeCode/>	•	•	•	•	•	•	•		•	
<RawEntityIndividualLastName/>									•	
<RawIndividualFirstName/>									•	
<RawIndividualMiddleName/>									•	
<RawIndividualNameSuffixText/>									•	
<RawPartyFullName/>	•	•	•	•	•	•	•		•	
</PartyName>	•	•	•	•	•	•	•		•	
<Address SeqNum="">	•		•				•		•	
<CityUnknownIndicator/>							•		•	
<CountryCodeUnknownIndicator/>							•		•	
<RawCityText/>	•		•				•		•	
<RawCountryCodeText/>	•		•				•		•	
<RawStateCodeText/>	•		•				•		•	
<RawStreetAddress1Text/>	•		•				•		•	
<RawZIPCode/>	•		•				•		•	
<StateCodeUnknownIndicator/>									•	
<StreetAddressUnknownIndicator/>							•		•	
<ZIPCodeUnknownIndicator/>							•		•	
</Address>	•		•				•		•	

Element name	35	37	30	8	18	19	34	46	33	41
<PhoneNumber SeqNum="">	•			•		•			•	
<PhoneNumberExtensionText/>				•		•			•	
<PhoneNumberText/>	•			•		•			•	
<PhoneNumberTypeCode/>									•	
</PhoneNumber>	•			•		•			•	
<PartyIdentification SeqNum="">	•		•				•		•	
<IdentificationPresentUnknownIndicator/>									•	
<OtherIssuerCountryText/>									•	
<OtherIssuerStateText/>									•	
<OtherPartyIdentificationTypeText/>									•	
<PartyIdentificationNumberText/>	•		•				•		•	
<PartyIdentificationTypeCode/>	•		•				•		•	
<TINUnknownIndicator/>							•		•	
</PartyIdentification>	•		•				•		•	
<OrganizationClassificationTypeSubtype SeqNum="">			•				•			
<OrganizationSubtypeID/>			•				•			
<OrganizationTypeID/>			•				•			
<OtherOrganizationSubTypeText/>			•				•			
<OtherOrganizationTypeText/>			•				•			
</OrganizationClassificationTypeSubtype>			•				•			
<PartyOccupationBusiness SeqNum="">									•	
<NAICSCode/>									•	
<OccupationBusinessText/>									•	
</PartyOccupationBusiness>									•	
<ElectronicAddress SeqNum="">									•	
<ElectronicAddressText/>									•	
<ElectronicAddressTypeCode/>									•	
</ElectronicAddress>									•	
<PartyAssociation SeqNum="">							•		•	
<AccountantIndicator/>									•	
<ActionTakenDateText/>									•	
<AgentIndicator/>									•	
<AppraiserIndicator/>									•	
<AttorneyIndicator/>									•	
<BorrowerIndicator/>									•	
<CustomerIndicator/>									•	
<DirectorIndicator/>									•	
<EmployeeIndicator/>									•	
<NoRelationshipToInstitutionIndicator/>									•	
<OfficerIndicator/>									•	
<OtherPartyAssociationTypeText/>									•	
<OtherRelationshipIndicator/>									•	
<OwnerShareholderIndicator/>									•	
<RelationshipContinuesIndicator/>									•	
<ResignedIndicator/>									•	
<SubjectRelationshipFinancialInstitutionTINText/>									•	
<SuspendedBarredIndicator/>									•	
<TerminatedIndicator/>									•	
<Party SeqNum="">							•	•		
<ActivityPartyTypeCode/>							•	•		
<PayLocationIndicator/>							•	•		
<SellingLocationIndicator/>							•	•		
<SellingPayingLocationIndicator/>							•	•		
<Address SeqNum="">							•	•		
<RawCityText/>							•	•		
<RawCountryCodeText/>							•	•		
<RawStateCodeText/>							•	•		

Element name	35	37	30	8	18	19	34	46	33	41
<RawStreetAddress1Text/>							•	•		
<RawZIPCode/>							•	•		
</Address>							•	•		
<PartyIdentification SeqNum="">							•	•		
<PartyIdentificationNumberText/>							•	•		
<PartyIdentificationTypeCode/>							•	•		
</PartyIdentification>							•	•		
</Party>							•	•		
</PartyAssociation>							•		•	
<PartyAccountAssociation SeqNum="">									•	
<PartyAccountAssociationTypeCode/>									•	
<Party SeqNum="">									•	•
<ActivityPartyTypeCode/>									•	•
<NonUSFinancialInstitutionIndicator/>									•	•
<PartyIdentification SeqNum="">									•	•
<PartyIdentificationNumberText/>									•	•
<PartyIdentificationTypeCode/>									•	•
</PartyIdentification>									•	•
<Account SeqNum="">									•	•
<AccountNumberText/>									•	•
<PartyAccountAssociation SeqNum="">									•	•
<AccountClosedIndicator/>									•	•
<PartyAccountAssociationTypeCode/>									•	•
</PartyAccountAssociation>									•	•
</Account>									•	•
</Party>									•	•
</PartyAccountAssociation>									•	
</Party>	•	•	•	•	•	•	•		•	

5.1. Transmitter Party Record Example

Party Type	Transmitter	minOccurs:	1	maxOccurs:	1
35	<fc2:Party SeqNum="4"> <fc2:ActivityPartyTypeCode>35</fc2:ActivityPartyTypeCode> <fc2:PartyName SeqNum="5"> <fc2:PartyNameTypeCode>L</fc2:PartyNameTypeCode> <fc2:RawPartyFullName>Transmitter legal name</fc2:RawPartyFullName> </fc2:PartyName> <fc2:Address SeqNum="6"> <fc2:RawCityText>Transmitter city</fc2:RawCityText> <fc2:RawCountryCodeText>US</fc2:RawCountryCodeText> <fc2:RawStateCodeText>VA</fc2:RawStateCodeText> <fc2:RawStreetAddress1Text>Transmitter street address</fc2:RawStreetAddress1Text> <fc2:RawZIPCode>22113</fc2:RawZIPCode> </fc2:Address> <fc2:PhoneNumber SeqNum="7"> <fc2:PhoneNumberText>7217894455</fc2:PhoneNumberText> </fc2:PhoneNumber> <fc2:PartyIdentification SeqNum="8"> <fc2:PartyIdentificationNumberText>458985215</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>4</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification> <fc2:PartyIdentification SeqNum="9"> <fc2:PartyIdentificationNumberText>PBSA1234</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>28</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification> </fc2:Party>				

Party Type	Transmitter	minOccurs:	1	maxOccurs:	1
	</fc2:Party>				

5.2. Transmitter Contact Party Record Example

Party Type	Transmitter Contact	minOccurs:	1	maxOccurs:	1
37	<fc2:Party SeqNum="10"> <fc2:ActivityPartyTypeCode>37</fc2:ActivityPartyTypeCode> <fc2:PartyName SeqNum="11"> <fc2:PartyNameTypeCode>L</fc2:PartyNameTypeCode> <fc2:RawPartyFullName>Transmitter contact legal name</fc2:RawPartyFullName> </fc2:PartyName> </fc2:Party> </fc2:Party>				

5.3. Filing Institution Party Record Example

Party Type	Filing Institution	minOccurs:	1	maxOccurs:	1
30	<fc2:Party SeqNum="12"> <fc2:ActivityPartyTypeCode>30</fc2:ActivityPartyTypeCode> <fc2:PrimaryRegulatorTypeCode>7</fc2:PrimaryRegulatorTypeCode> <fc2:PartyName SeqNum="13"> <fc2:PartyNameTypeCode>L</fc2:PartyNameTypeCode> <fc2:RawPartyFullName>Filer name</fc2:RawPartyFullName> </fc2:PartyName> <fc2:PartyName SeqNum="14"> <fc2:PartyNameTypeCode>DBA</fc2:PartyNameTypeCode> <fc2:RawPartyFullName>Alternate name</fc2:RawPartyFullName> </fc2:PartyName> <fc2:Address SeqNum="15"> <fc2:RawCityText>Rockville</fc2:RawCityText> <fc2:RawCountryCodeText>US</fc2:RawCountryCodeText> <fc2:RawStateCodeText>MD</fc2:RawStateCodeText> <fc2:RawStreetAddress1Text>123 Viers Mill Road</fc2:RawStreetAddress1Text> <fc2:RawZIPCode>20905</fc2:RawZIPCode> </fc2:Address> <fc2:PartyIdentification SeqNum="16"> <fc2:PartyIdentificationNumberText>125478965</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>2</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification> <fc2:PartyIdentification SeqNum="17"> <fc2:PartyIdentificationNumberText>5558789654</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>10</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification> <fc2:PartyIdentification SeqNum="18"> <fc2:PartyIdentificationNumberText>451256558</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>29</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification> <fc2:OrganizationClassificationTypeSubtype SeqNum="19"> <fc2:OrganizationSubtypeID>535</fc2:OrganizationSubtypeID> <fc2:OrganizationTypeID>5</fc2:OrganizationTypeID> </fc2:OrganizationClassificationTypeSubtype> <fc2:OrganizationClassificationTypeSubtype SeqNum="20"> <fc2:OrganizationSubtypeID>529</fc2:OrganizationSubtypeID> <fc2:OrganizationTypeID>5</fc2:OrganizationTypeID> </fc2:OrganizationClassificationTypeSubtype> </fc2:Party> </fc2:Party>				

5.4. Designated Contact Office Party Record Example

Party Type	Designated Contact Office	minOccurs:	1	maxOccurs:	1
8	<pre> <fc2:Party SeqNum="26"> <fc2:ActivityPartyTypeCode>8</fc2:ActivityPartyTypeCode> <fc2:PartyName SeqNum="27"> <fc2:PartyNameTypeCode>L</fc2:PartyNameTypeCode> <fc2:RawPartyFullName>Designated contact office</fc2:RawPartyFullName> </fc2:PartyName> <fc2:PhoneNumber SeqNum="28"> <fc2:PhoneNumberExtensionText>1234</fc2:PhoneNumberExtensionText> <fc2:PhoneNumberText>4157653838</fc2:PhoneNumberText> </fc2:PhoneNumber> </fc2:Party> <fc2:Party SeqNum="29"> </pre>				

5.5. Law Enforcement Agency Party Record Example

Party Type	Law Enforcement Agency	minOccurs:	0	maxOccurs:	1
18	<pre> <fc2:Party SeqNum="21"> <fc2:ActivityPartyTypeCode>18</fc2:ActivityPartyTypeCode> <fc2:PartyName SeqNum="22"> <fc2:PartyNameTypeCode>L</fc2:PartyNameTypeCode> <fc2:RawPartyFullName>LE Contact Agency</fc2:RawPartyFullName> </fc2:PartyName> </fc2:Party> <fc2:Party> </pre>				

5.6. Law Enforcement Name Party Record Example

Party Type	Law Enforcement Name	minOccurs:	0	maxOccurs:	1
19	<pre> <fc2:Party SeqNum="23"> <fc2:ActivityPartyTypeCode>19</fc2:ActivityPartyTypeCode> <fc2:ContactDateText>201711105</fc2:ContactDateText> <fc2:PartyName SeqNum="24"> <fc2:PartyNameTypeCode>L</fc2:PartyNameTypeCode> <fc2:RawPartyFullName>LE Contact Name</fc2:RawPartyFullName> </fc2:PartyName> <fc2:PhoneNumber SeqNum="25"> <fc2:PhoneNumberExtensionText>5432</fc2:PhoneNumberExtensionText> <fc2:PhoneNumberText>7039051234</fc2:PhoneNumberText> </fc2:PhoneNumber> </fc2:Party> <fc2:Party SeqNum="26"> </pre>				

5.7. Financial Institution Where Activity Occurred Party Record Example

Party Type	Financial Institution Where Activity Occurred	minOccurs:	1	maxOccurs:	99
34	<pre> <fc2:Party SeqNum="29"> <fc2:ActivityPartyTypeCode>34</fc2:ActivityPartyTypeCode> <fc2:LossToFinancialAmountText>15000</fc2:LossToFinancialAmountText> <fc2:NoBranchActivityInvolvedIndicator>Y</fc2:NoBranchActivityInvolvedIndicator> <fc2:PayLocationIndicator>Y</fc2:PayLocationIndicator> <fc2:PrimaryRegulatorTypeCode>4</fc2:PrimaryRegulatorTypeCode> <fc2:PartyName SeqNum="30"> <fc2:PartyNameTypeCode>L</fc2:PartyNameTypeCode> <fc2:RawPartyFullName>Union Bank of California</fc2:RawPartyFullName> </fc2:PartyName> </pre>				

Party Type	Financial Institution Where Activity Occurred	minOccurs:	1	maxOccurs:	99
	<pre> <fc2:PartyName SeqNum="31"> <fc2:PartyNameTypeCode>DBA</fc2:PartyNameTypeCode> <fc2:RawPartyFullName>Doing Business As Name</fc2:RawPartyFullName> </fc2:PartyName> <fc2:Address SeqNum="32"> <fc2:CityUnknownIndicator>Y</fc2:CityUnknownIndicator> <fc2:CountryCodeUnknownIndicator>Y</fc2:CountryCodeUnknownIndicator> <fc2:RawStreetAddress1Text>987 Rocky Road</fc2:RawStreetAddress1Text> <fc2:StreetAddressUnknownIndicator>Y</fc2:StreetAddressUnknownIndicator> <fc2:ZIPCodeUnknownIndicator>Y</fc2:ZIPCodeUnknownIndicator> </fc2:Address> <fc2:PartyIdentification SeqNum="33"> <fc2:PartyIdentificationNumberText>458789856</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>2</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification> <fc2:PartyIdentification SeqNum="34"> <fc2:PartyIdentificationNumberText>5589887789</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>10</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification> <fc2:PartyIdentification SeqNum="35"> <fc2:PartyIdentificationNumberText>4578958658</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>29</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification> <fc2:OrganizationClassificationTypeSubtype SeqNum="36"> <fc2:OrganizationSubtypeID>533</fc2:OrganizationSubtypeID> <fc2:OrganizationTypeID>5</fc2:OrganizationTypeID> </fc2:OrganizationClassificationTypeSubtype> <fc2:OrganizationClassificationTypeSubtype SeqNum="37"> <fc2:OrganizationSubtypeID>5999</fc2:OrganizationSubtypeID> <fc2:OrganizationTypeID>5</fc2:OrganizationTypeID> <fc2:OtherOrganizationSubTypeText>other S/F institution description</fc2:OtherOrganizationSubTypeText> </fc2:OrganizationClassificationTypeSubtype> <fc2:PartyAssociation SeqNum="38"> <fc2:Party SeqNum="39"> <fc2:ActivityPartyTypeCode>46</fc2:ActivityPartyTypeCode> ... </fc2:Party> </fc2:PartyAssociation> </fc2:Party> <fc2:PartyAssociation SeqNum="38"> </pre>				

5.8. Branch Where Activity Occurred Party Record Example

Party Type	Branch Where Activity Occurred	minOccurs:	0	maxOccurs:	99
46	<pre> <fc2:Party SeqNum="39"> <fc2:ActivityPartyTypeCode>46</fc2:ActivityPartyTypeCode> <fc2:SellingLocationIndicator>Y</fc2:SellingLocationIndicator> <fc2:Address SeqNum="40"> <fc2:RawCityText>Cityville</fc2:RawCityText> <fc2:RawCountryCodeText>US</fc2:RawCountryCodeText> <fc2:RawStateCodeText>VA</fc2:RawStateCodeText> <fc2:RawStreetAddress1Text>123 Address Way</fc2:RawStreetAddress1Text> <fc2:RawZIPCode>547898856</fc2:RawZIPCode> </fc2:Address> <fc2:PartyIdentification SeqNum="41"> <fc2:PartyIdentificationNumberText>445564615654</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>14</fc2:PartyIdentificationTypeCode> </pre>				

Party Type	Branch Where Activity Occurred	minOccurs:	0	maxOccurs:	99
	</fc2:PartyIdentification> </fc2:Party>				

5.9. Subject Party Record Example

Party Type	Subject	minOccurs:	1	maxOccurs:	999
33	<fc2:Party SeqNum="61"> <fc2:ActivityPartyTypeCode>33</fc2:ActivityPartyTypeCode> <fc2:AdmissionConfessionYesIndicator>Y</fc2:AdmissionConfessionYesIndicator> <fc2:BothPurchaserSenderPayeeReceiveIndicator>Y</fc2:BothPurchaserSenderPayeeReceiveIndicator> > <fc2:FemaleGenderIndicator>Y</fc2:FemaleGenderIndicator> <fc2:IndividualBirthDateText>19801025</fc2:IndividualBirthDateText> <fc2:PartyName SeqNum="62"> <fc2:PartyNameTypeCode>L</fc2:PartyNameTypeCode> <fc2:RawEntityIndividualLastName>Mann</fc2:RawEntityIndividualLastName> <fc2:RawIndividualFirstName>Janice</fc2:RawIndividualFirstName> </fc2:PartyName> <fc2:PartyName SeqNum="63"> <fc2:PartyNameTypeCode>AKA</fc2:PartyNameTypeCode> <fc2:RawPartyFullName>Janda</fc2:RawPartyFullName> </fc2:PartyName> <fc2:PartyName SeqNum="64"> <fc2:PartyNameTypeCode>AKA</fc2:PartyNameTypeCode> <fc2:RawPartyFullName>Jan</fc2:RawPartyFullName> </fc2:PartyName> <fc2:Address SeqNum="65"> <fc2:CityUnknownIndicator>Y</fc2:CityUnknownIndicator> <fc2:CountryCodeUnknownIndicator>Y</fc2:CountryCodeUnknownIndicator> <fc2:StateCodeUnknownIndicator>Y</fc2:StateCodeUnknownIndicator> <fc2:StreetAddressUnknownIndicator>Y</fc2:StreetAddressUnknownIndicator> <fc2:ZIPCodeUnknownIndicator>Y</fc2:ZIPCodeUnknownIndicator> </fc2:Address> <fc2:PhoneNumber SeqNum="66"> <fc2:PhoneNumberText>6194760276</fc2:PhoneNumberText> <fc2:PhoneNumberTypeCode>R</fc2:PhoneNumberTypeCode> </fc2:PhoneNumber> <fc2:PhoneNumber SeqNum="67"> <fc2:PhoneNumberExtensionText>5584</fc2:PhoneNumberExtensionText> <fc2:PhoneNumberText>6589784589</fc2:PhoneNumberText> <fc2:PhoneNumberTypeCode>W</fc2:PhoneNumberTypeCode> </fc2:PhoneNumber> <fc2:PartyIdentification SeqNum="68"> <fc2:IdentificationPresentUnknownIndicator>Y</fc2:IdentificationPresentUnknownIndicator> <fc2:OtherIssuerCountryText>US</fc2:OtherIssuerCountryText> <fc2:OtherIssuerStateText>CA</fc2:OtherIssuerStateText> <fc2:OtherPartyIdentificationTypeText>Student ID</fc2:OtherPartyIdentificationTypeText> <fc2:PartyIdentificationNumberText>660623559</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>999</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification> <fc2:PartyIdentification SeqNum="69"> <fc2:TINUnknownIndicator>Y</fc2:TINUnknownIndicator> </fc2:PartyIdentification> <fc2:PartyOccupationBusiness SeqNum="70"> <fc2:NAICSCode>7548</fc2:NAICSCode> <fc2:OccupationBusinessText>Mechanic</fc2:OccupationBusinessText>				

Party Type	Subject	minOccurs:	1	maxOccurs:	999
	<pre> </fc2:PartyOccupationBusiness> <fc2:ElectronicAddress SeqNum="71"> <fc2:ElectronicAddressText>jan@gmail.com</fc2:ElectronicAddressText> <fc2:ElectronicAddressTypeCode>E</fc2:ElectronicAddressTypeCode> </fc2:ElectronicAddress> <fc2:ElectronicAddress SeqNum="72"> <fc2:ElectronicAddressText>janda.org</fc2:ElectronicAddressText> <fc2:ElectronicAddressTypeCode>U</fc2:ElectronicAddressTypeCode> </fc2:ElectronicAddress> <fc2:PartyAssociation SeqNum="73"> <fc2:NoRelationshipToInstitutionIndicator>Y</fc2:NoRelationshipToInstitutionIndicator> <fc2:SubjectRelationshipFinancialInstitutionTINText>458789856</fc2:SubjectRelationshipFinancialInsti tutionTINText> </fc2:PartyAssociation> <fc2:PartyAccountAssociation SeqNum="74"> <fc2:PartyAccountAssociationTypeCode>7</fc2:PartyAccountAssociationTypeCode> <fc2:Party SeqNum="75"> <fc2:ActivityPartyTypeCode>41</fc2:ActivityPartyTypeCode> ... </fc2:Party> </fc2:PartyAccountAssociation> </fc2:Party> <fc2:Party SeqNum="75"> </pre>				

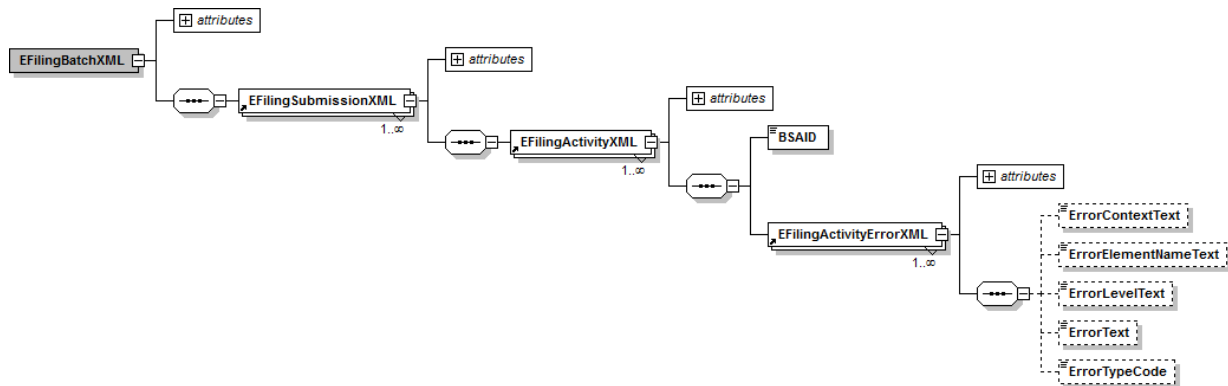
5.10. Financial Institution Where Account is Held Party Record Example

Party Type	Financial Institution Where Account is Held	minOccurs:	0	maxOccurs:	99
41	<pre> <fc2:Party SeqNum="75"> <fc2:ActivityPartyTypeCode>41</fc2:ActivityPartyTypeCode> <fc2:NonUSFinancialInstitutionIndicator>Y</fc2:NonUSFinancialInstitutionIndicator> <fc2:PartyIdentification SeqNum="76"> <fc2:PartyIdentificationNumberText>458789856</fc2:PartyIdentificationNumberText> <fc2:PartyIdentificationTypeCode>4</fc2:PartyIdentificationTypeCode> </fc2:PartyIdentification> <fc2:Account SeqNum="77"> <fc2:AccountNumberText>1502417873</fc2:AccountNumberText> <fc2:PartyAccountAssociation SeqNum="78"> <fc2:AccountClosedIndicator>Y</fc2:AccountClosedIndicator> <fc2:PartyAccountAssociationTypeCode>5</fc2:PartyAccount- AssociationTypeCode> </fc2:PartyAccountAssociation> </fc2:Account> <fc2:Account SeqNum="79"> <fc2:AccountNumberText>5477887896</fc2:AccountNumberText> <fc2:PartyAccountAssociation SeqNum="80"> <fc2:AccountClosedIndicator>Y</fc2:AccountClosedIndicator> <fc2:PartyAccountAssociationTypeCode>5</fc2:PartyAccount- AssociationTypeCode> </fc2:PartyAccountAssociation> </fc2:Account> </fc2:Party> <fc2:Party SeqNum="86"> </pre>				

6. FinCEN SAR XML Acknowledgement Format

The FinCEN SAR XML batch acknowledgement file defined below is provided in XML format. The acknowledgement file will contain a BSA Identifier and any corresponding acknowledgement errors associated with each FinCEN SAR <Activity> element received in the batch submission. Please visit https://www.fincen.gov/sites/default/files/schema/base/EFL_BatchAcknowledgementSchema.xsd to access the FinCEN XML 2.0 batch acknowledgement schema file.

6.1. XML File Structure



6.1.1. XML declaration/prolog

The XML declaration appears on the first line of the acknowledgement file.

Element Name:	?xml	minOccurs:	1	maxOccurs:	1
Description:	XML declaration/prolog. This is the XML declaration which specifies the XML version and character encoding used in the file.				
Attribute(s):	version. The version number of the XML. The value recorded will be "1.0" encoding. The character encoding used for the XML. The value recorded will be "UTF-8"				
Parent Element:	n/a				
Element Restriction(s)	This declaration will always be recorded on the first line of the file.				
Value Restriction(s):	The value provided will be: <?xml version="1.0" encoding="UTF-8"?>				
Remarks:	none				
Example:	<?xml version="1.0" encoding="UTF-8"?>				

6.1.2. EfilingBatchXML

The <EfilingBatchXML> element is the first element recorded in the file and is considered the root element.

Element Name:	EfilingBatchXML	minOccurs:	1	maxOccurs:	1
Description:	Batch acknowledgement (header). This is the container for the contents of the batch acknowledgement file. This element is parent to the following sub-elements: EfilingSubmissionXML * NOTE: Elements marked with an asterisk * contain sub-elements.				

Attribute(s):	SeqNum (this is a sequential number assigned by FinCEN to identify the corresponding element in the associated batch file) StatusCode (this will have a value of "A" to indicate "Acknowledged")
Parent Element:	n/a (this is the root element in the acknowledgment file)
Element Restriction(s):	This element will always be recorded.
Value Restriction(s):	n/a
Remarks:	n/a
Example:	<EFilingBatchXML SeqNum="1" StatusCode="A">

6.1.3. EFilingSubmissionXML

The <EFilingSubmissionXML> element directly follows the <EFilingBatchXML> root element. This element is for FinCEN use only.

Element Name:	EFilingSubmissionXML	minOccurs:	1	maxOccurs:	1
Description:	Submission acknowledgement (header). This is the container for all FinCEN SAR <Activity> elements recorded in the associated batch submission. This element is parent to the following sub-elements: EFilingActivityXML * NOTE: Elements marked with an asterisk * contain sub-elements.				
Attribute(s):	xmlns (this will always be www.fincen.gov/base) SeqNum (this is a sequential number assigned by FinCEN to identify the corresponding element in the associated batch file) StatusCode (this will have a value of "A" to indicate "Acknowledged")				
Parent Element:	EFilingBatchXML				
Element Restriction(s):	This element will always be recorded.				
Value Restriction(s):	n/a				
Remarks:	This element is for FinCEN use only.				
Example:	<EFilingSubmissionXML xmlns="www.fincen.gov/base" SeqNum="1" StatusCode="A">				

6.1.4. EFilingActivityXML

Each <EFilingActivityXML> element in the batch acknowledgement file corresponds with each FinCEN SAR <Activity> element recorded in the original batch submission along with the sequence number (SeqNum) attribute value.

Element Name:	EFilingActivityXML	minOccurs:	1	maxOccurs:	unbounded
Description:	Activity acknowledgement (header). This is the container for acknowledgement information for each FinCEN SAR <Activity> element recorded in the associated batch submission. This element is parent to the following sub-elements: BSAID EFilingActivityErrorXML * NOTE: Elements marked with an asterisk * contain sub-elements.				
Attribute(s):	SeqNum (this sequential number matches the value recorded in the associated batch submission)				

Parent Element:	EFilingSubmissionXML
Value Restriction(s):	n/a
Remarks:	none
Example:	<pre><EFilingActivityXML SeqNum="1"> <BSAID>31000055053784</BSAID> <EFilingActivityErrorXML SeqNum="1"/> </EFilingActivityXML></pre>

Element Name:	BSAID	minOccurs:	1	maxOccurs:	1
Description:	Activity acknowledgement BSA Identifier (text). This element identifies the BSA Identifier (BSA ID) assigned by FinCEN to the FinCEN SAR document.				
Attribute(s):	n/a				
Parent Element:	EFilingActivityXML				
Value Restriction(s):	14 characters (numeric only)				
Remarks:	none				
Example:	<BSAID>31000055053784</BSAID>				

6.1.5. EFilingActivityErrorXML

There will be at least one <EFilingActivityErrorXML> element for each <EFilingActivityXML> element in the batch acknowledgement file.

Element Name:	EFilingActivityErrorXML	minOccurs:	1	maxOccurs:	unbounded
Description:	Activity acknowledgement error (header). This is the container for error information generated during processing of the associated batch submission related to the FinCEN SAR activity. This element is parent to the following sub-elements: - ErrorContextText - ErrorElementNameText - ErrorLevelText - ErrorText - ErrorTypeCode				
Attribute(s):	SeqNum (this is a sequential number assigned by FinCEN)				
Parent Element:	EFilingActivityXML				
Value Restriction(s):	n/a				
Remarks:	If there are no errors identified for the FinCEN SAR activity, then the <EFilingActivityErrorXML> element will be recorded with a self-closing tag (e.g. <EFilingActivityErrorXML SeqNum="1"/>) and this element will not be recorded.				
Example:	<pre><EFilingActivityErrorXML SeqNum="1"> <ErrorContextText>EFilingBatchXML/Activity[1]/Party[25]/PartyIdentification[49]/PartyIdentificationNumberText</ErrorContextText> <ErrorElementNameText>PartyIdentificationNumberText</ErrorElementNameText> <ErrorLevelText>WARN</ErrorLevelText> <ErrorText>The value recorded for the EIN or SSN/ITIN is an invalid number string.</ErrorText> <ErrorTypeCode>C21</ErrorTypeCode> </EFilingActivityErrorXML> <EFilingActivityErrorXML SeqNum="2"></pre>				

	<pre> <ErrorContextText>EFilingBatchXML/Activity[1]/Party[78]/PartyName[84]/RawIndividualFirstN ame</ErrorContextText> <ErrorElementNameText>RawIndividualFirstName</ErrorElementNameText> <ErrorLevelText>WARN</ErrorLevelText> <ErrorText>The element is not recorded or does not contain a value for an individual Subject and unknown is not indicated.</ErrorText> <ErrorTypeCode>C4</ErrorTypeCode> </EFilingActivityErrorXML> </pre>
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Element Name:	ErrorContextText	minOccurs:	0	maxOccurs:	1
Description:	Acknowledgement error type (text). This element identifies the element location (within the associated batch submission) that triggered the error by identifying the name and sequence number of the element's <Parent> element.				
Attribute(s):	n/a				
Parent Element:	EFilingActivityErrorXML				
Value Restriction(s):	1-4000 characters				
Remarks:	If there are no errors identified for the FinCEN SAR activity, then the <EFilingActivityErrorXML> element will be recorded with a self-closing tag (e.g. <EFilingActivityErrorXML SeqNum="1"/>) and this element will not be recorded.				
Example:	<pre> <ErrorContextText>EFilingBatchXML/Activity[1]/Party[25]/PartyIdentification[49]/PartyIdentificationNum berText</ErrorContextText> </pre>				

Element Name:	ErrorElementNameText	minOccurs:	0	maxOccurs:	1
Description:	Element acknowledgement error association (text). This element identifies the element name from the associated batch submission that triggered the error.				
Attribute(s):	n/a				
Parent Element:	EFilingActivityErrorXML				
Value Restriction(s):	1-512 characters				
Remarks:	If there are no errors identified for the FinCEN SAR activity, then the <EFilingActivityErrorXML> element will be recorded with a self-closing tag (e.g. <EFilingActivityErrorXML SeqNum="1"/>) and this element will not be recorded.				
Example:	<pre> <ErrorElementNameText>PartyIdentificationNumberText</ErrorElementNameText> </pre>				

Element Name:	ErrorLevelText	minOccurs:	0	maxOccurs:	1
Description:	Acknowledgement error severity level (text). This element identifies the level of severity associated with the error.				
Attribute(s):	n/a				
Parent Element:	EFilingActivityErrorXML				
Value Restriction(s):	1-50 characters				
Remarks:	If there are no errors identified for the FinCEN SAR activity, then the <EFilingActivityErrorXML> element will be recorded with a self-closing tag (e.g. <EFilingActivityErrorXML SeqNum="1"/>) and this element will not be recorded.				
Example:	<pre> <ErrorLevelText>WARN</ErrorLevelText> </pre>				

Element Name:	ErrorText	minOccurs:	0	maxOccurs:	1
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Description:	Acknowledgement error description (text). This element identifies the description of the error.
Attribute(s):	n/a
Parent Element:	EfilingActivityErrorXML
Value Restriction(s):	1-525 characters
Remarks:	If there are no errors identified for the FinCEN SAR activity, then the <EfilingActivityErrorXML> element will be recorded with a self-closing tag (e.g. <EfilingActivityErrorXML SeqNum="1"/>) and this element will not be recorded.
Example:	<ErrorText>The value recorded for the EIN or SSN/ITIN is an invalid number string.</ErrorText>

Element Name:	ErrorTypeCode	minOccurs:	0	maxOccurs:	1
Description:	Acknowledgement error type (code). This element identifies the code associated with the error.				
Attribute(s):	n/a				
Parent Element:	EfilingActivityErrorXML				
Value Restriction(s):	1-50 characters				
Remarks:	If there are no errors identified for the FinCEN SAR activity, then the <EfilingActivityErrorXML> element will be recorded with a self-closing tag (e.g. <EfilingActivityErrorXML SeqNum="1"/>) and this element will not be recorded.				
Example:	<ErrorTypeCode>C4</ErrorTypeCode>				

6.2. Acknowledgement XML Example

The following is a sample FinCEN SAR acknowledgement XML generated by FinCEN and delivered to the batch filer.

File type	FinCEN SAR XML Batch Acknowledgement (Sample)
Example:	<pre> <?xml version="1.0" encoding="UTF-8"?> <EfilingBatchXML xmlns="www.fincen.gov/base" SeqNum="1" StatusCode="A"> <EfilingSubmissionXML SeqNum="1" StatusCode="A"> <EfilingActivityXML SeqNum="1"> <BSAID>31000055053784</BSAID> <EfilingActivityErrorXML SeqNum="1"> <ErrorContextText>EfilingBatchXML/Activity[1]/Party[25]/PartyIdentification[49]/PartyIdentificationNumberText</ErrorContextText> <ErrorElementNameText>PartyIdentificationNumberText</ErrorElementNameText> <ErrorLevelText>WARN</ErrorLevelText> <ErrorText>The value recorded for the EIN or SSN/ITIN is an invalid number string.</ErrorText> <ErrorTypeCode>C21</ErrorTypeCode> </EfilingActivityErrorXML> </EfilingActivityXML> <EfilingActivityXML SeqNum="2"> <ErrorContextText>EfilingBatchXML/Activity[1]/Party[78]/PartyName[84]/RawIndividualFirstName</ErrorContextText> <ErrorElementNameText>RawIndividualFirstName</ErrorElementNameText> <ErrorLevelText>WARN</ErrorLevelText> <ErrorText>The element is not recorded or does not contain a value for an individual Subject and unknown is not indicated.</ErrorText> <ErrorTypeCode>C4</ErrorTypeCode> </EfilingActivityXML> <EfilingActivityXML SeqNum="3"> <BSAID>31000055053785</BSAID> <EfilingActivityErrorXML SeqNum="1"/> </EfilingActivityXML> <EfilingActivityXML SeqNum="3"> <BSAID>31000055053786</BSAID> <EfilingActivityErrorXML SeqNum="1"/> </EfilingActivityXML> </EfilingSubmissionXML> </EfilingBatchXML> </pre>

	</EFileSubmissionXML> </EFileBatchXML>
Notes:	The sample above consists of three (3) FinCEN SAR activities based on the original FinCEN SAR batch submission: • Each FinCEN SAR from the original batch submission is associated with a <EFileActivityXML> element • Each FinCEN SAR receives a unique BSA Identifier (BSA ID) • FinCEN SAR (BSA ID: 31000055053784) contains two errors (C21 & C4) • FinCEN SAR (BSA ID: 31000055053785) contains no errors • FinCEN SAR (BSA ID: 31000055053786) contains no errors

7. Attachment A – Error Descriptions

The following table lists the errors that your batch may receive as a result of missing or invalid data formatting. FinCEN strongly encourages that filers first test their XML batch files for schema compliance using the schemas available at www.fincen.gov/base. Your batch file should pass schema validation before you attempt to submit to FinCEN. As a result, this table does not include all possible schema validation errors, as these will be handled by your XML software during testing. Your batch file must pass schema validation before attempting to submit to FinCEN via BSA E-Filing; otherwise, it will be rejected.

Error Level
Fatal Batch rejection <i>These errors are related to the batch format and must be resolved before attempting to resubmit the batch.</i>
Primary Warning Batch acceptance with warning(s) classified as primary data errors <i>These errors violate electronic filing requirements or report instructions and so degrade FinCEN SAR data quality that they must be corrected (along with warning errors) as a correction/amendment. Error codes marked with an asterisk (*) are primary warnings.</i>
Warning Batch acceptance with warning(s) classified as secondary data errors. <i>These errors that violate electronic filing requirements or report instructions but have a lesser impact on FinCEN SAR data quality.</i>

7.1. Miscellaneous Errors

These errors can occur throughout the batch file:

Code	Error Text	Severity	Associated Element(s)	Form Reference
A0	The XML declaration/prolog is not recorded with the required values or it is not recorded on the first line of the batch file.	Fatal	Misc.	Misc.
A1	The element is not recorded for the required party type.	Warning	Misc.	Misc.
A2	The critical element is not recorded for the required party type.	Fatal	Misc.	Misc.
A3	The element is recorded for an inappropriate party type.	Fatal	Misc.	Misc.
A4	The critical element is not recorded.	Fatal	Misc.	Misc.
A5	The element is not recorded.	Warning	Misc.	Misc.
A6	The element exceeds the maximum occurrence threshold.	Fatal	Misc.	Misc.
A7	The element is missing a "SeqNum" attribute	Fatal	Misc.	Misc.
A8	The element contains a "SeqNum" attribute with a duplicate or invalid value	Fatal	Misc.	Misc.

Code	Error Text	Severity	Associated Element(s)	Form Reference
A9	One or more of the attributes are missing, incorrectly formatted, or contain an invalid value	Fatal	Misc.	Misc.
A10	The reported total count of all activities in the batch does not match the actual count.	Fatal	Misc.	Misc.
A11	The reported sum of all total amounts recorded in the batch does not match the actual amount.	Fatal	Misc.	Misc.
A12	The reported count of the total number of parties in the batch does not match the actual count.	Fatal	Misc.	Misc.
A13	The reported count of activities containing an attachment does not match the actual count.	Fatal	Misc.	Misc.
A14	The reported count of attachments does not match the actual count.	Fatal	Misc.	Misc.
A15	Cannot continue processing the submitted file because of previous errors encountered.	Fatal	Misc.	Misc.
A16	One, or more, invalid characters were present in the submitted file.	Fatal	Misc.	Misc.
A18	Unexpected element sequence. The element is not allowed at this location.	Fatal	Misc.	Misc.
A19	Schema validation failure. The XML file does not conform to the defined schema located at https://www.fincen.gov/base/EFL_SARXBatchSchema.xsd .	Fatal	Misc.	Misc.
A20	This submission cannot be accepted because it contains significant errors. Please fix and resubmit the file.	Fatal	Misc.	Misc.
A21	This submission has been accepted and will be processed by FinCEN, however it contains some errors which need to be corrected once this submission has been acknowledged.	Warning	Misc.	Misc.
A23	The value recorded is not appropriate for the associated party type.	Fatal	Misc.	Misc.
A24	Unknown is indicated for data that is provided.	Warning	Misc.	Misc.
A25	Unknown is indicated for data that is provided and unknown is not a valid response.	Fatal	Misc.	Misc.
A27	The element recorded conflicts with one or more recorded elements.	Fatal	Misc.	Misc.
A29	The value recorded does not contain an associated type.	Fatal	Misc.	Misc.
A30	The value is missing or invalid.	Fatal	Misc.	Misc.
F60	The namespace prefix for the element is invalid.	Fatal	Misc.	Misc.

7.2. Document Errors

These errors can occur at the FinCEN SAR document level:

Code	Error Text	Severity	Associated Element(s)	Form Reference
B0	The value recorded is not equal to "Y" or not equal to null.	Fatal	All indicator elements	Misc.
B1	The element is not recorded.	Fatal	PartyNameTypeCode	Misc.
B2	The element is recorded but with no value (i.e. the value is null).	Fatal	PartyNameTypeCode	Misc.
B3	The element contains an invalid code.	Fatal	PartyNameTypeCode	Misc.
B4	The element is recorded with a value that is not approved for the associated party type (see Value Restrictions for more information).	Fatal	PartyNameTypeCode	Misc.
B5	The element is not recorded and the <PartyIdentificationNumberText> contains a value.	Fatal	PartyIdentificationTypeCode	Misc.
B6	The element contains an invalid code.	Fatal	PartyIdentificationTypeCode	Misc.
B7	The element is recorded but with no value (i.e. the value is null).	Fatal	PartyIdentificationTypeCode	Misc.
B9	The element is not recorded.	Fatal	PartyIdentificationTypeCode	Misc.
B10	The element is not recorded.	Fatal	ActivityPartyTypeCode	Misc.
B11	The element is recorded but with no value (i.e. the value is null).	Fatal	ActivityPartyTypeCode	Misc.
B12	The element contains an invalid code.	Fatal	ActivityPartyTypeCode	Misc.
B13	The element is not recorded.	Fatal	ActivityAssociation	1. Type of Filing
B14	The element is recorded but none of the following sub-elements are recorded with a "Y" value: InitialReportIndicator, CorrectsAmendsPriorReportIndicator, and ContinuingActivityReportIndicator.	Fatal	ActivityAssociation	1. Type of Filing
B15	InitialReportIndicator contains a "Y" value and either/both of the following elements also contain a "Y" value: CorrectsAmendsPriorReportIndicator, ContinuingActivityReportIndicator.	Warning	ActivityAssociation	1. Type of Filing
B16*	The element is not recorded and the filing type is corrects/amends prior report and/or continuing activity report.	Warning	EFilingPriorDocumentNumber	01e. Type of Filing: e. Prior report BSA Identification Number if items 1b or 1c are checked
B17*	The element is recorded but without a value (i.e. the value is null).	Warning	EFilingPriorDocumentNumber	01e. Type of Filing: e. Prior report BSA Identification Number if items 1b or 1c are checked
B18*	The element is recorded with a valid value but the filing type is not corrects/amends prior report and/or continuing activity report.	Warning	EFilingPriorDocumentNumber	01e. Type of Filing: e. Prior report BSA Identification Number if items 1b or 1c are checked
B19*	The value recorded does not equal 14 numeric characters.	Warning	EFilingPriorDocumentNumber	01e. Type of Filing: e. Prior report BSA Identification Number if items 1b or 1c are checked
B20	The value recorded contains one or more non-numeric characters.	Warning	TotalSuspiciousAmountText	29. Amount involved in this report
B21	The element is not recorded or does not contain a value and unknown or no amount involved is not indicated.	Warning	TotalSuspiciousAmountText	29. Amount involved in this report

Code	Error Text	Severity	Associated Element(s)	Form Reference
B22*	The element is recorded with a value while unknown and/or no amount involved is indicated.	Warning	TotalSuspiciousAmountText	29. Amount involved in this report
B23*	The element is not recorded or does not contain a value.	Warning	SuspiciousActivityFromDateText	30a. Date or date range of suspicious activity (From)
B24*	The value recorded for the element is not in the required format (YYYYMMDD).	Warning	SuspiciousActivityFromDateText	30a. Date or date range of suspicious activity (From)
B25	The value recorded is greater than the date recorded for SuspiciousActivityToDateText.	Warning	SuspiciousActivityFromDateText	30a. Date or date range of suspicious activity (From)
B26*	The value recorded for the element is not in the required format (YYYYMMDD).	Warning	SuspiciousActivityToDateText	30b. Date or date range of suspicious activity (To)
B27*	The value recorded contains one or more non-numeric characters.	Warning	CumulativeTotalViolationAmountText	31. Cumulative amount
B28*	The element is not recorded or does not contain a value and continuing activity report is indicated.	Warning	CumulativeTotalViolationAmountText	31. Cumulative amount
B29	The element is recorded with a value and continuing activity report is not indicated.	Warning	CumulativeTotalViolationAmountText	31. Cumulative amount
B30	The cumulative amount recorded is less than the total amount recorded for TotalSuspiciousAmountText.	Warning	CumulativeTotalViolationAmountText	31. Cumulative amount
B31	The element is not recorded.	Fatal	SuspiciousActivity	32-42. Suspicious Activity Information
B32	The element is not recorded.	Fatal	SuspiciousActivityClassification	32-42. Suspicious Activity Classification
B33	The element is not recorded.	Fatal	SuspiciousActivityTypeID	32-42. Suspicious Activity: Type (ACH, Ponzi scheme, Chip walking, etc.)
B34	The element is recorded but without a value (i.e. the value is null).	Fatal	SuspiciousActivityTypeID	32-42. Suspicious Activity: Type (ACH, Ponzi scheme, Chip walking, etc.)
B35	The element contains an invalid code.	Fatal	SuspiciousActivityTypeID	32-42. Suspicious Activity: Type (ACH, Ponzi scheme, Chip walking, etc.)
B36	The element is not recorded.	Fatal	SuspiciousActivitySubTypeID	32a-42z. Suspicious Activity: Subtype (Structuring, Terrorist financing, Cyber event, etc.)
B37	The element is recorded but without a value (i.e. the value is null).	Fatal	SuspiciousActivitySubTypeID	32a-42z. Suspicious Activity: Subtype (Structuring, Terrorist financing, Cyber event, etc.)
B38	The element contains an invalid code.	Fatal	SuspiciousActivitySubTypeID	32a-42z. Suspicious Activity: Subtype (Structuring, Terrorist financing, Cyber event, etc.)
B39	The element contains a value that is not appropriate for the type of suspicious activity recorded.	Fatal	SuspiciousActivitySubTypeID	32a-42z. Suspicious Activity: Subtype (Structuring, Terrorist financing, Cyber event, etc.)
B40	The element is not recorded or does not contain a value and the subtype of suspicious activity is equal to Other.	Warning	OtherSuspiciousActivityTypeText	32z-42z. Suspicious Activity: Other Type Description

Code	Error Text	Severity	Associated Element(s)	Form Reference
B41	The element is recorded with a value but the subtype of suspicious activity is not equal to Other.	Warning	OtherSuspiciousActivityTypeText	32z-42z. Suspicious Activity: Other Type Description
B42*	The value recorded for the element is not in the required format (see Value Restrictions for format requirements).	Warning	IPAddressText	43. IP Address: Address
B43*	The value recorded for the element is not in the required format (YYYYMMDD).	Warning	ActivityIPAddressDateText	43a. IP Address: Date
B44*	The value recorded for the element is not in the required format (HH:MM:SS).	Warning	ActivityIPAddressTimeStampText	43b. IP Address: Timestamp
B45	The element is not recorded or does not contain.	Warning	EventValueText	44a1-j1,z1. Cyber Event Indicator: Event value
B46	The value recorded is not valid based on the type of cyber event (see Value Restrictions for format requirements).	Warning	EventValueText	44a1-j1,z2. Cyber Event Indicator: Event value
B47	The element is recorded for a cyber-event type that is not applicable to this data (see Element Restrictions for more information).	Fatal	CyberEventDateText	44a2,h2. Cyber Event Indicator: Date
B48*	The value recorded for the element is not in the required format (YYYYMMDD).	Warning	CyberEventDateText	44a2,h3. Cyber Event Indicator: Date
B49*	The element is recorded for a cyber-event type that is not applicable to this data (see Element Restrictions for more information).	Fatal	CyberEventTimeStampText	44a3,h3. Cyber Event Indicator: Timestamp
B50	The value recorded for the element is not in the required format (HH:MM:SS).	Warning	CyberEventTimeStampText	44a3,h4. Cyber Event Indicator: Timestamp
B51	The element is not recorded or does not contain a value.	Fatal	CyberEventIndicatorsTypeCode	44a-j,z. Cyber Event Indicator: Type (Command and Control IP address, Targeted system, etc.)
B52	The element contains an invalid code.	Fatal	CyberEventIndicatorsTypeCode	44a-j,z. Cyber Event Indicator: Type (Command and Control IP address, Targeted system, etc.)
B53	The element is not recorded or does not contain a value and the <CyberEventIndicatorsTypeCode> is equal to "11" Other.	Warning	CyberEventTypeOtherText	44z. Cyber Event Indicator: Other Description
B54	The element is recorded with a value and the <CyberEventIndicatorsTypeCode> is not equal to "11" Other.	Warning	CyberEventTypeOtherText	44z. Cyber Event Indicator: Other Description
B55	The element is not recorded.	Fatal	AssetTypeID	45/46. Assets: Type (45. Financial product) (46. Financial instrument/payment mechanism)
B56	The element is recorded but without a value (i.e. the value is null).	Fatal	AssetTypeID	45/46. Assets: Type (45. Financial product) (46. Financial instrument/payment mechanism)

Code	Error Text	Severity	Associated Element(s)	Form Reference
B57	The element contains an invalid code.	Fatal	AssetTypeID	45/46. Assets: Type (45. Financial product) (46. Financial instrument/payment mechanism)
B58	The element is not recorded.	Fatal	AssetSubtypeID	45a-t,z/46a-i,z. Assets: Subtype (45. Bonds/Notes, Microcap securities, etc.) (46. Bank/cashier's check, Funds transfer, etc.)
B59	The element is recorded but without a value (i.e. the value is null).	Fatal	AssetSubtypeID	45a-t,z/46a-i,z. Assets: Subtype (45. Bonds/Notes, Microcap securities, etc.) (46. Bank/cashier's check, Funds transfer, etc.)
B60	The element contains an invalid code.	Fatal	AssetSubtypeID	45a-t,z/46a-i,z. Assets: Subtype (45. Bonds/Notes, Microcap securities, etc.) (46. Bank/cashier's check, Funds transfer, etc.)
B61	The element contains a value that is not appropriate for the type of asset recorded.	Fatal	AssetSubtypeID	45a-t,z/46a-i,z. Assets: Subtype (45. Bonds/Notes, Microcap securities, etc.) (46. Bank/cashier's check, Funds transfer, etc.)
B62	The element is not recorded or does not contain a value and Other is indicated for the <AssetSubtypeID> element.	Warning	OtherAssetSubtypeText	45z/46z. Assets: Subtype Other Description
B63	The element is recorded with a value and Other is not indicated for the <AssetSubtypeID> element.	Warning	OtherAssetSubtypeText	45z/46z. Assets: Subtype Other Description
B64	The element is not recorded or does not contain a value.	Warning	AssetAttributeDescriptionText	47-50. Assets Attribute: Value/Description
B65	The value recorded is not valid based on the type of asset attribute (see Value Restrictions for format requirements).	Warning	AssetAttributeDescriptionText	47-50. Assets Attribute: Value/Description
B66	The element is not recorded.	Fatal	AssetAttributeTypeID	47-50. Assets Attribute: Type (Commodity, Product/Instrument, Market where traded, or CUSIP)
B67	The element is recorded but without a value (i.e. the value is null).	Fatal	AssetAttributeTypeID	47-50. Assets Attribute: Type (Commodity, Product/Instrument, Market where traded, or CUSIP)
B68	The element contains an invalid code.	Fatal	AssetAttributeTypeID	47-50. Assets Attribute: Type (Commodity, Product/Instrument, Market where traded, or CUSIP)
B69	The element is not recorded.	Fatal	FilingDateText	95. Date filed

Code	Error Text	Severity	Associated Element(s)	Form Reference
B70	The element is recorded but without a value (i.e. the value is null).	Fatal	FilingDateText	95. Date filed
B71	The value recorded for the element is a date greater than the current date or less than January 1, 2000.	Fatal	FilingDateText	95. Date filed
B72	The value recorded for the element is not a valid date in the format YYYYMMDD.	Fatal	FilingDateText	95. Date filed

7.3. Subject Information Errors

These errors can occur at the FinCEN SAR document level associated with the Part I Subject Information:

Code	Error Text	Severity	Associated Element(s)	Form Reference
C0	The party type associated with the subject is not recorded.	Fatal	Party	Subject Information
C1	The party type associated with the subject exceeds the maximum occurrence for the FinCEN SAR.	Fatal	Party	Subject Information
C2*	The element is not recorded for the subject and <AllCriticalSubjectInformationUnavailableIndicator> does not contain a "Y" value.	Warning	PartyName	4-7. Name
C3*	The element is not recorded or does not contain a value for the subject and unknown is not indicated.	Warning	RawEntityIndividualLastName	4. Name: Entity/Last
C4	The element is not recorded or does not contain a value for an individual subject and unknown is not indicated.	Warning	RawIndividualFirstName	5. Name: First
C6	More than one gender is recorded for the subject.	Warning	FemaleGenderIndicator MaleGenderIndicator UnknownGenderIndicator	08a-c. Gender
C53	A gender indicator element is recorded with a "Y" value for the entity subject.	Warning	FemaleGenderIndicator MaleGenderIndicator UnknownGenderIndicator PartyAsEntityOrganizationIndicator	08a-c. Gender 03a. Check if entity
C7	The element is not recorded for the subject and <AllCriticalSubjectInformationUnavailableIndicator> does not contain a "Y" value.	Warning	Address	11-15. Address
C8	The element is not recorded or does not contain a value and unknown is not indicated.	Warning	RawStreetAddress1Text	11. Address: Street
C9	The element is not recorded or does not contain a value and unknown is not indicated.	Warning	RawCityText	12. Address: City
C10	The element contains an invalid state code.	Fatal	RawStateCodeText	13. Address: State
C11	The element is not recorded or does not contain a value when the country is US, CA, or MX, and unknown is not indicated.	Warning	RawStateCodeText	13. Address: State

Code	Error Text	Severity	Associated Element(s)	Form Reference
C12	The element contains a value and the country is not US, CA, MX, or a U.S. Territory.	Warning	RawStateCodeText	13. Address: State
C13	State code and country code mismatch when a U.S. Territory is recorded.	Warning	RawCountryCodeText RawStateCodeText	13, 15. Address: State, Country
C14	The value recorded contains punctuation or formatting.	Fatal	RawZIPCode	14. Address: ZIP/Postal Code
C15	The element is not recorded or does not contain a value and unknown is not indicated.	Warning	RawZIPCode	14. Address: ZIP/Postal Code
C16	The value recorded is not equal to 5 or 9 numeric characters, is a 9-digit value ending in four zeros or four nines, and the corresponding country is equal to US or a U.S. Territory code.	Warning	RawZIPCode	14. Address: ZIP/Postal Code
C17	The element contains an invalid country code.	Fatal	RawCountryCodeText	15. Address: Country
C18	The element is not recorded or does not contain a value and unknown is not indicated.	Warning	RawCountryCodeText	15. Address: Country
C19*	The element is not recorded for the subject TIN and <AllCriticalSubjectInformationUnavailableIndicator> does not contain a "Y" value.	Warning	PartyIdentification	16-17. TIN
C20	The element is not recorded or does not contain a value and unknown is not indicated.	Fatal	PartyIdentificationNumberText	16. TIN: Number
C21*	The value recorded for the EIN or SSN/ITIN is an invalid number string.	Warning	PartyIdentificationNumberText	16. TIN: Number
C54	The element is not recorded or does not contain a valid value.	Fatal	PartyIdentificationTypeCode	17. TIN: Type
C22	The element is not recorded or does not contain a value for the subject Form of Identification and <AllCriticalSubjectInformationUnavailableIndicator> does not contain a "Y" value.	Warning	PartyIdentification	18. Form of ID
C23	The element contains a value and unknown is indicated.	Warning	PartyIdentificationNumberText	18e. Form of ID: Number
C24	The value recorded for the form of identification number is an invalid number string.	Warning	PartyIdentificationNumberText	18e. Form of ID: Number
C25	The element is not recorded or does not contain a value, the form of identification is Driver's license/State ID, and the country code is US, CA, MX, or a U.S. Territory.	Warning	OtherIssuerStateText	18f. Form of ID: Issuing State
C26	The element contains a value and identification unknown is indicated.	Warning	OtherIssuerStateText	18f. Form of ID: Issuing State
C27	The element contains an invalid state code.	Warning	OtherIssuerStateText	18f. Form of ID: Issuing State
C28	State code and country code mismatch when U.S. Territory is recorded.	Warning	OtherIssuerCountryText OtherIssuerStateText	18f,g. Form of ID: Issuing State/Country
C29	The element is not recorded or does not contain a value and the form of	Warning	OtherIssuerCountryText	18g. Form of ID: Issuing Country

Code	Error Text	Severity	Associated Element(s)	Form Reference
	identification is Passport or Alien registration.			
C30	The element contains a value and identification unknown is indicated.	Warning	OtherIssuerCountryText	18g. Form of ID: Issuing Country
C31	The element contains an invalid country code.	Warning	OtherIssuerCountryText	18g. Form of ID: Issuing Country
C32	The element is not recorded or does not contain a value and the form of identification is Other.	Warning	OtherPartyIdentificationTypeText	18z. Form of ID: Type - Other Description
C33	The element contains a value and identification unknown is indicated.	Warning	OtherPartyIdentificationTypeText	18z. Form of ID: Type - Other Description
C34	The value recorded for the element is not in the required format (YYYYMMDD).	Warning	IndividualBirthDateText	19. Date of birth: Date
C35	The element is not recorded for the individual subject and <AllCriticalSubjectInformationUnavailableIndicator> and <BirthDateUnknownIndicator> do not contain a "Y" value.	Warning	IndividualBirthDateText	19. Date of birth: Date
C36	The date of birth recorded is less than January 1, 1900.	Warning	IndividualBirthDateText	19. Date of birth: Date
C37	The element contains an invalid code.	Fatal	PhoneNumberTypeCode	20a-d. Phone: Type (a. Home, b. Work, c. Mobile, d. Fax)
C38	The value recorded for the element is not a valid email address or URL format.	Warning	ElectronicAddressText	22,22a. E-Address: Address
C39	The element is not recorded or does not contain a value (i.e. the value is null).	Fatal	ElectronicAddressTypeCode	22,22a. E-Address: Type Indicator
C40	The element contains an invalid code.	Fatal	ElectronicAddressTypeCode	22,22a. E-Address: Type Indicator
C41*	The element is not recorded or at least one indicator identifying the type of relationship is not recorded with a "Y" value.	Warning	PartyAssociation	24. Subject Relationship to FI (relationship type indicators)
C42	The value recorded does not match the TIN for the filing institution or a financial institution where the activity occurred.	Fatal	SubjectRelationshipFinancialInstitutionTINText	24a. Subject Relationship to FI: Institution TIN
C43	The element is not recorded or does not contain a value and Other is indicated.	Warning	OtherPartyAssociationTypeText	24z. Subject Relationship to FI: Other description
C44	The element is recorded with a value and Other is not indicated.	Warning	OtherPartyAssociationTypeText	24z. Subject Relationship to FI: Other description
C45	The element is not recorded or does not contain a value and the status of the relationship is Terminated, Suspended/barred, or Resigned.	Warning	ActionTakenDateText	26. Subject Relationship to FI: Action date
C46	The value recorded for the element is not in the required format (YYYYMMDD).	Warning	ActionTakenDateText	26. Subject Relationship to FI: Action date
C55	The element is recorded with a valid value but the status of the relationship is not equal to Terminated, Suspended/barred, or Resigned.	Warning	ActionTakenDateText	26. Subject Relationship to FI: Action date

Code	Error Text	Severity	Associated Element(s)	Form Reference
C56	The element is recorded with a valid value but the type of relationship is not equal to Director, Employee, Officer, or Owner/Controlling Shareholder.	Warning	RelationshipContinuesIndicator; ResignedIndicator; SuspendedBarredIndicator; TerminatedIndicator	25. Subject Relationship to FI: Status of relationship
C57	The element is not recorded or does not contain a value and the type of relationship is equal to Director, Employee, Officer, and/or Owner/Controlling Shareholder.	Warning	RelationshipContinuesIndicator; ResignedIndicator; SuspendedBarredIndicator; TerminatedIndicator	25. Subject Relationship to FI: Status of relationship
C47	The NoKnownAccountInvolvedIndicator element is recorded with a "Y" value but the PartyAccountAssociation element is also recorded.	Warning	NoKnownAccountInvolvedIndicator PartyAccountAssociation Account	27. Related FI TIN/Account(s)/No known accounts involved
C48	The NoKnownAccountInvolvedIndicator element is not recorded and the PartyAccountAssociation element is also not recorded.	Warning	NoKnownAccountInvolvedIndicator PartyAccountAssociation Account	27. Related FI TIN/Account(s)/No known accounts involved
C49	The element is not recorded or does not contain a value.	Fatal	PartyAccountAssociationType Code	27. Account: Party Association Type (Subject Identifier)
C50	The element contains an invalid code.	Fatal	PartyAccountAssociationType Code	27. Account: Party Association Type (Subject Identifier)
C51	More than one role is recorded for the subject.	Warning	BothPurchaserSenderPayeeReceiverIndicator PayeeReceiverIndicator PurchaserSenderIndicator	28a-c. Subject role in transaction
C52*	Subject relationship to institution is categorized as Director, Employee, Officer, and/or Owner/Controlling Shareholder, and Joint report is indicated.	Warning	ActivityAssociation (DirectorIndicator, EmployeeIndicator, OfficerIndicator, OwnerShareholderIndicator); PartyAssociation (JointReportIndicator)	24h/i/k/l. Subject relationship to institution; 1d. Joint report

7.4. Financial Institution & Branch Where Activity Occurred Errors

These errors can occur at the FinCEN SAR document level associated with the Part III Financial Institution Where Activity Occurred Information, as well as the Branch location (if any):

Code	Error Text	Severity	Associated Element(s)	Form Reference
D0	The party type associated with the financial institution where activity occurred is not recorded.	Fatal	Party	FI Where Activity Occurred
D1	The party type associated with the financial institution where activity occurred exceeds the maximum occurrence for the FinCEN SAR.	Fatal	Party	FI Where Activity Occurred
D2	The element is not recorded.	Fatal	OrganizationClassificationType Subtype	51, 53-54. Institution Type/Subtype
D3	The element is not recorded or does not contain a value (i.e. the value is null).	Fatal	OrganizationTypeID	51a-g,z. Institution Type

Code	Error Text	Severity	Associated Element(s)	Form Reference
D4	The element contains an invalid code.	Fatal	OrganizationTypeID	51a-g,z. Institution Type
D5	The element is not recorded or does not contain a value and the institution type is equal to Other.	Warning	OtherOrganizationTypeText	51z. Institution Type Other Description
D6	The element is recorded with a value but the institution type is not equal to Other.	Warning	OtherOrganizationTypeText	51z. Institution Type Other Description
D7	The element is not recorded.	Fatal	PrimaryRegulatorTypeCode	52a-i. Primary Federal Regulator
D8	The element is recorded but with no value (i.e. the value is null).	Fatal	PrimaryRegulatorTypeCode	52a-i. Primary Federal Regulator
D9	The element contains an invalid code.	Fatal	PrimaryRegulatorTypeCode	52a-i. Primary Federal Regulator
D10	The element is not recorded or does not contain a value (i.e. the value is null) and the institution type is equal to Casino/Card club or Securities and Futures.	Fatal	OrganizationSubtypeID	53a-c,z 54a-k,z. Institution Subtype: Gaming Institution, Institution Subtype: Securities/Futures Institution
D11	The element contains an invalid code.	Fatal	OrganizationSubtypeID	53a-c,z 54a-k,z. Institution Subtype: Gaming Institution, Institution Subtype: Securities/Futures Institution
D12	The element contains a value but the institution type is not equal to Casino/Card club or Securities and Futures.	Fatal	OrganizationSubtypeID	53a-c,z 54a-k,z. Institution Subtype: Gaming Institution, Institution Subtype: Securities/Futures Institution
D14	The value recorded conflicts with the institution type recorded (e.g. State Casino recorded for Securities and Futures institution)	Fatal	OrganizationSubtypeID	53a-c,z 54a-k,z. Institution Subtype: Gaming Institution, Institution Subtype: Securities/Futures Institution
D15	The element is not recorded or does not contain a value and the institution subtype is equal to Other.	Warning	OtherOrganizationSubTypeText	53z 54z. Institution Subtype Other: Gaming Institution Description Institution Subtype Other: Securities/Futures Institution Description
D16	The element is recorded with a value but the institution subtype is not equal to Other.	Warning	OtherOrganizationSubTypeText	53z 54z. Institution Subtype Other: Gaming Institution Description Institution Subtype Other: Securities/Futures Institution Description

Code	Error Text	Severity	Associated Element(s)	Form Reference
D17	The element is not recorded or does not contain a value and unknown is not indicated.	Fatal	PartyIdentificationNumberText	55h. Institution ID: Number
D51	More than one role is recorded for the financial institution's role in transaction.	Warning	PayLocationIndicator SellingLocationIndicator SellingPayingLocationIndicator	56a-b. Role in transaction
D18	The element is not recorded or does not contain a value and unknown is not indicated.	Fatal	RawPartyFullName	57. Name: Legal name of FI
D19	The element is recorded with a value for the legal name and unknown is indicated.	Warning	RawPartyFullName	57. Name: Legal name of FI
D20	The element is not recorded or does not contain a value and unknown is not indicated.	Fatal	PartyIdentificationNumberText	59. TIN: Number
D21*	The value recorded for the EIN or SSN/ITIN is an invalid number string.	Warning	PartyIdentificationNumberText	59. TIN: Number
D52	The element is not recorded or does not contain a valid value.	Fatal	PartyIdentificationTypeCode	60. TIN: Type
D22	The element is not recorded or does not contain a value and unknown is not indicated.	Warning	RawStreetAddress1Text	61. Address: Address/Street
D23	The element is not recorded or does not contain a value and unknown is not indicated.	Warning	RawCityText	62. Address: City
D24	The element contains an invalid state code.	Fatal	RawStateCodeText	63. Address: State
D25	The element is not recorded or does not contain a value when the country is US, CA, MX, or a U.S. Territory.	Warning	RawStateCodeText	63. Address: State
D26	The element contains a value and the country is not US, CA, MX, or a U.S. Territory.	Warning	RawStateCodeText	63. Address: State
D27	State code and country code mismatch when U.S. Territory is recorded.	Warning	RawCountryCodeText RawStateCodeText	63, 65. Address: State, Country
D28	The value recorded contains punctuation or formatting.	Fatal	RawZIPCode	64. Address: ZIP/Postal Code
D29	The element is not recorded or does not contain a value and unknown is not indicated.	Warning	RawZIPCode	64. Address: ZIP/Postal Code
D30	The value recorded is not equal to 5 or 9 numeric characters, is a 9-digit value ending in four zeros or four nines, and the corresponding country is equal to US or a U.S. Territory code.	Warning	RawZIPCode	64. Address: ZIP/Postal Code
D31	The element contains an invalid country code.	Fatal	RawCountryCodeText	65. Address: Country
D32	The element is not recorded or does not contain a value and unknown is not indicated.	Warning	RawCountryCodeText	65. Address: Country
D33	The loss to financial institution amount recorded contains one or more non-numeric characters.	Warning	LossToFinancialAmountText	67. Loss to financial institution (amount)

Code	Error Text	Severity	Associated Element(s)	Form Reference
D53	The loss to financial institution amount recorded is equal to zero.	Warning	LossToFinancialAmountText	67. Loss to financial institution (amount)
D34	The loss to financial institution amount recorded is greater than the amount recorded for <TotalSuspiciousAmountText>	Warning	LossToFinancialAmountText	67. Loss to financial institution (amount)
D35	The element is recorded but no relationship indicator is recorded with a "Y" value.	Warning	PartyAssociation	67. FI/Branch Party Association
D36	This element is recorded with a "Y" value for the Financial institution (34) but one or more Branch (46) party type locations are also recorded.	Warning	NoBranchActivityInvolvedIndicator	69a. No branch activity involved indicator
D37	The party type associated with the branch where activity occurred is not recorded and "no branch activity involved" is not indicated.	Warning	Party	Branch Location
D38	The party type associated with the branch where activity occurred exceeds the maximum occurrence for the FinCEN SAR.	Fatal	Party	Branch Location
D39	More than one role is recorded for the branch's role in the transaction.	Warning	PayLocationIndicator SellingLocationIndicator SellingPayingLocationIndicator	68a-c. Role in transaction
D41	The element is not recorded for the Branch and <NoBranchActivityInvolvedIndicator> does not contain a "Y" value.	Warning	Address	69, 71-74. Address
D44	The element contains an invalid state code.	Fatal	RawStateCodeText	72. Address: State
D45	The element contains a value and the country is not US, CA, MX, or a U.S. Territory.	Warning	RawStateCodeText	72. Address: State
D46	The element is not recorded or does not contain a value when the country is a U.S. Territory.	Warning	RawStateCodeText	72. Address: State
D47	State code and country code mismatch when U.S. Territory is recorded.	Warning	RawCountryCodeText RawStateCodeText	72, 74. Address: State, Country
D49	The element contains an invalid country code.	Fatal	RawCountryCodeText	74. Address: Country
D50	The element is not recorded or does not contain a value.	Warning	RawCountryCodeText	74. Address: Country

7.5. Filing Institution Errors

These errors can occur at the FinCEN SAR document level associated with the Part IV Filing Institution Information:

Code	Error Text	Severity	Associated Element(s)	Form Reference
E0	The party type associated with the filing institution is not recorded.	Fatal	Party	Filing Institution

Code	Error Text	Severity	Associated Element(s)	Form Reference
E1	The party type associated with the filing institution exceeds the maximum occurrence for the FinCEN SAR.	Fatal	Party	Filing Institution
E2	The element is not recorded.	Fatal	PrimaryRegulatorTypeCode	75a-i, z. Primary Federal Regulator
E3	The element is recorded but with no value (i.e. the value is null).	Fatal	PrimaryRegulatorTypeCode	75a-i, z. Primary Federal Regulator
E4	The element contains an invalid code.	Fatal	PrimaryRegulatorTypeCode	75a-i, z. Primary Federal Regulator
E5*	The element is not recorded.	Warning	RawPartyFullName	76. Name: Legal name
E6*	The element is recorded but with no value (i.e. the value is null).	Warning	RawPartyFullName	76. Name: Legal name
E7	The element is not recorded or does not contain a value for the filing institution TIN.	Fatal	PartyIdentificationNumberText	77. TIN: Number
E9*	The value recorded for the EIN or SSN/ITIN is an invalid number string.	Warning	PartyIdentificationNumberText	77. TIN: Number
E46	The element is not recorded or does not contain a valid value.	Fatal	PartyIdentificationTypeCode	78. TIN: Type
E10	The element is not recorded.	Fatal	OrganizationClassificationTypeSubtype	79, 80. Institution Type/Subtype
E11	The element is not recorded or does not contain a value (i.e. the value is null).	Fatal	OrganizationTypeID	79a-g,z. Institution Type
E12	The element contains an invalid code.	Fatal	OrganizationTypeID	79a-g,z. Institution Type
E13	The element is not recorded or does not contain a value and the institution type is equal to Other.	Warning	OtherOrganizationTypeText	79z. Institution Type Other Description
E14	The element is recorded with a value but the institution type is not equal to Other.	Warning	OtherOrganizationTypeText	79z. Institution Type Other Description
E15	The element is not recorded or does not contain a value (i.e. the value is null) and the institution type is equal to Securities and Futures.	Fatal	OrganizationSubtypeID	80a-n,z. Institution Subtype: Securities/Futures Institution
E16	The element contains an invalid code.	Fatal	OrganizationSubtypeID	80a-n,z. Institution Subtype: Securities/Futures Institution
E17	The element contains a value but the institution type is not equal to Securities and Futures.	Fatal	OrganizationSubtypeID	80a-n,z. Institution Subtype: Securities/Futures Institution
E19	The value recorded conflicts with the institution type recorded (e.g. State Casino recorded for Securities and Futures institution)	Fatal	OrganizationSubtypeID	80a-n,z. Institution Subtype: Securities/Futures Institution
E20	The element is recorded with a value but the institution subtype is not equal to Other.	Warning	OtherOrganizationSubTypeText	80z. Institution Subtype Other: Securities/Futures Institution Description
E47	The element is not recorded or does not contain a value and the institution subtype is equal to Other.	Warning	OtherOrganizationSubTypeText	80z. Institution Subtype Other: Securities/Futures Institution Description
E21	The element is not recorded or does not contain a value for the filing institution identification number.	Fatal	PartyIdentificationNumberText	81h. Institution ID: Number
E22	The value recorded for the identification number is an invalid number string.	Warning	PartyIdentificationNumberText	81h. Institution ID: Number

Code	Error Text	Severity	Associated Element(s)	Form Reference
E24	The element is not recorded or does not contain a value for the filing institution.	Warning	RawStreetAddress1Text	82. Address: Address/Street
E26	The element is not recorded or does not contain a value for the filing institution.	Warning	RawCityText	83. Address: City
E27	The element contains an invalid state code.	Fatal	RawStateCodeText	84. Address: State
E28	The element is not recorded or does not contain a value for the filing institution when the country is US, CA, MX, or a U.S. Territory.	Warning	RawStateCodeText	84. Address: State
E30	The element contains a value and the country is not US, CA, MX, or a U.S. Territory.	Warning	RawStateCodeText	84. Address: State
E31	State code and country code mismatch when U.S. Territory is recorded.	Warning	RawCountryCodeText RawStateCodeText	8486. Address
E32	The value recorded contains punctuation or formatting.	Fatal	RawZIPCode	85. Address: ZIP/Postal Code
E34	The element is not recorded or does not contain a value for the filing institution.	Warning	RawZIPCode	85. Address: ZIP/Postal Code
E35	The value recorded is not equal to 5 or 9 numeric characters, is a 9-digit value ending in four zeros or four nines, and the corresponding country is equal to US or a U.S. Territory code.	Warning	RawZIPCode	85. Address: ZIP/Postal Code
E36	The element contains an invalid country code.	Fatal	RawCountryCodeText	86. Address: Country
E37	The element is not recorded or does not contain a value for the filing institution.	Warning	RawCountryCodeText	86. Address: Country
E39	The party type associated with the designated contact office is not recorded.	Fatal	Party	93. Designated Contact Office
E40	The party type associated with the designated contact office exceeds the maximum occurrence for the FinCEN SAR.	Fatal	Party	93. Designated Contact Office
E41	The element is not recorded or does not contain a value for the Designated contact office.	Fatal	RawPartyFullName	93. Name: Legal name
E42	The element is not recorded or does not contain a value for the designated contact office.	Warning	PhoneNumberText	94. Phone: Number
E43	The party type associated with the LE contact agency exceeds the maximum occurrence for the FinCEN SAR.	Fatal	Party	89. LE Contact Agency
E44	The party type associated with the LE contact name exceeds the maximum occurrence for the FinCEN SAR.	Fatal	Party	90. LE Contact Name
E45	The value recorded for the element is not in the required format (YYYYMMDD).	Fatal	ContactDateText	92. LE contact date

7.6. Attachment & Narrative Errors

These errors can occur at the FinCEN SAR document level associated with the Part V Attachment & Narrative Information:

Code	Error Text	Severity	Associated Element(s)	Form Reference
F0	The batch submission contains an attachment but the <OriginalAttachmentFileName> element is not recorded or does not contain a value.	Fatal	OriginalAttachmentFileName	FinCEN SAR Attachment
F1	The element is recorded with a valid value but there is no corresponding attachment.	Fatal	OriginalAttachmentFileName	FinCEN SAR Attachment
F2	The element is not recorded.	Fatal	ActivityNarrativeInformation	Narrative
F3	The element is not recorded or does not contain a value.	Fatal	ActivityNarrativeSequenceNumber	Narrative: Sequence Number
F4	The element contains an invalid code.	Fatal	ActivityNarrativeSequenceNumber	Narrative: Sequence Number
F5	The element is not recorded or does not contain a value.	Fatal	ActivityNarrativeText	Narrative: Value/Description

7.7. Transmitter Errors

These errors can occur at the FinCEN SAR document level associated with Transmitter of the batch:

Code	Error Text	Severity	Associated Element(s)	Form Reference
G0	A required party associated with the transmitter is missing.	Fatal	Party	NA
G1	The report contains more than one party associated with the transmitter.	Fatal	Party	NA
G2	The element is not recorded or does not contain a value	Warning	Transmitter Name	NA
G3	The element is not recorded or does not contain a value	Warning	Transmitter Address	NA
G4	The element is not recorded or does not contain a value	Warning	Transmitter City	NA
G5	The element is not recorded or does not contain a value and unknown is not indicated.	Warning	Transmitter State	NA
G6	The element contains a value that is not a valid code	Warning	Transmitter State	NA
G7	The element is not recorded or does not contain a value	Warning	Transmitter ZIP/Postal Code	NA
G8	The value recorded contains one or more non-numeric characters or is in an invalid format and the country is US	Warning	Transmitter ZIP/Postal Code	NA
G9	The element is not recorded or does not contain a value	Warning	Transmitter Country	NA
G10	The element contains a value that is not a valid code	Warning	Transmitter Country	NA
G11	State code and country code mismatch when U.S. Territory is recorded	Warning	Transmitter Country	NA
G12	The element contains an invalid number string for a US TIN	Warning	Transmitter Taxpayer Identification Number (TIN)	NA
G13	The element is not recorded or does not contain a value	Warning	Transmitter Taxpayer Identification Number (TIN)	NA

Code	Error Text	Severity	Associated Element(s)	Form Reference
G14	The element is recorded but without a value (i.e. the value is null).	Fatal	Transmitter Taxpayer Identification Number (TIN) or Control Code (TCC) Type	NA
G15	The element contains a value that is not a valid code	Fatal	Transmitter Taxpayer Identification Number (TIN) or Control Code (TCC) Type	NA
G16	The Transmitter Control Code (TCC) specified in the file is not a valid TCC. For production, the TCC must begin with "P" and for User Test, it must be equal to "TBSATEST".	Fatal	Transmitter Control Code (TCC) Number	NA
G19	The value recorded for the element contains non-numeric characters	Warning	Transmitter Telephone Number	NA
G20	The element is not recorded or does not contain a value (i.e. the value is null).	Warning	Transmitter Telephone Number	NA

7.8. Transmitter Contact Errors

These errors can occur at the FinCEN SAR document level associated with contact person for the Transmitter of the batch:

Code	Error Text	Severity	Associated Element(s)	Form Reference
H0	A required party associated with the transmitter contact is missing.	Fatal	Party	NA
H1	The report contains more than one party associated with the transmitter contact.	Fatal	Party	NA
H2	The element is not recorded or does not contain a value	Warning	Transmitter Contact Name	NA

8. Attachment B – Error Correction Instructions

This attachment identifies the requirements and procedures for correcting FinCEN SAR errors reported to batch filers during the FinCEN SAR acknowledgement process.

Error Categories:

There are two main categories of errors identified in batch files: Schema validation errors that result in automatic rejection of the batch file and data errors that represent errors in data entered for individual elements but may not result in a rejection.

Schema validation errors prevent the batch file from being processed and are considered fatal errors. An example of a schema validation error is a missing required element or an element sequence that does not match the schema. An example of a data error is a required element that contains no value. Data errors are classified as primary or secondary warnings, depending on their importance. Primary warnings are file errors that violate electronic filing requirements or instructions and so degrade FinCEN SAR data quality that they must be corrected. Primary warnings make it difficult for regulators, analysts, and law enforcement investigators to locate the FinCEN SARs in the database or identify the nature and circumstances of the suspicious activity. Examples of such warnings include blank last names or legal names, missing financial institution Employer Identification Numbers, or an invalid entry in the suspicious activity date field. Attachment A – Error Descriptions identifies primary errors by adding an asterisk (*) to the error code.

Secondary warnings are data errors that violate electronic filing requirements or instructions but have a lesser impact on FinCEN SAR data quality. Examples of secondary errors are ZIP Codes that end in four zeros (e.g. 123450000), missing dates of birth, or invalid telephone numbers.

Correction Requirements:

Filers should immediately correct and resubmit a batch file rejected for fatal errors when notified by FinCEN the batch file was not accepted.

When an accepted batch file contains FinCEN SARs with primary warning errors, those FinCEN SARs must be re-filed as a corrected report with the primary errors and any secondary errors corrected. FinCEN SARs that contain only secondary errors need not be corrected. FinCEN requires that filers prevent all reported errors in their future filings. FinCEN recommends that data error corrections be made no later than 30 days after receiving error notifications. Furthermore, FinCEN recommends that filers remedy any systemic problems in their electronic submissions within 30 days of receiving error notifications. If technical issues prevent filers from implementing corrections within these time frames, filers should notify FinCEN by writing to:

Financial Crimes Enforcement Network
Office of Domestic Liaison
Data Quality Assessments
P.O. Box 39
Vienna, VA 22183

This correspondence should explain the technical issues involved that prevent meeting the time frame, provide an estimate of when the issues will be resolved, and include a contact name and telephone number.

Correction Procedures:

FinCEN SAR batch files are rejected when they contain fatal format errors. Filers must correct all fatal errors identified in the batch file and resubmit the batch file to BSA E-Filing. Because they were not accepted by FinCEN, initial report FinCEN SARs in the re-submitted batch file are still initial reports. Do not identify FinCEN SARs from a rejected batch file as Amended reports unless they originally were filed as Amended reports.

If errors involve accepted with warning errors in the FinCEN SARs of an accepted batch file, filers should correct all errors and file amended reports on the affected FinCEN SARs using the following procedures:

- Make the corrections to all errors in the FinCEN SARs in the accepted batch file.

- Record "Y" in the <CorrectsAmendsPriorReportIndicator> element under the <Activity Association> element in each FinCEN SAR to be corrected.
- Record in the <EFilingPriorDocumentNumber> element under the <Activity> element the BSA Identifier (from the FinCEN SAR Acknowledgement) that was assigned to the FinCEN SAR being corrected.
- Ensure that the <FilingDateText> element contains a new date.
- Complete all other data in the FinCEN SAR in their entirety.
- Retransmit the corrected FinCEN SAR in a new batch file. Do not re-transmit the original batch file because this will cause duplicate database entries on any FinCEN SARs that were not corrected.

9. Attachment C – SAR Filing Instructions

The FinCEN SAR Filing instructions have been relocated to a new stand-alone document titled [FinCEN SAR Filing Instructions](#) located at bsafiling.fincen.gov under RESOURCES>Filing Information.

10.Attachment D – Secure Data Transfer Mode Filers

FinCEN provides the ability for filers to submit the FinCEN SAR XML batch file securely via the Internet using a VPN device or Connect:Direct* software. This method of filing is referred to as Secure Data Transfer Mode (SDTM). SDTM allows for a secure, system to system mechanism for transferring batch submissions from your organization's internal server to the BSA E-Filing server. The batch submission process can be automated such that user intervention/involvement is minimized. There is no interaction with the BSA E-Filing system web site for the upload of the batch file but the BSA E-Filing system web site is used to track the status of the submissions.

For filers using this option for filing, SDTM filers can submit a single file containing the FinCEN SAR XML batch data. The file naming convention is as follows:

Position	Description	Requirement
Form type	Form type being submitted (i.e. SARXST)	Form type (SARXST) required in 1 st position (case sensitive).
.	Filename delimiter	Delimiter required.
Unique value	Value determined by filer (<u>must not</u> contain periods or spaces)	Value required in 2 nd position (unique date-timestamp recommended)
.	Filename delimiter	Delimiter required.
SDTM_UID**	The User ID associated with the SDTM account	Complete SDTM_UID required in 3 rd position (case sensitive).
.	Filename delimiter	Delimiter required.
xml	File extension	Extension required (not case sensitive).

EXAMPLE: SARXST.20170609153015.ABCPreparingFirm.xml

For more information on how to setup an SDTM connection, please direct them to the BSA E-Filing Help via the [Support Request Form](#). The Help Desk hours of operation are M-F 8:00 AM to 6:00 PM, Eastern Time (closed on federal holidays).

*Please be advised that IBM's Connect:Direct software is scheduled to be replaced with IBM's Sterling File Gateway software in 2020.

**You can verify your filing organization's SDTM_UID by having a Supervisory User for your organization login to the BSA E-Filing System and select "Manage Users."

11.Attachment E – Supporting Documentation (Attachments)

Institutions filing electronic FinCEN Suspicious Activity Reports (FinCEN SAR) may, but are not required to, attach a Microsoft Excel-compatible comma separated values (CSV) file (no larger than 1 MB) providing details in tabular form of transactions subject to the suspicious activity discussed in Part V “Narrative Description” of the FinCEN SAR.

NOTE: Please be advised that when entering data into an Excel spreadsheet prior to saving it as a comma separated (.CSV) file, the default behavior for numeric data entered into cells is to convert numeric values over 11 characters into scientific notation. For example, the value of 123456789123 is converted to 1.23457E+11 after entry. When the Excel spreadsheet is saved to a comma separated (.CSV) file, this visible format is retained and when opened the entire original number is not displayed, 123456789123, but rather 1.23457E+11. To avoid this behavior, please ensure that your workbook cells are formatted as text prior to entering data in the cell. This can be accomplished by selecting the column, right clicking the mouse and selecting Format Cells, and then selecting Text under Category, and then OK. This must be done before entering the data, not after.

While the BSA E-Filing System limits the number of attachments for a single FinCEN SAR to one (1) CSV file, batch filers must abide by the following instructions in order to submit attachments for one or more FinCEN SAR within their batch file:

1. Record the supporting document file name for each FinCEN SAR XML within the batch

Record the <ActivitySupportDocument> element, along with the <OriginalAttachmentFileName> sub-element, for each FinCEN SAR Activity within the XML batch associated with an attachment. Record the full name of the corresponding CSV file within the OriginalAttachmentFileName element.

2. Record the counts for the total number of attachments and FinCEN SAR XML activities with attachments with the batch

Record the following attributes and counts within the EFilingBatchXML element in the XML batch:

- ActivityAttachmentCount. The count of all <Activity> elements in the batch where the <OriginalAttachmentFileName> element is recorded with a value referencing the file name of the FinCEN SAR attachment
- AttachmentCount. The count of all <OriginalAttachmentFileName> elements in the batch that contain a value referencing the file name of the FinCEN SAR attachment

3. Include all attachments in a single zip file with the FinCEN SAR XML activity sequence number appended to each attachment file name

- Create a zip file composed of all attachments. When naming the zip file, be sure to use a descriptive file name to help you identify which FinCEN SAR batch your attachment zip file is associated with.
- For each csv attachment file within the zip file, append the corresponding sequence number (i.e. “SeqNum” value associated with the FinCEN SAR Activity in the XML batch as follows:

<FinCEN SAR Activity SeqNum>_<OriginalAttachmentFileName>.csv

For example:

1_BankofUSBatchAttachment.csv

The above example indicates that within the FinCEN SAR XML batch, Activity SeqNum=“1” contains the <OriginalAttachmentFileName> element with the value of “BankofUSBatchAttachment.csv”.

4. Attach the attachments zip file to the FinCEN SAR XML Batch Form prior to submission

Once all required fields are complete and your FinCEN SAR XML batch has been attached to the FinCEN SAR XML Batch Form, locate the Add File button for attachments in order to add your attachment zip file to the FinCEN SAR XML Batch Form. Once the attachment file is attached, you may sign the FinCEN SAR Batch Form with your PIN, save, and submit.

ATTENTION: Secure Data Transfer Mode (SDTM) Filers

Filers who transmit the FinCEN SAR XML batch data via secure server-to-server connection may submit a single ZIP file containing the FinCEN SAR XML batch file along with the corresponding attachment zip file. This single ZIP file is composed of one FinCEN SAR XML batch file and one attachment ZIP file. The attachment ZIP file shall follow the same attachment requirements described above. The single ZIP file name must start with "SARXST." and end with ".ZIP". For example: SARXST.SARXML_batch.ZIP. FinCEN SAR XML SDTM batch files without any attachment shall follow the naming convention described in Attachment D of this guide.