



# BSA E-FILING SYSTEM

## FINANCIAL CRIMES ENFORCEMENT NETWORK

## BSA E-Filing System

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The BSA E-Filing System supports electronic filing of Bank Secrecy Act (BSA) forms (either individually or in batches) through a FinCEN secure network. BSA E-Filing provides a faster, more convenient, more secure, and more cost-effective method for submitting BSA forms. The BSA E-Filing System is hosted on a secure website accessible on the Internet. Organizations that file BSA forms with FinCEN can securely access the system after they apply for and receive a User ID and password from FinCEN.

## Become a BSA E-Filer

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Complete the following four steps to enroll your organization in BSA E-Filing:

- 1 Identify Your Organization's Point of Contact**

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

To obtain a User ID, the Supervisory User must fill out and submit the Supervisory User Application Form.
- 3 Obtain Authorization as Supervisory User**

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

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

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



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### Identify Your Organization's Point of Contact

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The point of contact identified for your organization will be designated as the Supervisory User for BSA E-Filing. Determining who will act as your organization's Supervisory User is the first step in the BSA E-Filing enrollment process. The Supervisory User serves as a liaison between BSA E-Filing and his/her filing organization and has primary responsibility for the filing organization's use of BSA E-Filing. Consider the information below before choosing your Supervisory User. Once you choose your Supervisory User, that person will complete the enrollment process (steps 2, 3, and 4) for your organization.

#### The Supervisory User will have:

- Responsibility for facilitating the process of creating general user accounts for members of your organization
- Day-to-day oversight of your BSA compliance efforts from a filing standpoint
- Access to system functionality not available to regular users, such as ability to update filing organization information and track the status of filings submitted by all users from across the organization

#### The Supervisory User you choose:

- Should have insight into all BSA filing activities across the entire filing organization
- Should be knowledgeable about the individuals responsible for preparing and submitting BSA filings and the processes by which filings are submitted
- Must be designated by your organization's headquarters Bank and Secrecy Act compliance department
- Must be confirmed as such by the Chief Compliance Officer (or equivalent)
- Will be confirmed by FinCEN's vetting process during the enrollment process

**When you have designated a Supervisory User,  
you have completed Step 1!**

**Your designated Supervisory User should continue this enrollment process, completing the remaining steps in sequence.**



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### Fill Out and Submit the Supervisory User Application Form

A system user ID is required to access the secure portion of the BSA E-Filing System.

#### Follow the instructions below to apply for a User ID:

1. Click [Supervisory User Application Form](https://bsaefiling1.fincen.treas.gov/AddUser) (<https://bsaefiling1.fincen.treas.gov/AddUser>) to open the form.
2. Follow the instructions on the form, noting that mandatory fields are identified with an asterisk (\*) and shaded in yellow.
  - a. User Information**
    - Ensure your email address is correct in order to receive enrollment codes and your User ID.
    - The **Type** field default is *Supervisory* and cannot be changed.
  - b. User Login Information**
    - It is recommended to use your email address as your User ID.
    - Note your answer to the **Challenge Phrase** as it will be used to create your temporary User ID and password.
  - c. Organization Information**
    - EIN - Employer Identification Number
    - Micr # = Magnetic Ink Character Recognition Number
    - TCC, Transmitter Control Code, is only required if your organization currently files CTR or SAR batches.
  - d. Authorizer Information**
    - Confirm that the authorizer has the appropriate authority in the organization to approve the Supervisory User.
    - If your organization has fewer than 25 employees, the authorizer and the Supervisory User may be the same.
3. Click **Submit**.

**When you have submitted the form, you have completed Step 2!**

To continue this enrollment process, complete the remaining steps in sequence.



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### **Obtain Authorization as Supervisory User**

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As the Supervisory User, you are responsible for completing the remaining steps of the enrollment process. After you submit your Supervisory User Application Form, FinCEN will vet your identity and your designation as a BSA E-Filing Supervisory User. This will involve verifying the business location of the authorizer you listed on the form and contacting this person by telephone. FinCEN will perform this vetting process within 5 to 7 business days after submission of the Supervisory User Application Form.

FinCEN will ask the authorizer a short series of questions regarding:

- Your employment status at the filing organization
- Your authority to assume the Supervisory User role
- The accuracy of the personal information you entered in the Supervisory User Application Form

In order to serve as the official Supervisory User for your organization, it is critical that the authorizer confirm the information you submitted. If your authorizer cannot confirm the information you submitted, your request will be denied.

To increase the likelihood of successful enrollment, it is important that the authorizer be aware of and prepared to verify this information. FinCEN will be able to complete the vetting process in a timely manner and issue you a User ID with which to access the BSA E-Filing System.

**When you have been authorized as the  
Supervisory User, you have completed Step 3!**

**Continue this enrollment process by completing the remaining step.**



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### Download the Forms Viewer

Downloading the Forms Viewer allows you to view and prepare electronic CTR and SAR forms, view Alerts, and create Secure Messages to send to FinCEN.

#### Follow the instructions below to complete the download:

1. Click **Download Forms Viewer** to initiate the download. The **File Download - Security Warning** dialog box appears.  
**NOTE:** This application requires approximately 4,039 kilobytes of free space on your hard drive.
2. Click **Run**. The application begins downloading.
3. If a security warning dialog appears, click **Run** again to continue.
4. The **ICS Viewer** dialog box appears. Click **Yes** to continue.
5. Follow the installation wizard instructions.
6. Accept the default options presented in the wizard.
7. Uncheck the **Launch the application** box on the final screen.
8. Click **Finish** to complete the installation.

**When you have downloaded the Forms Viewer, you have completed the enrollment process!**

#### Next Steps

##### Once you've completed the process:

- You will receive an email message from FinCEN with your User ID and login instructions.
- You will find a document entitled "Next Steps" on the BSA E-Filing secure site homepage to assist you and your organization in submitting BSA forms using the BSA E-Filing System.
- If you will be submitting batch files, you will be able to submit test files through the BSA E-Filing User Test System. Further information is contained in the [BSA E-Filing System Batch File Testing Procedures](http://bsaefiling.fincen.treas.gov/docs/TestingProcedures.pdf) (<http://bsaefiling.fincen.treas.gov/docs/TestingProcedures.pdf>).
- You will find a list of your regular user and Supervisory User privileges on the BSA E-Filing secure site homepage.
- You will have access to the Supervisory User and General User Manuals.
- You can initiate the enrollment of additional individuals within your organization.