BSA Electronic Filing Requirements For

Suspicious Activity Reports
by Depository Institutions (SAR-DI)
(Form TD F 90-22.47)

Release Date July 2011

DEPARTMENT OF THE TREASURY

These Requirements for Electronic Filing of Suspicious Activity Reports by Depository Institutions (SAR-DI) (Form TD F 90-22.47) were developed under the sponsorship of the following:

Financial Crimes Enforcement Network

Internal Revenue Service

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Revision History

Version Number	Date	Reason for Change
1.1	3/31/08	State, Country and ZIP Code reference central lists on FinCEN.gov.
1.2	7/19/08	Replaces references to magnetic media with references to electronic filing using the BSA E-Filing System.
		General information has been moved from this document to the General Specifications For Electronic Filing Of Bank Secrecy Act (BSA) Reports (General Specifications). Only specific information regarding this form has been retained in this document.
1.3	8/28/09	Adds SAR-DI Acknowledgement record formats.
		Adds Attachment B, Error Code List, showing error codes and error descriptions.
		Moves file error codes from the General Specifications For Electronic Filing Of Bank Secrecy Act (BSA) Reports (General Specifications) to this document.
		Adds reference to Financial Institution Branch (2B) Record in File Organization section.
		Record 2A Field Position 104, Primary Federal Regulator, is only required if applicable.
		Clarifies that the 2B Branch address fields are only required if a branch is involved.
		Record 2B, Field Positions 76-77, Branch Office Country Code, is not required.
		Record 2B, Field Positions 86-120, Contact Name, 161-163, Contact Area Code, and 164-170, Contact Phone Number, are required.
		Record 3A, Field Position 352, Corrects Prior Report Indicator,

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		is only required as applicable.
		Clarifies that a 4A record is not to be submitted if no suspect information is available. In this case, enter "X" in the 3A record field position 353 and do not submit a 4A record. Do not submit blank 4A records.
		Clarifies that the 6A record, Field Position 15-410, Explanation/Description, is required.
1.4	12/12/09	Added guidance that this document should be used in conjunction with the paper form instructions and other published FinCEN guidance.
		Record 2A, Field Position 68-92, Institution City (Item 6), remarks revised to add "Do not abbreviate."
		Record 2A Field Position 104, Primary Federal Regulator, no longer required.
		Record 2B, Field Position 164-170, Contact Phone Number (Item 50), changed to (Item 49).
		Record 3A, Field Position 317-326, Amount of Loss (Item 36) and Field Position 327-336, Amount of Recovery (Item 37) remarks were clarified.
		Record 4A, Field Position 50-79, Suspect's Address (Item 18) and Field Position 80-104, Suspect's City (Item 20), remarks revised to add "Do not abbreviate."
		Record 4A, Field Position 118-126, Suspect's TIN, remarks revised to add "Do not enter hyphens, slashes, or invalid entries such as all nines or all zeros."
		Adds information about obtaining the xml schema for the acknowledgement file.
		Attachment B, Error Code List, has been updated.
		Attachment C, Field Editing Instructions, revised.

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Version Number	Date	Reason for Change
1.5	01/15/10	Clarification added for 99 as maximum number of 4A, 6A records for each 3A record.
1.6	4/9/10	Record 1A, Field Position 95-103, Transmitter ZIP Code, added "A nine-digit ZIP Code cannot end with four zeros."
		Record 2A, Field Position 95-103, Institution ZIP Code (Item 8), added "A nine-digit ZIP Code cannot end with four zeros."
		Record 2A, Field Position 105-113, Institution EIN (Item 3), clarified to add '123456789' as a prohibited entry.
		Record 2B, Field Position 67-75, Branch Office ZIP Code (Item 12) added "A nine-digit ZIP Code cannot end with four zeros."
		Record 2B, Field Position 78-85, Institution Closed Date (Item 13), added "Cannot be greater than the Prepared Date (Item 50) in Field Position 339-346."
		Record 2B, Field Position 86-120, Contact Name (Item 45, 46, 47) added "Enter the contact person's name in last name/first name/middle initial format."
		Record 3A, Field Position 241-248, From Violation Date (Item 33), added "Cannot be greater than Prepared Date (Item 50) in Field Position 339-346."
		Record 3A, Field Position 249-256, To Violation Date (Item 33), added "Cannot be earlier than the From Violation Date (Item 33) in Field Position 241-148 or more recent than the Prepared Date (Item 50) in Field Position 339-346."
		Record 3A, Field Position 327-336, Amount of Recovery (Item 37), specifies that entered amount cannot be greater than Amount of Loss (Item 36) in Field Position 317-326.
		Record 4A, Field Position 107-115, Suspect's ZIP Code (Item 22), added "A nine-digit ZIP Code cannot end with four zeros." Clarified to allow foreign postal code.
		Record 4A, Field Position 118-126, Suspect's TIN (Item 19),

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Version Number	Date	Reason for Change
		clarified to add '123456789' as a prohibited entry.
		Record 4A, Field Position 127-134, Suspect's Date of Birth (Item 27), clarified to allow partial dates.
		Record 6A, Field Position 15-410, Explanation/Description (Part V), added "carriage returns" to the last sentence.
		Attachment C - Field Editing Instructions, item C, deleted the word "THE" from the list of prohibited words.
		Attachment C - Field Editing Instructions, item D, added: Some Spanish surnames consist of three names (e.g., father's last name, mother's last name, and husband's first last name).
		Error Codes F35 and F36 added to Attachment B – Error Code List.
1.7	6/28/2010	Record 1A, Field Position 95-103, Transmitter ZIP Code remarks revised to add "…or four nines".
		Record 2A, Field Position 95-103, Institution ZIP Code (Item 8) remarks revised to add "…or four nines".
		Record 2B, Field Position 67-75, Branch Office ZIP Code (Item 12) remarks revised to add "…or four nines".
		Record 4A, Field Position 107-115, Suspect's ZIP Code (Item 22) remarks revised to add "…or four nines".
		New Error Code S60 added: "S60 - "Institution Closed Date" is invalid or more recent than the "Prepared Date."
1.8	6/17/2011	Error Codes F24 and F37 added to Attachment B – Error Code List.

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Purpose

The purpose of this document is to provide the requirements and conditions for electronically filing the Suspicious Activity Report for Depository Institutions (SAR-DI), Form TD F 90-22.47. For the purpose of this document, electronic filing of this report will be through the BSA E-Filing system operated by the Financial Crimes Enforcement Network (FinCEN). For more information on the BSA E-Filing System and to register, please go to http://bsaefiling.fincen.treas.gov. This document should be used in conjunction with the "General Specifications for Electronic Filing of Bank Secrecy Act (BSA) Reports" (General Specifications) available at http://www.fincen.gov/forms/files/e-filing_GENspecs.pdf. It is recommended that you refer to the General Specifications first, and then the specific information contained in this document. This document should also be used in conjunction with the paper form instructions and other published FinCEN guidance.

Electronic Filing

The BSA E-Filing System Batch File Testing Procedures are detailed in a separate document that can be accessed on the BSA E-Filing System web site at http://bsaefiling.fincen.treas.gov under Quick Links.

For purposes of this document, the filer is the organization responsible for filing the SAR-DI and the Transmitter is the organization responsible for preparing the electronic files. The filer and transmitter may be the same or different organizations.

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

File Organization

The following data controls must be followed or the SAR-DI electronic file will be rejected. The data records must be in the following sequence:

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Transmitter (1A) Record - Required

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

Parent Financial Institution (2A) Record - Required

There can be more than one of this record type depending on the number of different financial institutions which are included on the file. This record type will immediately precede all records which relate to the financial institution.

Financial Institution Branch (2B) Record - Required

There can be more than one of this record type depending on the number of different financial institution branches which are included on the file. This record type will immediately precede all records which relate to the financial institution branch.

Suspicious Activity (3A) Record - Required

There can be more than one of this record type on the file depending on the number of suspicious activities being reported for financial institution.

Suspect Information (4A) Record - Required

There can be more than one of this record type depending on the number of persons involved in this suspicious activity. There can be no more than 99 records of this type for the same Suspicious Activity (3A) Record.

Information Explanation/Description (6A) Record - Required

There can be more than one of this record type depending on the length of the explanation given for the suspicious activity. There can be no more than 99 records of this type for the same Suspicious Activity (3A) Record.

Branch Summary (9A) Record - Required

There should be one of these records on the file for each financial institution branch that is being reported.

Parent Financial Institution Summary (9B) Record - Required

There must be one of this record type for each financial institution reporting. It must be the last record associated with the institution.

File Summary (9Z) Record - Required

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

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Record Layouts

Transmitter (1A) Record - Required

The first record on each file is to be the transmitter record, which will contain information identifying the transmitter (person or organization handling the data accumulation and formatting). There will be only one transmitter record on each electronic file. All data elements for this record are required.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "1A".
3-37	Transmitter Name	35	REQUIRED. Enter the name of the individual or organization that is transmitting the transactions on this file.
38-67	Transmitter Address	30	REQUIRED. Enter the street address of the transmitter.
68-92	Transmitter City	25	REQUIRED. Enter the city of the transmitter.
93-94	Transmitter State	2	REQUIRED. Enter the transmitter state code. Use the valid abbreviation from http://www.fincen.gov/forms/files/country_and_state_codes.pdf.
95-103	Transmitter ZIP Code	9	REQUIRED. Enter the transmitter five or nine-digit ZIP Code assigned by the U.S. Postal Service. A five-digit ZIP Code must be followed by four spaces. A nine-digit ZIP Code cannot end with four zeros or four nines.
104-106	Transmitter Area Code	3	REQUIRED. Enter the transmitter area code.
107-113	Transmitter Telephone	7	REQUIRED. Enter the transmitter telephone number.
114-148	Transmitter Contact	35	REQUIRED. Enter the name of an official contact for the transmitter.
149-157	Transmitter Employer Identification Number (EIN)	9	REQUIRED. This must be the valid nine-digit number assigned to the transmitter by IRS. Do not enter hyphens, slashes, alpha characters, or invalid entries such as all nines, all zeros, or "123456789".

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Field Position	Field Name	Length	Description and Remarks
158–165	Coverage Beginning Date	8	REQUIRED. This will be the date of the earliest original transaction on the file. Enter as a numeric 8-position field in format: century, year, month, day (CCYYMMDD).
166–173	Coverage Ending Date	8	REQUIRED. This will be the date of the latest original transaction on the file. Enter as a numeric 8-position field in format: century, year, month, day (CCYYMMDD).
174–181	Transmitter Control Code (TCC)	8	REQUIRED. Enter your assigned 8-character TCC.
182-409	Filler	228	Space Filled.
410	New Format Indicator	1	REQUIRED. Enter "4".
411–420	User Field	10	Use this field for any descriptive information you may require; otherwise, space fill.

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Parent Financial Institution (2A) Record – Required

This record identifies information regarding the parent financial institution. The number of financial institution records will depend on the number of different financial institutions that are included on the file. The 2A record item numbers refer to the SAR-DI Form Part I.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "2A".
3-37	Financial Institution Name (Item 2)	35	REQUIRED. Enter the financial institution's full legal name.
38-67	Institution Address (Item 4)	30	REQUIRED. Enter the address of the institution. Do not abbreviate.
68-92	Institution City (Item 6)	25	REQUIRED. Enter the city where the institution is located. Do not abbreviate.
93-94	Institution State (Item 7)	2	REQUIRED. Enter the two (2) character state code. Use the valid abbreviation from http://www.fincen.gov/forms/files/country_and_state_codes.pdf
95-103	Institution ZIP Code (Item 8)	9	REQUIRED. Enter the institution five or nine-digit ZIP Code assigned by the U.S. Postal Service. A five-digit ZIP Code must be followed by four spaces. A nine-digit ZIP Code cannot end with four zeros or four nines.
104	Primary Federal Regulator (Item 5)	1	If applicable, enter the primary federal regulator as follows: Code Description A Federal Reserve B FDIC C NCUA D OCC E OTS
105-113	Institution EIN (Item 3)	9	REQUIRED. Enter the EIN of the parent financial institution. Do not enter hyphens, slashes, alpha characters, or invalid entries such as all nines, all zeros, or "123456789".

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114-410	Filler	297	Space Filled.
411-420	User Field	10	Use this field for any descriptive information you may require; otherwise, space fill.

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Financial Institution Branch (2B) Record - Required

This record identifies information regarding the financial institution branch where the activity occurred and the assisting contact person or office. At least one 2B record is required to record contact data, even if no branch is involved. Do NOT enter the address from the Parent Financial Institution (2A) Record in the 2B record address fields. The number of 2B records will depend on the number of branches and/or the number of contacts the financial institution is reporting on the electronic file. The 2B record item numbers refer to the SAR-DI Form Part I and Part IV.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "2B".
3-9	Branch Code	7	REQUIRED. Enter the identifying number of the submitting branch or contact for assistance. Right justify and zero fill.
10-39	Branch Office Address (Item 9)	30	REQUIRED, if a branch is involved. Enter the branch office address.
40-64	Branch Office City (Item 10)	25	REQUIRED, if a branch is involved. Enter the branch office city.
65-66	Branch Office State (Item 11)	2	REQUIRED, if a branch is involved. Enter the two (2) character state code. Use the valid abbreviation from http://www.fincen.gov/forms/files/country_and_state_codes.pdf.
67-75	Branch Office ZIP Code (Item 12)	9	REQUIRED, if a branch is involved. Enter the branch office five or nine-digit ZIP Code assigned by the U.S. Postal Service. A five-digit ZIP Code must be followed by four spaces. A nine-digit ZIP Code cannot end with four zeros or four nines.
76-77	Branch Office Country Code	2	No longer required. Space fill.
78-85	Institution Closed Date (Item 13)	8	REQUIRED. Date institution closed (if closed). Enter as a numeric 8-position field in format: century, year, month, day (CCYYMMDD). Cannot be greater than the Prepared Date (Item 50) in Field Position 339-346.

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86-120	Contact Name (Item 45, 46, 47)	35	REQUIRED. Name of the contact person or office. Enter the contact person's name in last name/first name/middle initial format.
121-160	Contact Title (Item 48)	40	Title of the contact person.
161-163	Contact Area Code (Item 49)	3	REQUIRED. Area code of contact person.
164-170	Contact Phone Number (Item49)	7	REQUIRED. Phone number of contact person.
171-205	Contact Institution/Agency (Item 51)	35	Name of the agency (if not filed by financial institution).
206-410	Filler	205	Space Filled.
411-420	User Field	10	Use this field for any descriptive information you may require; otherwise, space fill.

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Suspicious Activity (3A) Record - Required

This record identifies and describes the suspicious activity. It occurs one time per suspicious activity. The 3A record item numbers refer to the SAR-DI Form Part I, Part II, Part III, and Part IV.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "3A".
3-9	Branch Code	7	REQUIRED. Enter the branch number for the submitting branch. Right justify and zero fill.
10-14	Transaction Sequence Number	5	REQUIRED. Enter a sequential number starting with 00001 and increment by 1 for each suspicious transaction (3A) record.
15-36	Account Number 1 (Item 14a)	22	Account Number affected, if any.
37	Account Closed Indicator (Item 14a)	1	Enter: A - Yes B - No
38-59	Account Number 2 (Item 14b)	22	Additional account number affected.
60	Account2 Closed Indicator (Item 14b)	1	Enter: A - Yes B – No
61-82	Account Number 3 (Item 14c)	22	Additional account number affected.
83	Account3 Closed Indicator (Item 14c)	1	Enter: A - Yes B - No
84-105	Account Number 4 (Item 14d)	22	Additional account number affected.
106	Account4 Closed Indicator (Item 14d)	1	Enter: A - Yes B - No

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Field Position	Field Name	Length	Description and Remarks
107-115	Law Enforcement Agencies Advised (Item 40)	9	Enter the appropriate codes from the list below of the law enforcement agencies that have already been advised (maximum of 9). Code Description A DEA B FBI C IRS D Postal Inspection E Secret Service F U.S. Customs G Other Federal H State I Local
116-150	Law Enforcement Agency Name (Item 40j)	35	REQUIRED if Law Enforcement Agencies Advised Code is "G," "H," or "I". Enter the name of the law enforcement agency that was contacted.
151-185	Law Enforcement Contact Person 1 (Item 41)	35	Enter the name of person 1 contacted at law enforcement agency.
186-188	Law Enforcement Agency Phone Number Area Code (Item 42)	3	Enter the area code of the law enforcement agency contact person 1.
189-195	Law Enforcement Agency Phone Number (Item 42)	7	Enter the phone number of the law enforcement agency contact person 1.
196-230	Law Enforcement Agency Contact Person 2 (Item 43)	35	Enter the name of person 2 contacted at law enforcement agency.
231-233	Law Enforcement Agency Phone Number Area Code (Item 44)	3	Enter the area code of the law enforcement agency contact person 2.
234-240	Law Enforcement Agency Phone Number (Item 44)	7	Enter the phone number of the law enforcement agency contact person 2.
241-248	From Violation Date (Item 33)	8	REQUIRED. Enter the violation date or beginning violation date (if including a range of violation dates). Enter as a numeric 8-position field in format: century, year, month, day (CCYYMMDD). Cannot be greater than Prepared Date (Item 50) in Field Position 339-346.

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Field Position	Field Name	Length	Description and Remarks
249-256	To Violation Date (Item 33)	8	Enter the ending date of violation (if including a range of violation dates) or leave blank. Enter as a numeric 8-position field in format: century, year, month, day (CCYYMMDD). Cannot be earlier than the From Violation Date (Item 33) in Field Position 241-148 or more recent than the Prepared Date (Item 50) in Field Position 339-346.
257-266	Violation Amount (Item 34)	10	REQUIRED. Enter the dollar amount involved in the suspicious activity. This value must be zero (0) if the amount is unknown or no dollar amount is involved.
267-276	Violation Type (Item 35)	10	REQUIRED. Enter from 1 to 10 violation types as follows: Code Description A Bank Secrecy Act/Structuring/Money Laundering B Bribery/Gratuity C Check Fraud D Check Kiting E Commercial Loan Fraud F Computer Intrusion G Consumer Loan Fraud H Counterfeit Check I Counterfeit Credit/Debit Card J Counterfeit Instrument (other) K Credit Card Fraud L Debit Card Fraud M Defalcation/Embezzlement N False Statement O Misuse of Position or Self Dealing P Mortgage Loan Fraud Q Mysterious Disappearance R Wire Transfer Fraud S Other T Terrorist Financing U Identity Theft
277-316	Violation Type Other (Item 35s)	40	REQUIRED if Violation Type Code is "S". If the Violation Type is "S" Other, describe the violation. This becomes a required field if the violation type is "S".

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Field Position	Field Name	Length	Description and Remarks
317-326	Amount of Loss (Item 36)	10	Dollar amount of loss prior to recovery (if applicable). Space fill if the "Amount of Loss" is unknown or no loss was involved. Amount cannot be greater than Violation Amount (Item 34) in Field Position 257-266.
327-336	Amount of Recovery (Item 37)	10	Dollar amount of recovery (if applicable). Space fill if the "Amount of Recovery" is unknown or no recovery was involved. Amount cannot be greater than Amount of Loss (Item 36) in Field Position 317-326.
337	Material Impact Indicator (Item 38)	1	Has the suspected violation had a material impact on or otherwise affected the soundness of the institution: A - Yes B - No
338	Bonding Company Notified (Item 39)	1	Has the institution's bonding company been notified: A - Yes B - No
339-346	Prepared Date (Item 50)	8	REQUIRED. Date Report Prepared. Enter as a numeric 8-position field in format: century, year, month, day (CCYYMMDD).
347-348	Number of Suspects	2	REQUIRED. Number of suspect records. Must be equal to the number of Suspect (4A) Records, which cannot be more than 99 for the same Suspicious Activity (3A) Record.
349-350	Number of Explanation/Description Records	2	REQUIRED. Number of explanation/description records. Must be equal to the number of Explanation/Description (6A) Records, which cannot be more than 99 for the same Suspicious Activity (3A) Record.
351	Multiple Branch Code	1	If the suspicious activity took place at multiple branches, enter "X". Include the specific branch information in the narrative Part V.
352	Corrects Prior Report Indicator (Item 1)	1	Enter "X" if corrects prior report.
353	Suspect Information Unavailable (Part II checkbox)	1	Enter "X" if all the suspect information is unavailable. If this is the case, there will be no 4A record. Do not submit a blank 4A record.

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Field Position	Field Name	Length	Description and Remarks
354-410	Filler	57	Space Filled.
411-420	User Field	10	Use this field for any descriptive information you may require; otherwise, space fill.

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Suspect Information (4A) Record - Required

This record contains information related to the Suspect's identity. There can be more than one but no more than 99 of these records for the same Suspicious Activity (3A) Record if there are multiple subjects. If no suspect information is available, enter "X" in the 3A record field position 353 "Suspect Information Unavailable" and omit the 4A record."   The 4A record item numbers refer to the SAR-DI Form Part II.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "4A".
3-9	Branch Code	7	REQUIRED. Enter the branch number for the submitting branch.
10-14	Transaction Sequence Number	5	REQUIRED. Enter the transaction sequence number from the associated 3A Record.
15-49	Suspect's Name (Item 15, 16, 17)	35	Enter the name of the suspect in the format last name/first name/middle initial. Left justified and space filled. Follow the Field Editing Instructions shown in the attachment.
50-79	Suspect's Address (Item 18)	30	Enter the street address of the suspect. Left justified and space filled. Do not abbreviate.
80-104	Suspect's City (Item 20)	25	Enter the suspect's city. Left justified and space filled. Do not abbreviate.
105-106	Suspect's State (Item 21)	2	Enter the appropriate state code for the suspect. Use the valid abbreviation from http://www.fincen.gov/country_and_state_codes.pdf.
107-115	Suspect's ZIP Code (Item 22)	9	Enter the suspect address five or nine-digit ZIP Code assigned by the U.S. Postal Service. A five-digit ZIP Code must be followed by four spaces. A nine-digit ZIP Code cannot end with four zeros or four nines. If the country code in Field Position 116-117, Suspect's Country (Item 23) is not US, then this field is optional and entry can be up to a 9-character alphanumeric value (i.e. foreign postal code).
116-117	Suspect's Country (Item 23)	2	Enter the appropriate country code. Use the valid abbreviation from http://www.fincen.gov/country_and_state_codes.pdf.

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Field Position	Field Name	Length	Description and Remarks
118-126	Suspect's TIN (Item 19)	9	Enter the SSN/TIN of suspect. Do not enter hyphens, slashes, or invalid entries such as all nines, all zeros, or "123456789".
127-134	Suspect's Date of Birth (Item 27)	8	Enter suspect's date of birth. Enter as a numeric 8-position field in format: century, year, month, day (CCYYMMDD). Partial dates are allowed (i.e. 00 in MM and/or DD); must have year.
135-137	Suspect's Area Code (Item 24)	3	Enter suspect's residence area code.
138-144	Suspect's Phone Number (Item 24)	7	Enter suspect's residence telephone number.
145-147	Suspect's Work Area Code (Item 25)	3	Enter suspect's work area code.
148-154	Suspect's Work Phone Number (Item 25)	7	Enter suspect's work telephone number.
155-184	Suspect's Occupation (Item 26)	30	Enter the occupation, profession, or business of the suspect (e.g., attorney, securities broker, auto dealer).
185	Suspect's Identification (Item 29)	1	Enter the appropriate code for the method by which the individual's identity was verified. Code Description A Driver's License/State ID B Passport C Alien Registration D Other
186-225	Suspect's ID Other Description (Item 29d)	40	REQUIRED if Suspect's Identification is "D" Other. Enter a description of the identification. This is not an optional field if the suspect's identification code is "D".
226-247	Suspect's Identification Number (Item 29)	22	Enter the number used for identification.

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Field Position	Field Name	Length	Description and Remarks
248-249	Suspect Issuing Authority (Item 29)	2	Enter the appropriate code to designate the state/country where the identification was issued. Use the valid abbreviation from http://www.fincen.gov/country_and_state_codes.pdf.
250-253	Suspect's Relationship (Item 30)	4	Enter the appropriate code(s) from the list below of the suspect's relationship to the Financial Institution. Include only the first four (4) applicable items. Left justify and space fill if less than four (4) items. Code Description A Accountant B Agent C Appraiser D Attorney E Borrower F Broker G Customer H Director I Employee J Officer K Shareholder L Other
254-293	Suspect's Relationship Other (Item 30l)	40	REQUIRED if Suspect's Relationship is "L" Other. Enter a description of the suspect's relationship with the financial institution. This is not an optional field if the suspect's relationship code is "L".
294	Suspect's Affiliation (Item 31)	1	Suspect's affiliation to the financial institution is an insider relationship. Enter the appropriate code from the list below: A – Yes B – No
295	Suspect's Affiliation Code (Item 31)	1	REQUIRED if Suspect's Affiliation is an insider relationship ("A" – Yes in field 294). Enter the appropriate code from the list below: Code Description C Still employed at financial institution D Suspended E Terminated F Resigned

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Field Position	Field Name	Length	Description and Remarks
296-303	Suspect Termination Date (Item 32)	8	REQUIRED if the Suspect Affiliation Code is "D", "E", or "F" in field position 295. Enter the date action taken. Enter as a numeric 8-position field in format: century, year, month, day (CCYYMMDD).
304	Suspect Admission/Confession Indicator (Item 28)	1	Enter the appropriate code: A – Yes B - No
305-410	Filler	106	Space Filled.
411- 420	User Field	10	Use this field for any descriptive information you may require; otherwise, space fill.

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Information Explanation/Description (6A) Record - Required

This record contains a detailed Explanation/Description of known or suspected violation of law. This record may occur multiple times, but no more than 99 times for the same Suspicious Activity (3A) Record. **NO CARRIAGE RETURNS ALLOWED.** The 6A record refers to the SAR-DI Form Part V.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "6A".
3-9	Branch Code	7	REQUIRED. Enter the branch number for the submitting branch.
10-14	Transaction Sequence	5	REQUIRED. Enter the transaction sequence number from the associated 3A Record.
15-410	Explanation/ Description (Part V)	396	REQUIRED. Enter a detailed explanation/description of the Suspicious Activity. Upper case characters only. Do not use carriage returns, low values, or special characters.
411-420	User Field	10	Use this field for any descriptive information you may require; otherwise, space fill.

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Branch Summary (9A) Record - Required

This record is required. There should be one of these records on the file for each Financial Institution branch that is being reported. This record contains counts of the number of each type of record associated with the branch.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "9A".
3-9	Branch Code	7	REQUIRED. Enter the branch number for the submitting branch. Right justify and zero fill.
10-16	Suspicious Activity Count	7	REQUIRED. Enter a count of the number of Suspicious Activity (3A) Records for the branch.
17- 23	Suspect Record Count	7	REQUIRED. Enter the number of Suspect Information (4A) Records for the branch.
24-30	Explanation/Description	7	REQUIRED. Enter the number of Explanation /Description (6A) Records for the branch.
31-410	Filler	380	Space Filled.
411-420	User Field	10	Use this field for any descriptive information you may require; otherwise, space fill.

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Parent Financial Institution Summary (9B) Record - Required

There should only be one of these records on the file for each Financial Institution that is being reported. This record is to follow the last reported Financial Institution (Branch) Summary (9A) Record for the Financial Institution. This record contains counts of the number of each type record associated with the Financial Institution.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "9B".
3-9	Branch Record Count	7	REQUIRED. Enter count of branch records for the financial institution.
10-16	SAR count	7	REQUIRED. Enter count of SARs for the financial institution.
17-23	Suspect Record Count	7	REQUIRED. Enter count of Suspect Information (4A) Records for the financial institution.
24-30	Explanation/Description Count	7	REQUIRED. Enter count of Explanation/Description (6A) Records for the financial institution.
31-410	Filler	380	Space Filled.
411-420	User Field	10	Use this field for any descriptive information you may require; otherwise, space fill.

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File Summary (9Z) Record - Required

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

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "9Z".
3-9	Parent Financial Institution Record Count	7	REQUIRED. Enter count of parent financial institution records.
10-16	Branch Transaction Records	7	REQUIRED. Enter count of branch financial institution records.
17-23	SAR Count	7	REQUIRED. Enter count of SARs.
24-30	Suspect Record Count	7	REQUIRED. Enter count of Suspect Information (4A) Records.
31-37	Explanation/Description Counts	7	REQUIRED. Enter count of Explanation/Description (6A) Records.
38-410	Filler	373	Space Filled.
411-420	User Field	10	Use this field for any descriptive information you may require; otherwise, space fill.

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Acknowledgement Record Formats

The SAR-DI batch acknowledgement file defined below is provided in ASCII format. Users can also choose to obtain an XML file. The XML schema is available at:

https://bsaefiling1.fincen.treas.gov/forms/ackSchemas/SARAcknowledgementData.xsd

Acknowledgement Transmitter (1A) Record

This record is created by Enterprise Computing Center – Martinsburg (ECC-M) as part of an acknowledgment file returned to the transmitter. This record contains identifying information and error codes pertaining to the transmitter data received by ECC-M.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "1A".
3-10	Coverage Beginning Date	8	From positions 158-165 of the incoming "1A" record. Enter as a numeric 8-position field in format: century, year, month, day, (CCYYMMDD).
11-18	Coverage Ending Date	8	From positions 166-173 of the incoming "1A" record. Enter as a numeric 8-position field in format: century, year, month, day, (CCYYMMDD).
19-26	Transmitter Control Code (TCC)	8	From positions 174-181 of the incoming "1A" record.
27-29	Batch Sequence Number (BSN)	3	References the batch number of the original transmission file submitted by BSA E-Filing. Enter as a numeric.
30-59	Error Codes	30	Each error code is 3 alphanumeric characters in length and this field contains up to 10 error codes. Unused error code positions are zero filled.
60-90	Filler	31	Space Filled.

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Acknowledgement Parent Financial Institution (2A) Record

This record is created by ECC-M as part of an acknowledgment file returned to the transmitter. This record contains identifying information and error codes pertaining to the parent financial institution data received.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "2A".
3-37	Financial Institution Name	35	From positions 3-37 of the incoming "2A" record.
38-67	Error Codes	30	Each error code is 3 alphanumeric characters in length and this field contains up to 10 error codes. Unused error code positions are zero filled.
68-90	Filler	23	Space Filled.

Acknowledgement Financial Institution Branch (2B) Record

This record is created by ECC-M as part of an acknowledgment file returned to the transmitter. This record contains identifying information and error codes pertaining to the financial institution branch data received.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "2B".
3-9	Branch Code	7	From positions 3-9 of the incoming "2B" record.
10-39	Error Codes	30	Each error code is 3 alphanumeric characters in length and this field contains up to 10 error codes. Unused error code positions are zero filled.
40-90	Filler	51	Space Filled.

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Acknowledgement Suspicious Activity (3A) Record

This record is created by ECC-M as part of an acknowledgment file returned to the transmitter. This record contains identifying information and error codes pertaining to the suspicious activity data received.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "3A".
3-7	Transaction Sequence Number	5	From positions 10-14 of the incoming "3A" record.
8-21	Document Control Number	14	Assigned by ECC-M. A unique identifying number.
22-51	Error Codes	30	Each error code is 3 alphanumeric characters in length and this field contains up to 10 error codes. Unused error code positions are zero filled.
52-90	Filler	39	Space Filled.

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Acknowledgement Suspect Information (4A) Record

This record is created by ECC-M as part of an acknowledgment file returned to the transmitter. This record contains identifying information and error codes pertaining to the suspect information received. Note: there will be one Acknowledgement Suspect Information (4A) Record for every incoming Suspect Information (4A) Record in the original transmission.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "4A".
3-7	Transaction Sequence Number	5	From positions 10-14 of the incoming "4A" record.
8-21	Document Control Number	14	Assigned by ECC-M. A unique identifying number.
22-51	Error Codes	30	Each error code is 3 alphanumeric characters in length and this field contains up to 10 error codes. Unused error code positions are zero filled.
52-90	Filler	39	Space Filled.

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Acknowledgement File Summary (9Z) Record

This record is created by ECC-M as part of an acknowledgment file returned to the transmitter. This record is a systems control record and it summarizes the data processed by ECC-M.

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	REQUIRED. Enter "9Z".
3-12	Number of Parent Financial Institution (2A) Records in File	10	Generated by ECC-M.
13-22	Number of Suspicious Activity (3A) Records in File	10	Generated by ECC-M.
23-52	Error Codes	30	Each error code is 3 alphanumeric characters in length and this field contains up to 10 error codes. Unused error code positions are zero filled.
53-90	Filler	38	Space Filled.

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Attachment A – Definitions

Below are the definitions for terms specific to this document. General definitions are contained in the General Specifications document.

Term	Description
SAR-DI	A Suspicious Activity Report by Depository Institution (Form TD F 90-22.47).
Suspect	For SAR-DI purposes, a suspect is a person with questionable/suspicious activities.

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Attachment B - Error Code List

 * Indicates error codes generated by BSA E-Filing only.

 An F error code will result in a rejection of the batch file (does not include error code F24).

Error Code	Error Description	Record	Field Position	Form Field Number
F01	Non-numeric record counts reported on 1A summary record.			
F02	Number of records reported does not match the computer count for the 2A record or 2A record is not the second record on the file.			
F03	Number of records reported does not match the computer count for the 2B record or 2B record is not the third record on the file.			
F04	Number of records reported does not match the computer count for the 3A record, or 3A is not the fourth record on the file or the 3A record has no corresponding 5A record.			
F09	Number of records reported does not match computer count for 4A records.			
F16	No Transmitter (1A) Record on file.			
F17	No Branch Summary (9A) Record on file or a 9A record is found with no prior 3A record.			
F18	No File Summary (9Z) Record on file.			
F22	The number of records reported does not match the computed count of 6A records.			
F24	Number of forms reported on the batch form does not match the computed count of the forms found in the file.			
F34	An invalid record type was present on the submitted file.			
F35	A missing, invalid, or non-numeric "Branch Code" was present on the submitted file.			

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Error Code	Error Description	Record	Field Position	Form Field Number
F36	A missing, invalid, or non-numeric "Transaction Sequence"/"Transaction Sequence Number" was present on the submitted file.	3A 4A 6A	10-14 10-14 10-14	
F37	A duplicate "Transaction Sequence"/"Transaction Sequence Number" was present on the submitted file.			
F88	The Transmitter Control Code (TCC) specified in the file is not a valid production TCC code.	1A	174 - 181	
F89	The New Format Indicator field does not contain the required value of '4'.	1A	410	
F90*	The submitted batch is not a valid version.			
F91*	The submitted EBCDIC file is invalid.			
F92*	The submitted file is empty or the file type is invalid.			
F93*	An invalid line terminator was present on the submitted file			
F94*	Cannot continue processing the submitted file because of previous errors encountered.			
F95*	Too many errors were encountered while processing the submitted file to continue.			
F96*	One, or more, invalid characters were present in the submitted file.			
F97*	Invalid record sequencing was present on the submitted file.			
F98*	An invalid record length was present on the submitted file.			
F99*	Unknown file error. Please contact the BSA E-Filing Help Desk for assistance.			
The following error codes apply to SAR-DI fields in the Acknowledgement 2A, 2B, 3A, 4A, and 6A Records. An error description of "missing" indicates that a required value is not present. "Invalid" indicates an entered value does not match the electronic filing requirements and/or form instructions. Examples of invalid values include a check box value of "X" when it should be "A" or "B," a date in an incorrect format, a Social Security Number consisting of all nines, or a ZIP Code ending with four zeros or four nines.				
S01	"Financial Institution Name" is missing.	2A	3 - 37	2

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Error Code	Error Description	Record	Field Position	Form Field Number
S02	"Institution EIN" is missing or invalid.	2A	105 - 113	3
S03	"Institution Address" is missing.	2A	38 - 67	4
S04	"Primary Federal Regulator" code is invalid.	2A	104	5
S05	"Institution City" is missing.	2A	68 - 92	6
S06	"Institution State" is missing or invalid.	2A	93 - 94	7
S07	"Institution ZIP Code" is missing or invalid.	2A	95 - 103	8
S08	"Branch Office State" is invalid.	2B	65 - 66	11
S09	"Branch Office ZIP Code" is invalid.	2B	67 - 75	12
S10	"Contact Area Code" is missing or invalid.	2B	161 - 163	49
S11	"Contact Phone Number" is missing or invalid.	2B	164 - 170	49
S12	"Contact Name" is missing. The name of at least a contact office must be provided.	2B	86 - 120	45-47
S13	"Corrects Prior Report Indicator" is invalid.	3A	352	1
S14	"From Violation Date" is missing, invalid, or more recent than the "Date Prepared."	3A	241 - 248	33
S15	"To Violation Date" is invalid, more recent than "Date Prepared," or earlier than "From Violation Date."	3A	249 - 256	33
S16	"Violation Amount" is missing or not numeric.	3A	257 - 266	34
S17	"Violation Type" is missing, is invalid, or contains duplicates.	3A	267 - 276	35
S18	"Amount of Loss" is greater than "Violation Amount" or not numeric.	3A	317 - 326	36
S19	"Amount of Recovery" is greater than "Amount of Loss" or not numeric.	3A	327 - 336	37
S20	"Material Impact Indicator" is not A, B, or blank.	3A	337	38
S21	"Bonding Company Notified" value is not A, B, or blank.	3A	338	39
S22	"Law Enforcement Agencies Advised" is invalid or contains duplicates.	3A	107 - 115	40
S23	"Law Enforcement Agency Phone Number Area Code" is invalid.	3A	186 - 188	42

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Error Code	Error Description	Record	Field Position	Form Field Number
S24	"Law Enforcement Agency Phone Number" is invalid.	3A	189 - 195	42
S25	"Law Enforcement Agency Phone Number Area Code" is invalid.	3A	231 - 233	44
S26	"Law Enforcement Agency Phone Number" is invalid.	3A	234 - 240	44
S28	"Account Closed Indicator" is missing when an account number was provided, or the indicator is invalid.	3A	37	14a
S30	"Account 2 Closed Indicator" is missing when an account number was provided, or the indicator is invalid.	3A	60	14b
S32	"Account 3 Closed Indicator" is missing when an account number was provided, or the indicator is invalid.	3A	83	14c
S34	"Account 4 Closed Indicator" is missing when an account number was provided, or the indicator is invalid.	3A	106	14d
S35	"Violation Type - Other" was selected and description is missing.	3A	277 - 316	35s
S36	"Law Enforcement Agency Name" is missing when "Law Enforcement Agencies Advised" contains G, H, or I.	3A	116 - 150	40j
S37	"Prepared Date" is missing, invalid, or more recent than the current date.	3A	339 - 346	50
S38	"Multiple Branch Code" is invalid.	3A	351	9
S39	"Suspect Information Unavailable" is selected and a 4A record exists or "Suspect Information Unavailable" is not selected and a 4A record does not exist.	3A	353	Part II
S40	"Suspect's TIN" is invalid.	4A	118 - 126	19
S41	"Suspect's State" is invalid.	4A	105 - 106	21
S42	"Suspect's ZIP Code" is invalid.	4A	107 - 115	22
S43	"Suspect's Country" code is invalid.	4A	116 - 117	23

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Error Code	Error Description	Record	Field Position	Form Field Number
S44	"Suspect's Area Code" is invalid.	4A	135 - 137	24
S45	"Suspect's Phone Number" is invalid.	4A	138 - 144	24
S46	"Suspect's Work Area Code" is invalid.	4A	145 - 147	25
S47	"Suspect's Work Phone Number" is invalid.	4A	148 - 154	25
S48	"Suspect's Occupation" contains invalid characters.	4A	155 - 184	26
S49	"Suspect's Date of Birth" is invalid, or more recent than the "Date Prepared."	4A	127 - 134	27
S50	"Suspect Admission/Confession Indicator" is not A, B, or blank.	4A	304	28
S51	"Suspect's Identification" value is not A, B, C, D, or blank.	4A	185	29
S52	"Suspect ID Issuing Authority" is invalid.	4A	248 - 249	29
S53	"Suspect's ID Other" was selected and description is missing.	4A	186 - 225	29d
S54	"Suspect's Relationship" is invalid or contains duplicates.	4A	250 - 253	30
S55	"Suspect's Relationship Other" was selected and description is missing.	4A	254 - 293	30L
S56	"Suspect's Affiliation" value is not A, B, or blank.	4A	294	31
S57	"Suspect's Affiliation" is an insider relationship, and "Suspect's Affiliation Code" is missing or invalid.	4A	295	31
S58	"Suspect Termination Date" is missing or invalid when the "Suspect's Affiliation Code" is D, E, or F.	4A	296 - 303	32
S59	"Explanation/Description of the suspicious activity" is missing or contains one or more blank records.	6A	15 - 410	Part V
S60	"Institution Closed Date" is invalid or more recent than the "Prepared Date."	2B	78-85	13

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Attachment C - Field Editing Instructions

These instructions apply to all SAR-DI text fields except the Part V Suspicious Activity Information Explanation/Description.

A. Delete any titles, prefixes, suffixes or other descriptive information such as Mr., Mrs., Dr., Reverend, Partner, or Trustee. Do not delete suffixes which distinguish family members such as Jr., Sr., III or IV. Suffixes should be edited to follow the middle initial separated by a space (e.g. DOE/JOHN/L JR).

B. Delete all punctuation (e.g. "JR." or "INC." would be submitted as "JR" or "INC").

C. Do not use the following words or variations of these words in fields :

   a. COMPUTER GENERATED
   b. CUSTOMER
   c. DBA
   d. N/A
   e. NON CUSTOMER
   f. OTHER
   g. SAME
   h. SAME AS ABOVE
   i. SEE ABOVE
   j. SEE NARRATIVE
   k. SIGNATURE CARD
   l. T/A
   m. UNK
   n. VARIOUS

D. Foreign surnames. Care must be taken in formatting multiple foreign surnames. Multiple surnames must be entered without punctuation in the last name field positions of a name field. Some Spanish surnames consist of three names (e.g., father's last name, mother's last name, and husband's first last name). For example, Spanish names are usually written in the order of first name, father's last name, and mother's last name, e.g., Juan Vega Santiago. The father and mother last names would be entered in the last name field positions with the first name in the first name field positions, e.g. as VEGA SANTIAGO/JUAN.

E. Name separators. Place a slash ("/") before each name except the surname (e.g., WHITE/ELIZABETH/A or JOHNSON/JAMES/R III) but not between compound

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names or multiple surnames such as VAN GOGH or VEGA SANTIAGO. If only the surname of an individual is present, then place a slash after it (e.g. JONES/). If a non-individual is listed, do not enter slashes between names. Enter a slash bar following the name (e.g. WILSON ELECTRONICS LLC/).

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