



**32. Casinos**

- a.  Inquiry about end of business day
- b.  Minimal gaming with large transactions
- c.  Suspicious intra-casino funds transfers
- d.  Suspicious use of counter checks or markers
- z.  Other: \_\_\_\_\_

**34. Identification / Documentation**

- a.  Changes spelling or arrangement of name
- b.  Multiple individuals with same or similar identities
- c.  Provided questionable or false documentation
- d.  Refused or avoided request for documentation
- e.  Single individual with multiple identities
- z.  Other: \_\_\_\_\_

**35. Other suspicious activities**

- a.  Account takeover
- b.  Bribery or gratuity
- c.  Counterfeit instruments
- d.  Elder financial exploitation
- e.  Embezzlement/theft/disappearance of funds
- f.  Forgeries
- g.  Identity theft
- h.  Little or no concern for product performance penalties, fees, or tax consequences
- i.  Misuse of "free look"/cooling-off/right of rescission
- j.  Misuse of position or self-dealing
- k.  Suspected public/private corruption (domestic)
- l.  Suspected public/private corruption (foreign)
- m.  Suspicious use of informal value transfer system
- n.  Suspicious use of multiple transaction locations
- o.  Transaction with no apparent economic, business, or lawful purpose
- p.  Two or more individuals working together
- q.  Unauthorized electronic intrusion
- r.  Unlicensed or unregistered MSB
- z.  Other \_\_\_\_\_

**33. Money laundering**

- a.  Exchanges small bills for large bills or vice versa
- b.  Suspicion concerning the physical condition of funds
- c.  Suspicion concerning the source of funds
- d.  Suspicious designation of beneficiaries, assignees or joint owners
- e.  Suspicious EFT/wire transfers
- f.  Suspicious exchange of currencies
- g.  Suspicious receipt of government payments/benefits
- h.  Suspicious use of multiple accounts
- i.  Suspicious use of noncash monetary instruments
- j.  Suspicious use of third-party transactors (straw-man)
- k.  Trade Based Money Laundering/Black Market Peso Exchange
- l.  Transaction out of pattern for customer(s)
- z.  Other \_\_\_\_\_

**36. Insurance**

- a.  Excessive insurance
- b.  Excessive or unusual cash borrowing against policy/annuity
- c.  Proceeds sent to or received from unrelated third party
- d.  Suspicious life settlement sales insurance (e.g., STOLI's, Viaticals)
- e.  Suspicious termination of policy or contract
- f.  Unclear or no insurable interest
- z.  Other: \_\_\_\_\_

**37. Securities/Futures/Options**

- a.  Insider trading
- b.  Market manipulation/wash trading
- c.  Misappropriation
- d.  Unauthorized pooling
- z.  Other: \_\_\_\_\_

**38. Mortgage Fraud**

- a.  Appraisal fraud
- b.  Foreclosure fraud
- c.  Loan Modification fraud
- d.  Reverse mortgage fraud
- z.  Other \_\_\_\_\_

**39** Were any of the following product type(s) involved in the suspicious activity? (Check all that apply)

- |                                                 |                                                        |                                                              |                                                               |
|-------------------------------------------------|--------------------------------------------------------|--------------------------------------------------------------|---------------------------------------------------------------|
| a. <input type="checkbox"/> Bonds/Notes         | g. <input type="checkbox"/> Futures/Options on futures | m. <input type="checkbox"/> Options on securities            | s. <input type="checkbox"/> Swap, hybrid, or other derivative |
| b. <input type="checkbox"/> Commercial mortgage | h. <input type="checkbox"/> Hedge fund                 | n. <input type="checkbox"/> Penny stocks/Microcap securities | z. <input type="checkbox"/> Other (List below)                |
| c. <input type="checkbox"/> Commercial paper    | i. <input type="checkbox"/> Home equity loan           | o. <input type="checkbox"/> Prepaid access                   |                                                               |
| d. <input type="checkbox"/> Credit card         | j. <input type="checkbox"/> Home equity line of credit | p. <input type="checkbox"/> Residential mortgage             |                                                               |
| e. <input type="checkbox"/> Debit card          | k. <input type="checkbox"/> Insurance/Annuity products | q. <input type="checkbox"/> Security futures products        |                                                               |
| f. <input type="checkbox"/> Forex transactions  | l. <input type="checkbox"/> Mutual fund                | r. <input type="checkbox"/> Stocks                           |                                                               |

**40** Were any of the following instrument type(s)/payment mechanism(s) involved in the suspicious activity? (Check all that apply)

- |                                                  |                                                |                                                     |                                                |
|--------------------------------------------------|------------------------------------------------|-----------------------------------------------------|------------------------------------------------|
| a. <input type="checkbox"/> Bank/Cashier's check | d. <input type="checkbox"/> Gaming instruments | g. <input type="checkbox"/> Personal/Business check | z. <input type="checkbox"/> Other (List below) |
| b. <input type="checkbox"/> Foreign currency     | e. <input type="checkbox"/> Government payment | h. <input type="checkbox"/> Travelers checks        |                                                |
| c. <input type="checkbox"/> Funds transfer       | f. <input type="checkbox"/> Money orders       | i. <input type="checkbox"/> U.S. Currency           |                                                |

41 Commodity type (If applicable)	42 Product/Instrument description (If needed)	43 Market where traded (Three to five letter code)	
44 IP address (If available)	45 CUSIP® number	46 CUSIP® number	

