



BSA E-Filing System

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

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.

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.



Identify Your Organization's Point of Contact

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)

**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.



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.
 - **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.
 - **User Login Information**
 - It is recommended to use your email address as your User ID.
 - **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.
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

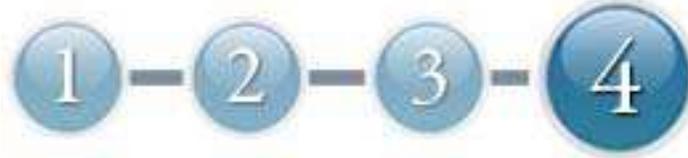
As the Supervisory User, you are responsible for completing the remaining steps of the enrollment process. After you submit your Supervisory User Application Form, FinCEN will process your application and provide an e-mail confirmation to you with a confirmation link. Please click on this confirmation link within five calendar days to complete your account setup. The confirmation link will provide your BSA E-Filing login and connect you to the BSA E-Filing System in order to:

- Setup your BSA E-Filing password
- Setup your challenge phrase questions to allow you to reset your password if you are unable to remember your password
- Login to the application and start E-Filing

Please note, after your initial login to the application a Personal Identification Number (PIN) will be generated and sent to your secure messaging mailbox. Please click on the View Inbox link under Secure Messaging on the left hand portion of the application to open and retrieve your PIN. The PIN is necessary to digitally sign all FinCEN reports prior to submission. All filings need to be Signed, then Saved before the Submit button will be available.

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

Continue this enrollment process by completing the remaining step.



Download the Forms Reader

The required version of the Adobe Reader is 9.1 or 10.0.2

To determine what version of Adobe Reader is installed on your computer (if any), follow these instructions:

1. Go to your **Start Menu**.
2. Select **Settings** and then **Control Panel**.
3. In the Control Panel window, select **Add or Remove Programs**.
4. A list of your currently installed programs will be displayed.
5. If you see Adobe Reader 9.1 or 10.0.2 in the list, you have the required software.

If you do not have this software or specific version on your computer, you may download it for free directly from the [Adobe website \(http://get.adobe.com/reader/otherversions\)](http://get.adobe.com/reader/otherversions) or through [FinCEN's website \(http://www.fincen.gov/forms/bsa_forms/\)](http://www.fincen.gov/forms/bsa_forms/) and click on the link under Forms.

Follow the instructions below to complete the download:

NOTE: If you are unable to download or install the Adobe Reader, check with your system administrator to make sure that you have the security permissions to install new programs on your system.

1. Go to the [Adobe website \(http://get.adobe.com/reader/otherversions\)](http://get.adobe.com/reader/otherversions).
2. Select your Operating System. If you do not know what Operating System you have, you may find it by following these steps:
 - Go to your **Start Menu**.
 1. Select **Settings** and then **Control Panel**.
 2. In the Control Panel window, select **System**.
 3. Your **System Properties** will be displayed within the **General** tab selected.
 - You will find your Operating System information there.

Instructions are continued on next page...



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3. Select your Language (English, Spanish, etc).
4. Press **Continue**.
5. The available versions of the Adobe Reader will be displayed.

NOTE: Versions **10.0.2** and **9.1** are compatible with the BSA E-Filing system. System requirements can be viewed for each of these versions. We recommend use of version **10.0.2** unless your organization or system will not support this version.

6. Select version 10.0.2 and press the **Download** button.
7. Follow the instructions provided by Adobe to complete your download.

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://bsaeiling.fincen.treas.gov/docs/TestingProcedures.pdf) (<http://bsaeiling.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.