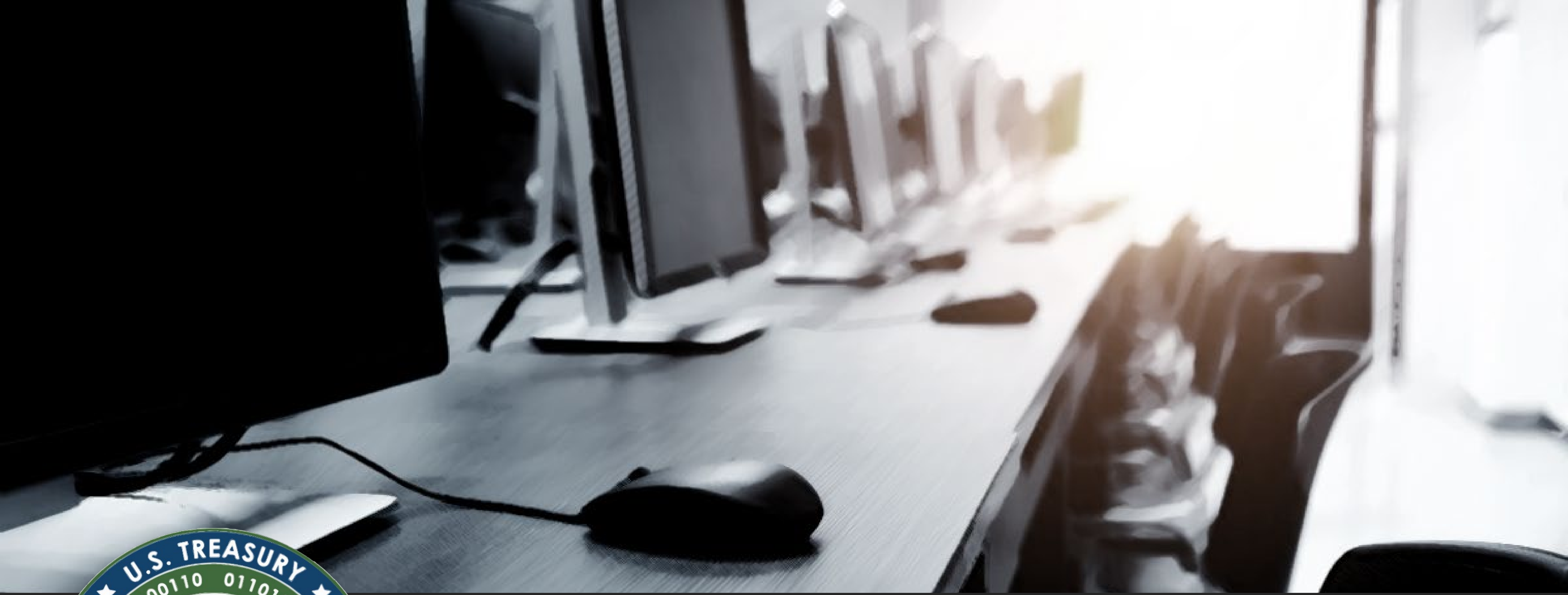


BSA E-Filing System

Financial Crimes Enforcement Network

Website Modernization Overview

START

Main Menu

Part 0

Summary of Changes

The following topic is covered:

- Summary of Major Changes to the BSA E-Filing System

Summary of Major Changes to the BSA E-Filing System

Dynamic
Top-Navigation Menu with Integrated Search Feature

Centralized
Homepage Dashboard with Recent Activity Snapshots

Simplified
Filing Process with Quick Access to Download and Submit BSA Forms

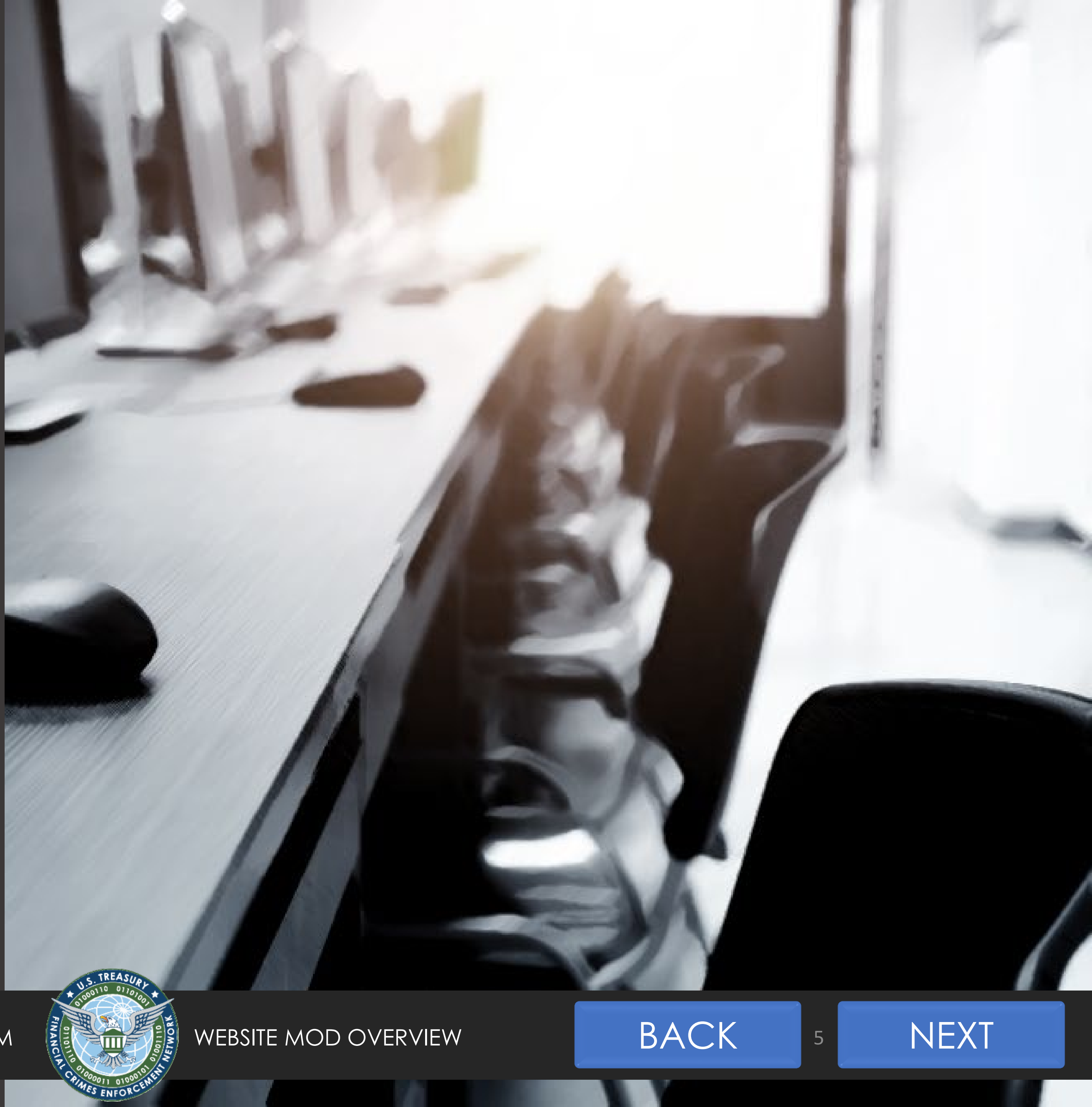
Easier
Access to Important Features & Documentation

Part 1

Homepage Overview

The following topics are covered:

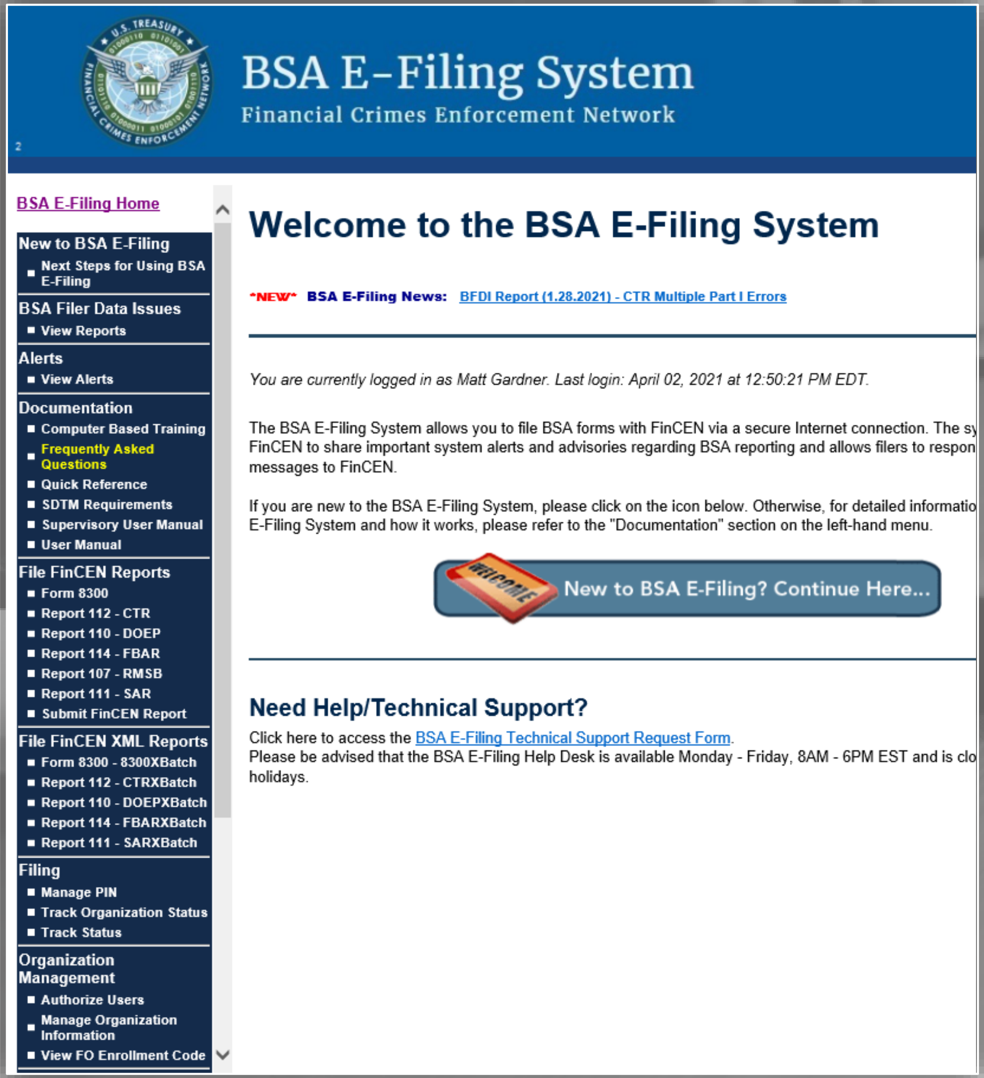
- Pre vs. Post-Modernization
- Modernized Homepage Detailed Analysis

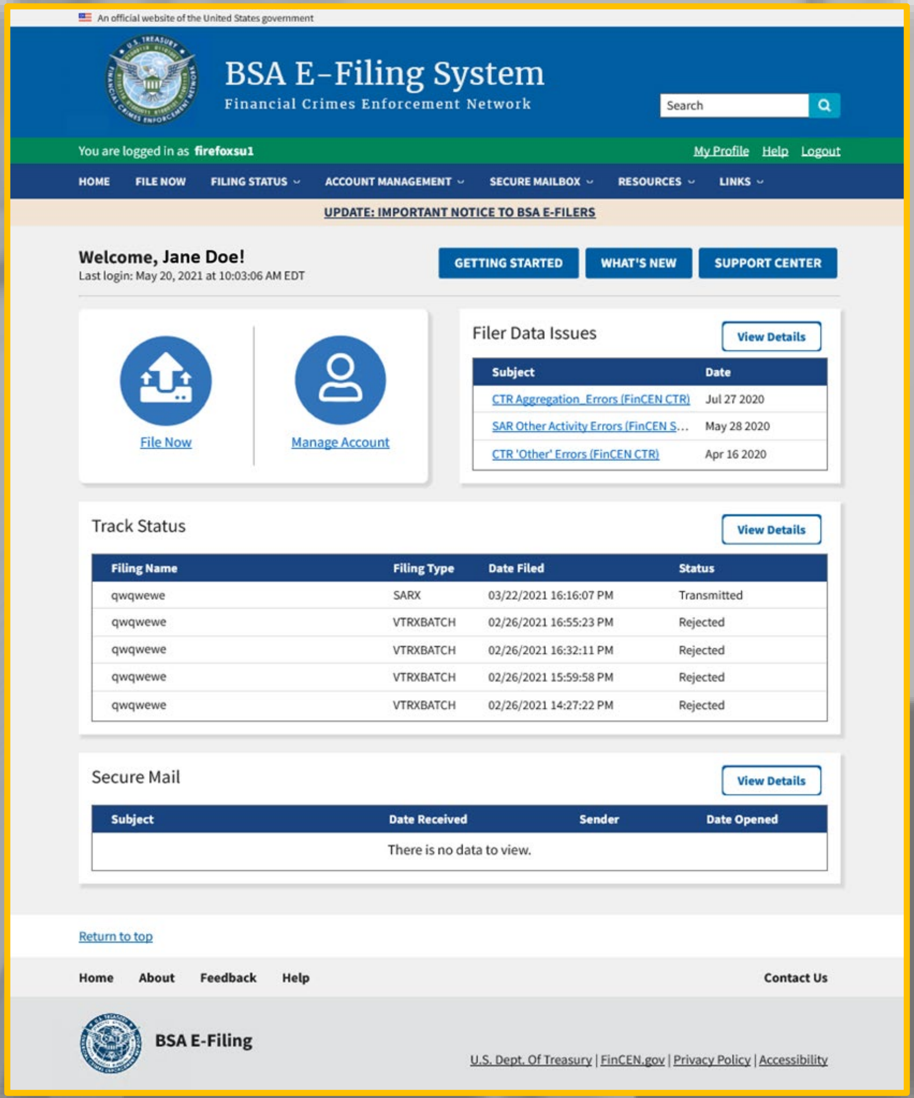


Part 1. Homepage Overview

Pre vs. Post-Modernization

PRE-MODERNIZATION





POST-MODERNIZATION

Part 1. Private Side Homepage Overview

Modernized Homepage Detailed Analysis

Access From All Subpages

1. Site Banner, Search bar & Session Toolbar

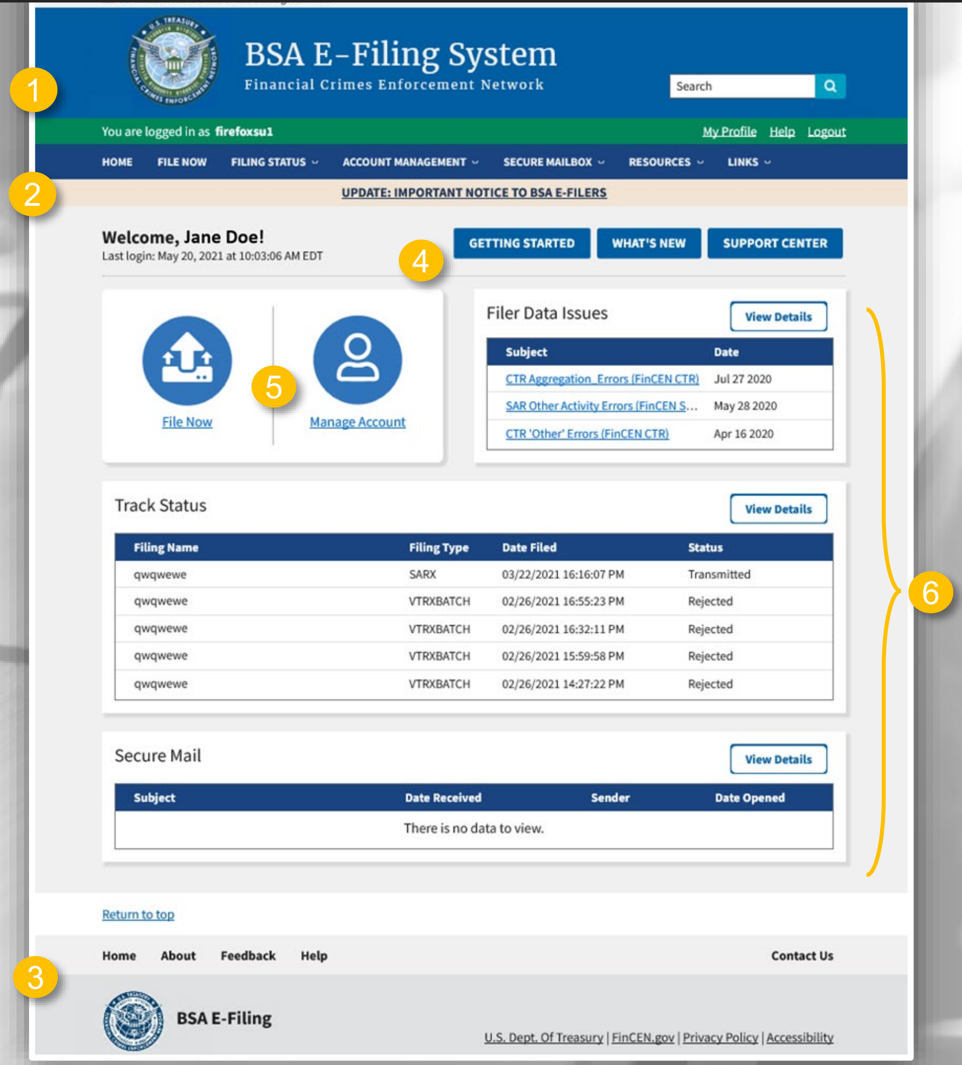
The site banner includes the official U.S. government website indicator, the FinCEN seal, and the application title; also includes the new search feature, which displays results within the Support Center page on the public side of the application; an active session toolbar (green bar) includes the user's username along with links to My Profile, Help (Support Center), and Logout.

2. Top-Menu Toolbar & Hot-Topic Alert

The top-menu provides general navigation of the private side with drop-down menu options to directly access various sub-pages of the application. Drop-down menu options are based on the user type and roles assigned to the account; the hot-topic alert is displayed directly below the top-menu and is used to display an important message or news that FinCEN wants to draw special attention to.

3. Footer Menu

At the bottom of all private side pages is the footer menu, which includes links to Home, About, Feedback, Help, and Contact Us (to create a support ticket). The footer also includes external links to relevant sites, such as the U.S. Department of Treasury and FinCEN.



Access From Homepage Only

4. Welcome Section

Displays a welcome message with the user's first name and last name, along with the last login date and timestamp. It also includes buttons to access the following pages: Next Steps for Using BSA E-Filing (Getting Started), Newsroom – Public Side (What's New), and Support Center – Public Side.

5. Quick Access Icons

Includes a File Now icon to quickly access the download report function as well as the report submission function. Also includes the Manage Account icon to access features such as manage organization, view/change PIN, authorize users, etc. Available features are dynamic based on user role(s).

6. Snapshot Windows

Includes a "snapshot" of content related to recently posted BSA Filer Data Issues Reports, status of recent submissions (Track Status), and recently received secure messages (Secure Mail). Users can access these specific pages by selecting "View Details".

Part 2

How to File BSA Forms

The following topic is covered:

- Accessing the "File FinCEN Reports" Page
- Accessing Your PIN for Signing BSA Forms
- Submitting BSA Forms

Accessing the “File FinCEN Reports” Page

The ability to file BSA form data—including downloading new discrete and batch forms—can all be done from the **File FinCEN Reports (A)** page, accessible via:

1. **File Now (*Top-Navigation Menu*)**
   When selected, this top-navigation menu item takes you directly to the “File FinCEN Reports” page.

2. **File Now (*Homepage Icon*)**
   When selected, this homepage icon takes you directly to the “File FinCEN Reports” page (identical to #1 above).

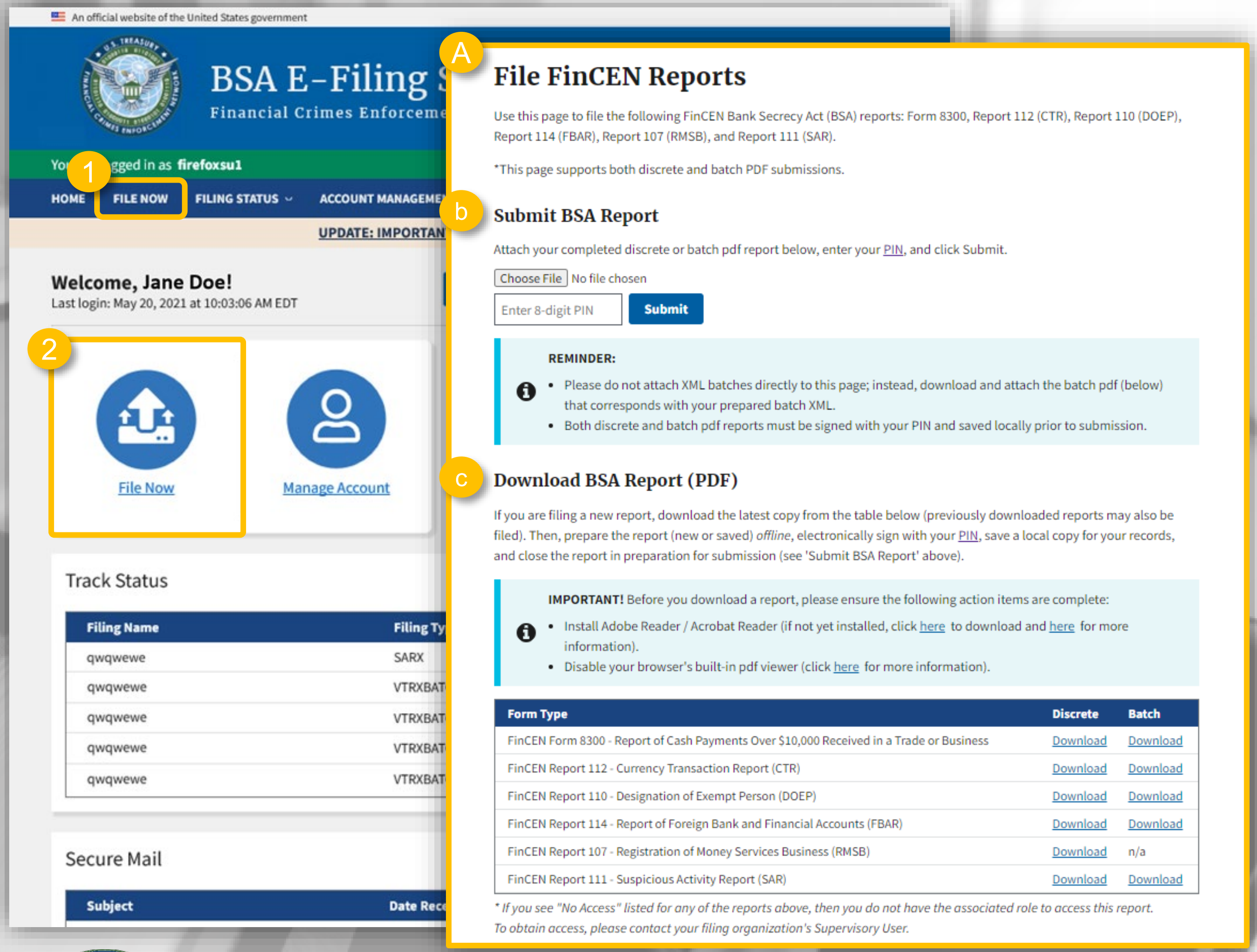
From the “File FinCEN Reports” page, filers have the ability to do the following:

b) Submit BSA Report
This section allows filers to attach a signed discrete or batch PDF form for submission. Once attached, the filer must enter their PIN and select submit in order to file the BSA form.

NOTE: *The post-submission process has not changed. A confirmation page is displayed and an email confirmation of acceptance or rejection is delivered to the filer. The submission is also logged in the filer’s track status for tracking purposes.*

c) Download BSA Report (PDF)
This section lists all reports (discrete and batch) that are supported by the BSA E-Filing System along with links to download each. Supervisory Users have access to download all reports, however, General Users must be assigned roles to download specific reports.

NOTE: *If a General User does not have assigned to their account the role to file a specific report (discrete or batch), the “Download” link will be replaced with a “No Access” message. A Supervisory User must assign the role if access is needed.*



Accessing Your PIN for Signing BSA Forms

Follow the steps below to access/manage the unique PIN that you must use to electronically sign BSA Forms prior to submission:

1. **Account Management > Manage PIN *(Top-Navigation Menu)***
   Select the Manage PIN link from the Account Management drop-down list to access the Manage PIN page (see #2 below).

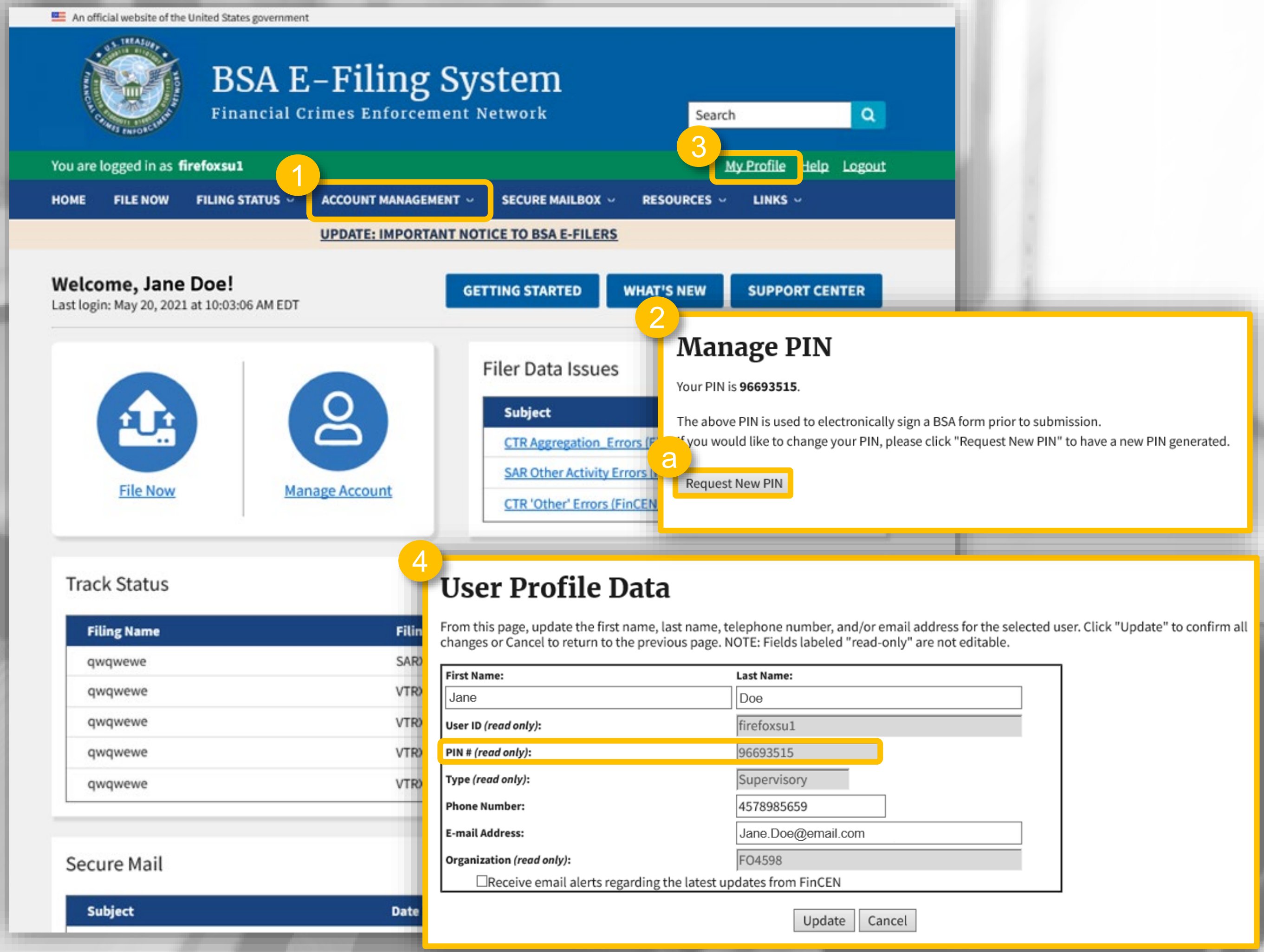
2. **Manage PIN *(Page)***
   Displayed on the Manage PIN page is the 8-digit PIN assigned to your account. Enter this number when signing BSA Forms prior to submission.

   ***REMINDER**: BSA Forms must be signed on the day of submission only.*

   a. **Request New PIN *(Button)***
      Displayed on the Manage PIN page is the Request New PIN button. When selected, a new PIN is generated for your account and displayed on this page moving forward.

3. **My Profile *(Link in Active Session Toolbar)***
   Select the My Profile link from your active session toolbar to access your User Profile Data page (see #4 below).

4. **User Profile Data *(Page)* > PIN # *(Read-Only Field)***
   Displayed on the User Profile page is the 8-digit PIN assigned to your account. Enter this number when signing BSA Forms prior to submission.



Submitting BSA Forms

Follow the steps below to submit BSA forms (new and previously downloaded) via the BSA E-Filing System:

0. Prepare BSA Form (PDF) in Adobe Acrobat/Reader Offline

Whether you are filing a new report or updating a previously downloaded/filed report, all forms are prepared offline until you are ready to submit. You must still already have installed Adobe Acrobat/Reader and have it set as your default PDF reader. Please click here for more information regarding this prerequisite.

1. Complete Form

Open BSA Form in Adobe Reader **offline** and **complete**.

2. Validate Form

When all required and known requests data is entered, select **Validate** to ensure the data entered is free of errors.

3. Sign with PIN

Once the form is error free, select **Sign with PIN** and enter the unique 8-digit code assigned to your account. After the form is signed, it cannot be edited (unless you select to **Remove PIN**).

***REMINDER**: BSA Forms must be signed on the day of submission only.*

4. Save Form

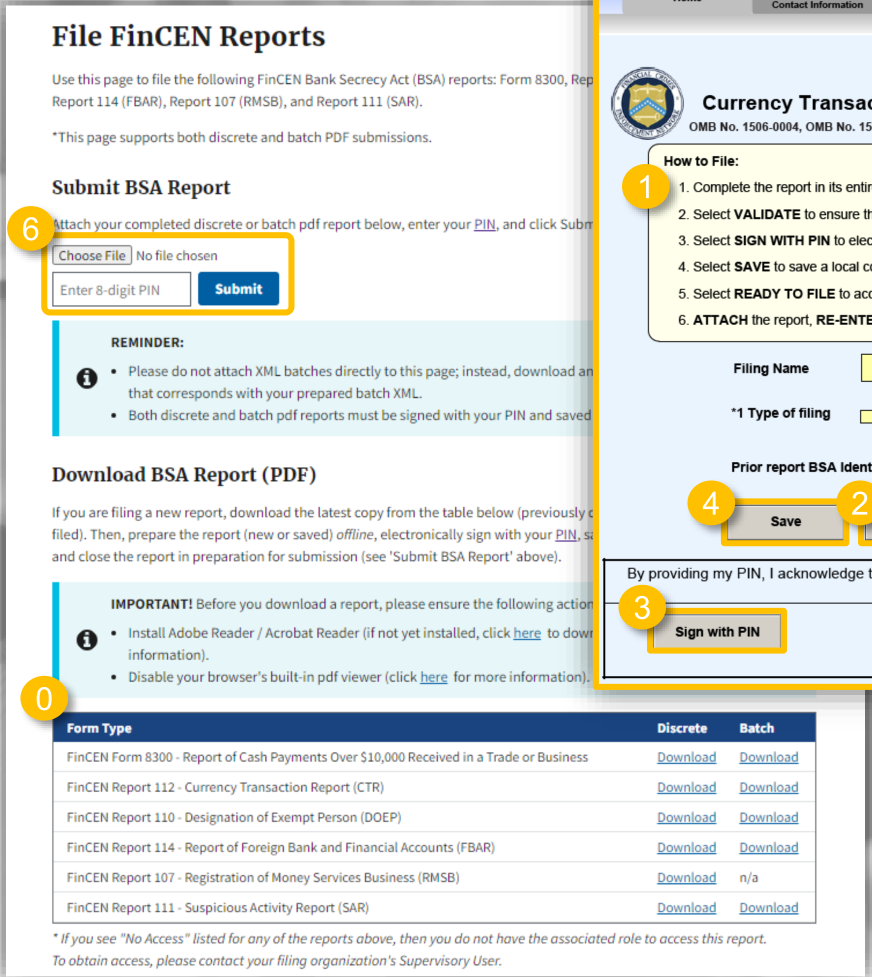
Once the form is signed, select **Save** to retain a local copy of the form for your records.

5. Ready to File

Once the form is signed and saved locally, it is ready to be filed. At this time, the **Ready to File** button will activate. Select this button to access the **File FinCEN Report** page.

6. Attach Form, Re-Enter PIN, and Submit

From the **File FinCEN Reports** page**,** use the browse button to locate and attached your completed form. Once the form is attached to the page, re-enter your PIN on the page and select **Submit**.



The BSA forms submission process is simplified by replacing the **Submit** button on the forms with a **Ready to File** indicator. When this new button is activated, select it to access the **File FinCEN Reports** page to attach your prepared PDF discrete or batch form to the webpage for submission.

Part 3

How to Track BSA Submissions

The following topic is covered:

- Accessing the “Track Status” Page
- Accessing the “View SDTM Batch Submissions” Page

Accessing the “Track Status” Page

The ability to track your BSA submissions can be done by using the BSA E-Filing System’s **Track Status** feature, accessible via:

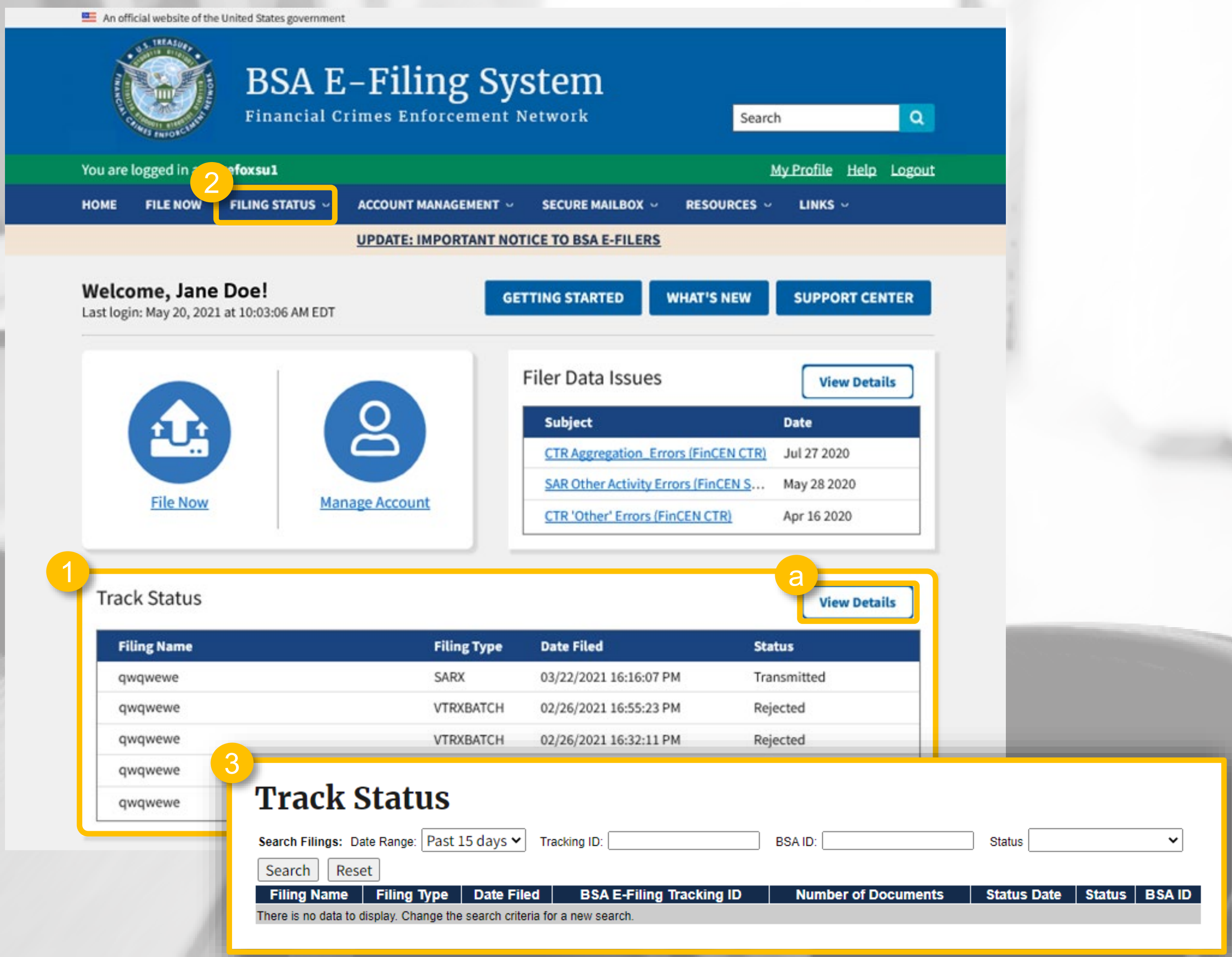
1. **Track Status (*Homepage “Snapshot” Window*)**
   Once logged into the system, located directly on the homepage is the **Track Status** snapshot window that includes a list of the 5 recent submissions associated with the user’s account. The list includes the **Filing Name**, **Filing Type**, **Date Filed**, and **Status** of each submission.

   a) **View Details (*Button*)**
   In order to see a more comprehensive list of all of your recent submissions, simply select **View Details** to directly access the **Track Status** page.

2. **Filing Status (*Top-Navigation Menu*) > Track Status (*Link*)**
   Access to the **Track Status** page can also be done by selecting **Track Status** from the **Filing Status** drop-down list located in the top-navigation menu.

   NOTE: *If you are a Supervisory User, the **Filing Status** drop-down list will also include a link to the **Track Organization Status** page. There you will find the familiar **Track Organization Status** table with the same search functionality available to you prior to the update. You will continue to have access to 5 years worth of your organization’s filing history from this table.*

3. **Track Status (*Page*)**
   The **Track Status** page displays the familiar **Track Status** table with the same search functionality available to you prior to the update. You will continue to have access to 5 years worth of your filing history from this table.

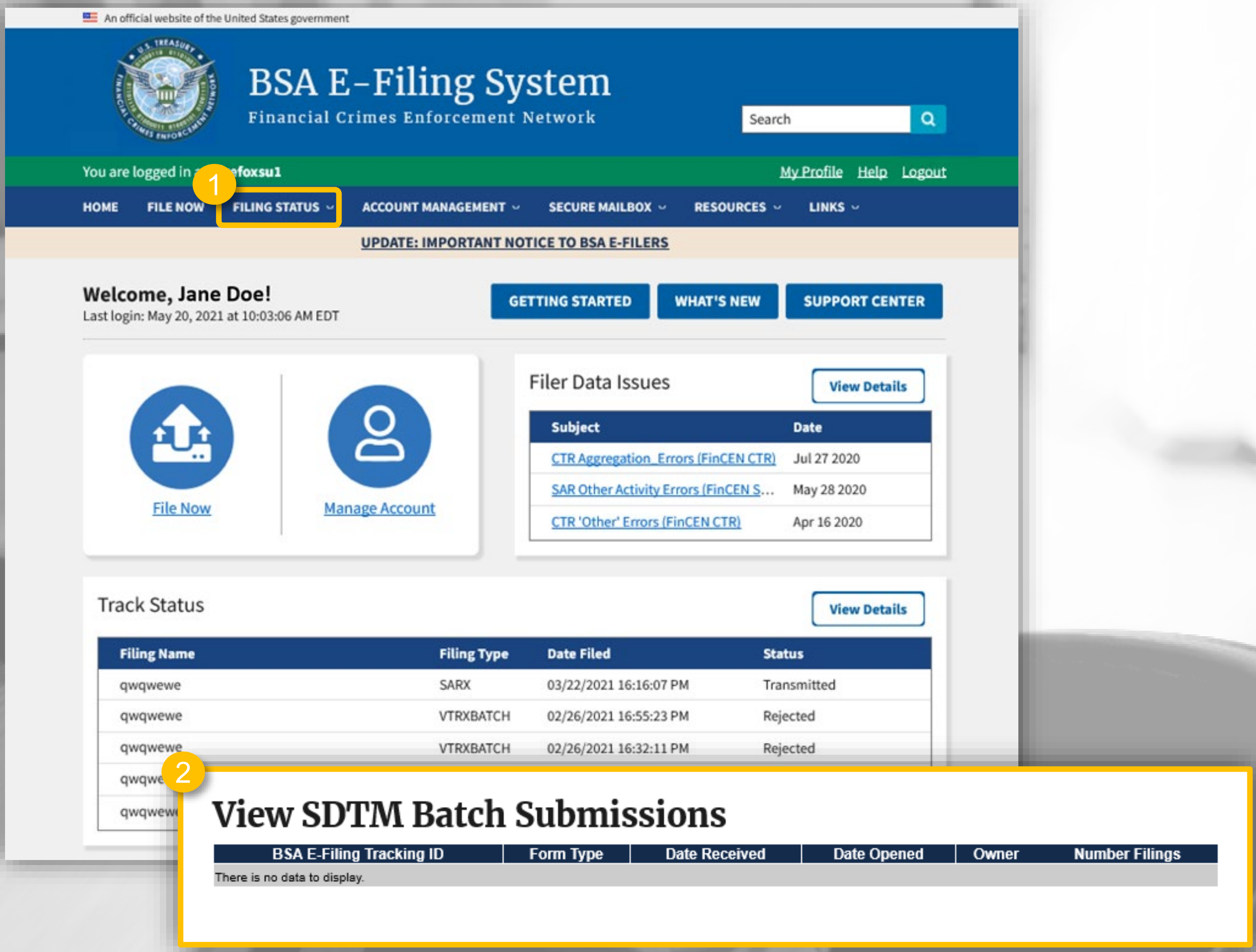


Accessing the "View SDTM Batch Submissions" Page *(select users only)*

For select users who have been granted Secure Direct Transfer Mode (SDTM) access by FinCEN, the ability to track your SDTM batch submissions can be done by using the BSA E-Filing System's **View SDTM Batch Submissions** page:

1. **Filing Status *(Top-Navigation Menu)* > View SDTM Batch Submissions *(Link)***
   If you have the SDTM role assigned to your account, select **View SDTM Batch Submissions** from the **Filing Status** drop-down list to access the **View SDTM Batch Submissions page** (see#2 below).

2. **View SDTM Batch Submissions (*Page*)**
   The **View SDTM Batch Submissions** page displays the familiar table with the same content available to you prior to the update. You will continue to have access to 5 years worth of your filing history from this table. The list includes the **BSA E-Filing Tracking ID, Form Type, Date Received, Date Opened, Owner, and Number of Filings** for each submission.



Part 4

How to Access Secure Mail/Alerts

The following topic is covered:

- Accessing the Secure Mail "View Inbox" Page
- Sending a Secure Message
- Accessing the "Alerts" Page

Accessing the Secure Mail "View Inbox" Page

The ability to retrieve messages from FinCEN related to your BSA submissions can be done by using the BSA E-Filing System's **Secure Mail** feature, accessible via:

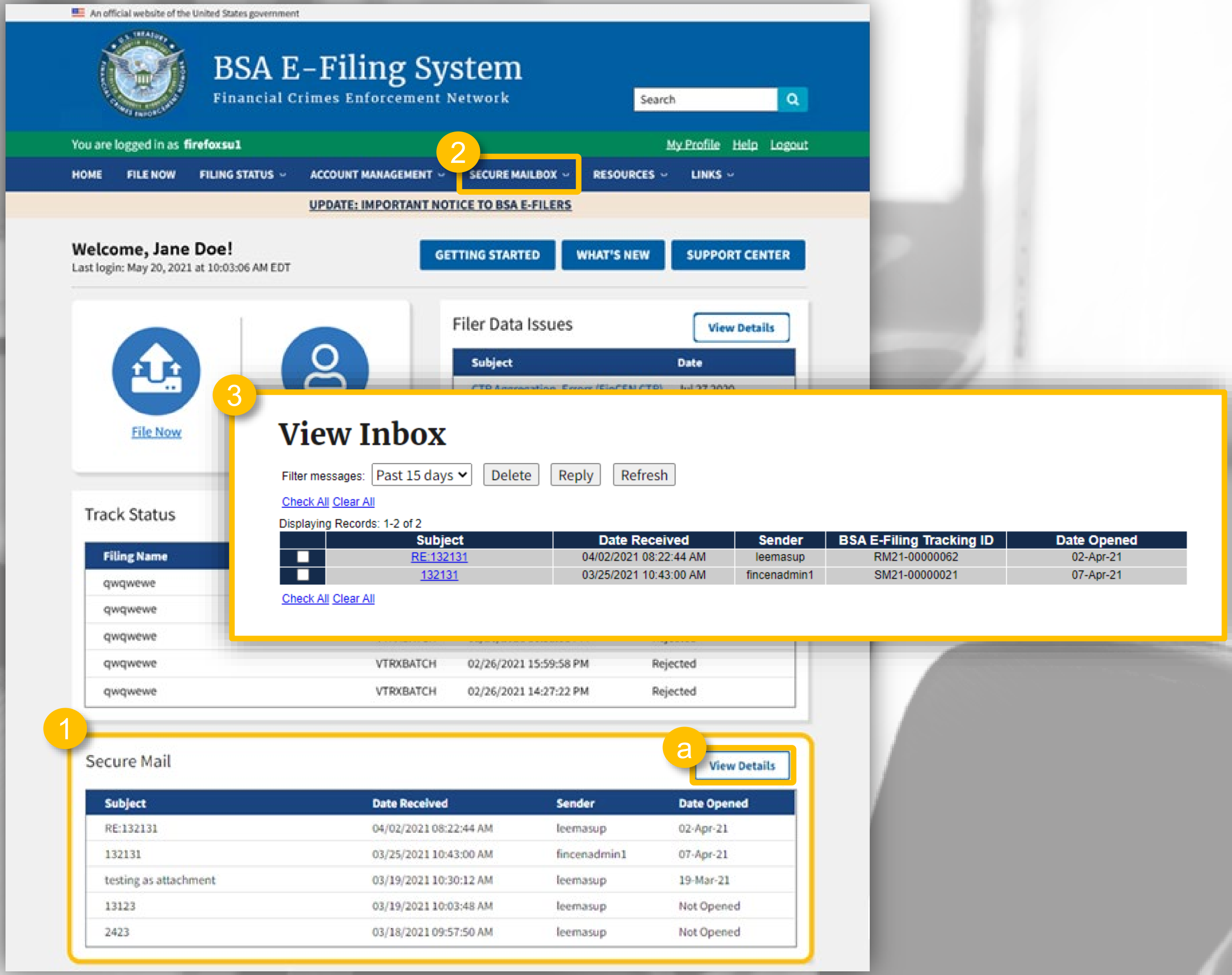
1. **Secure Mail (*Homepage "Snapshot" Window*) > View Inbox (*Link*)**
   Once logged into the system, located directly on the homepage is the **Secure Mail** snapshot window that includes a list of the 5 recent secure messages associated with the user's secure mail inbox. The list includes the **Subject, Date Received, Sender,** and **Date Opened** for each message.

   a) **View Details (*Button*)**
      In order to view a secure message from this list, simply select **View Details** to directly access your secure mail inbox (i.e. **View Inbox**) page.

2. **Secure Mailbox (*Top-Navigation Menu*)**
   Access to the secure mail inbox (i.e. **View Inbox**) page can also be done by selecting **View Inbox** from the **Secure Mailbox** drop-down list located in the top-navigation menu. In addition to the **View Inbox** link, the **Secure Mailbox** drop-down list includes the **View Outbox** link that takes you to your secure mail outbox to view all recently sent messages from your account.

   NOTE: *If you are a General User and do not have the role of "Secure Messenger" assigned to your account by your Supervisory User, the **Filing Status** drop-down list will not contain links related to secure mail, nor will your homepage dashboard contain the Secure Mail "snapshot" window.*

3. **View Inbox (*Page*)**
   The **View Inbox** page displays the familiar **secure mail table** with the same filter functionality available to you prior to the update. You will continue to have access to secure mail that has been delivered to your account within 60 days of delivery or 30 days from opening.



Sending a Secure Message

Follow the steps below to send a secure message (new and reply) to the BSA E-Filing System administrator:

1. Open Secure Message (PDF) within Internet Explorer

Whether you are sending a new message or replying to an existing message, you must open the form within the Internet Explorer browser window prior to submission. Select Send Message from the Secure Mailbox drop-down list to open a new secure message form, or if replying to a message from your inbox (A), simply select the checkbox associated with the message you wish to reply to and selected Reply.

***NOTE**: You must still already have installed Adobe Acrobat/Reader and have it set as your default PDF within your Internet Explorer settings (IE is the only browser that supports secure message send/reply at this time. Please click here for more information regarding this prerequisite.*

2. Complete Form

Complete the form in it's entirety.

3. Validate Form

When all required field data is entered, select **Validate** to ensure the data entered is free of errors.

4. Save Form

If the form is complete and error free, select **Save** to retain a local copy for your records.

5. Submit Form

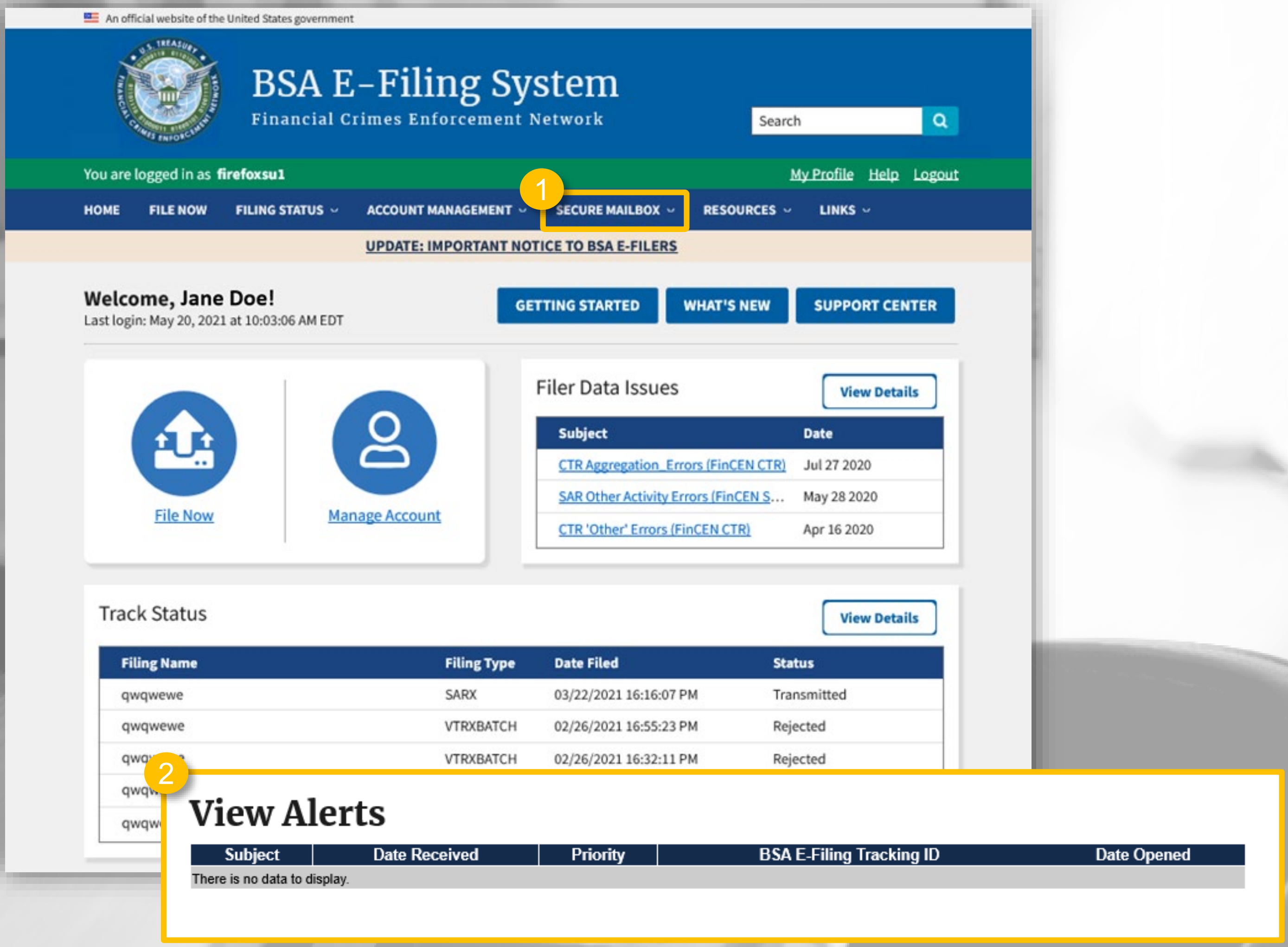
Once the form is saved locally, the **Submit** button will activate. Once selected, a confirmation of delivery message is displayed. You should also have a record of the message in your secure mail outbox (i.e. **Secure Mailbox** > **View Outbox**)

Accessing the “Alerts” Page

For select users who have been granted the role to received Alerts, the ability to retrieve alerts can be done by using the BSA E-Filing System’s **View Alerts** page:

1. **Secure Mailbox *(Top-Navigation Menu)* > View Alerts *(Link)***
   If you have the SDTM role assigned to your account, select **View Alerts** from the **Secure Mailbox** drop-down list to access the **View Alerts** page (see#2 below).

2. **View Alerts (*Page*)**
   The **View Alerts** page displays the familiar table with the same content available to you prior to the update. You will continue to have access to alerts that has been delivered to your account within 60 days of delivery or 30 days from opening. The list includes the **Subject, Date Received, Priority, BSA E-Filing Tracking ID, and Date Opened** for each alert.



Part 5

How to Manage Account Information

The following topic is covered:

- Accessing the Account Management Subpages
- Accessing “My Profile” (New)
- How to Authorize a New User
- How to Assign Roles to a General User
- How to Manage Existing User’s Profile & Disable Site Access
- How to Manage Your Organization Information

Accessing the Account Management Subpages

The ability to manage your personal account information, as well as other user accounts within your organization (if you are a Supervisory User), can all be done from the Manage Account page and Account Management drop-down list:

1. Account Management (*Top-Navigation Menu*)

When selected, this top-navigation menu item displays the following links:

Supervisory User Access

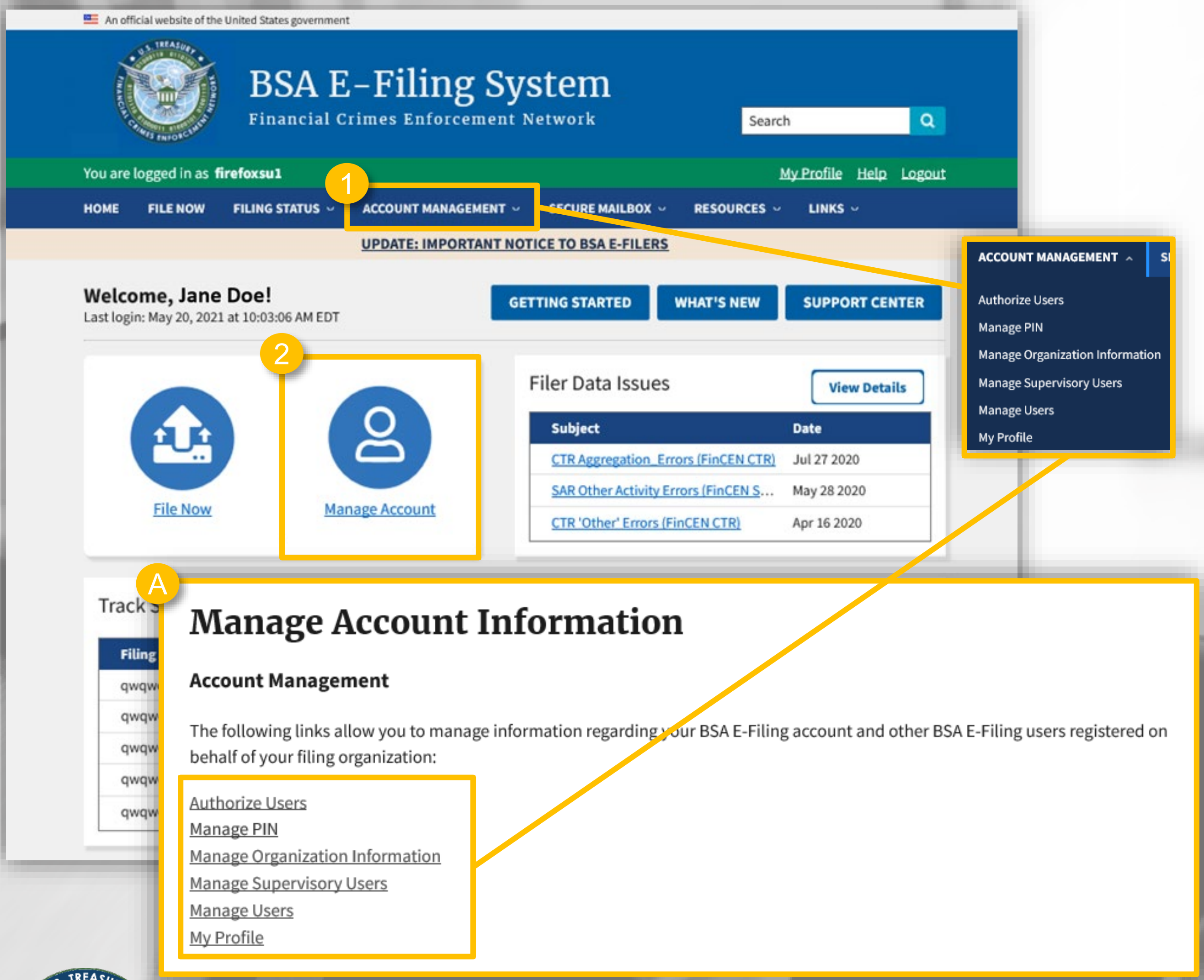
- ***Authorize Users***. Add a new General User to your organization.
- ***Manage Organization Information***. View/Edit information about your organization.
- ***Manage Supervisory Users***. Add/Remove Supervisory User status for any user within your organization.
- ***Manage Users***. Manage all users within your organization, including editing roles, editing profile information, and disabling accounts.

All Users Access

- ***Manage PIN***. Manage your PIN used to electronically sign BSA forms.
- ***My Profile (New).*** View/Edit your personal account information.

2. Manage Account (*Homepage Icon*) & Manage Account Information *(Page)*

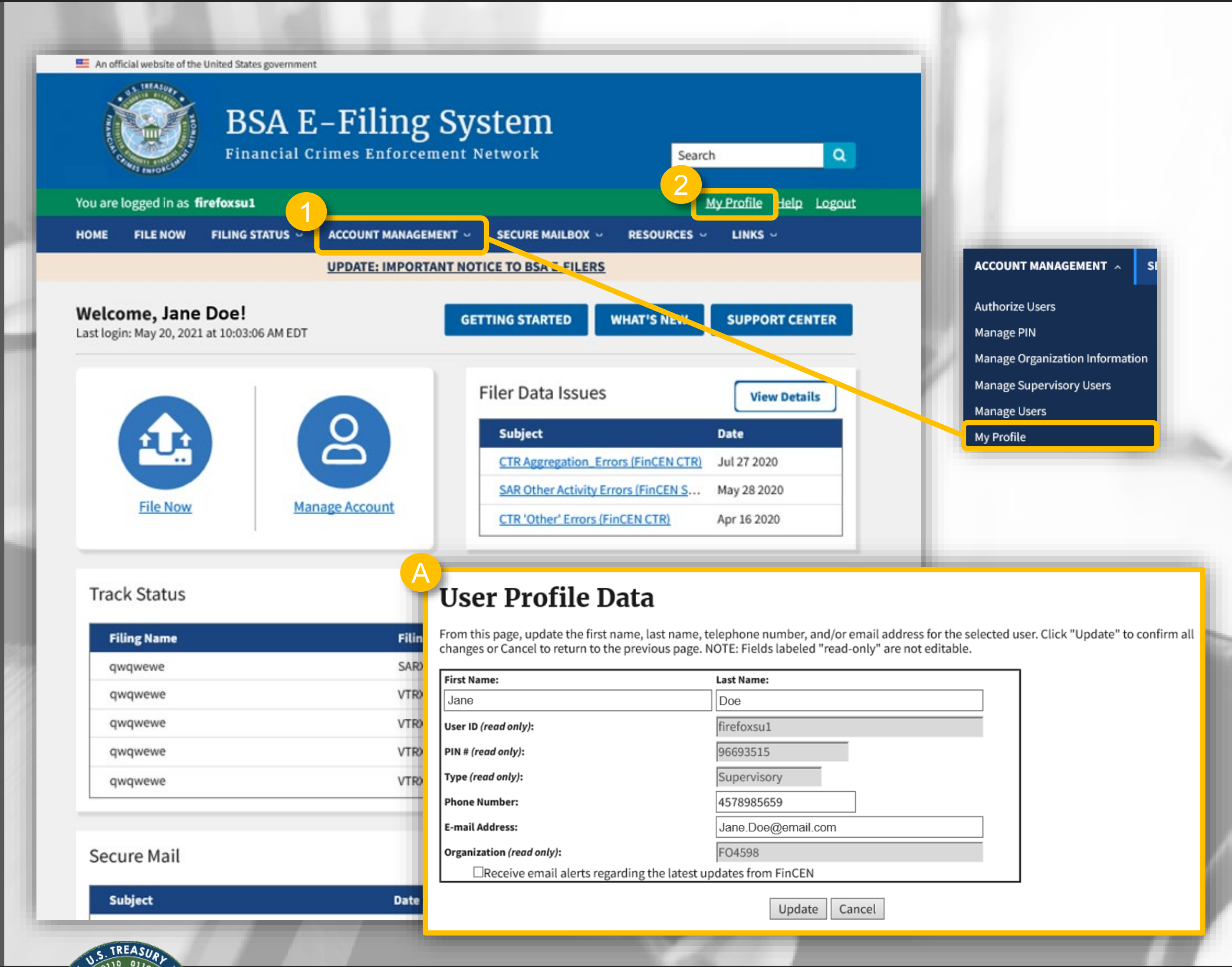
When selected, this homepage icon takes you to the Manage Account Information page **(A)**, which lists all of the same access links (identical to #1 above).



Accessing “My Profile” *(New)*

All users now have access to view/edit their own account information via the **My Profile** feature:

1. **Account Management *(Top-Navigation Menu)* > My Profile *(Link)***
   When selected, the **User Profile Data** (A) page is displayed where you can view/edit personal information associated with your account. The following data may be edited: **First Name, Last Name, Phone Number, E-mail Address**, and whether or not you wish to receive **email alerts** from the BSA E-Filing System.
2. **My Profile *(Active Session Toolbar Link)***
   When selected, the **User Profile Data** (A) page is displayed identical to the above.



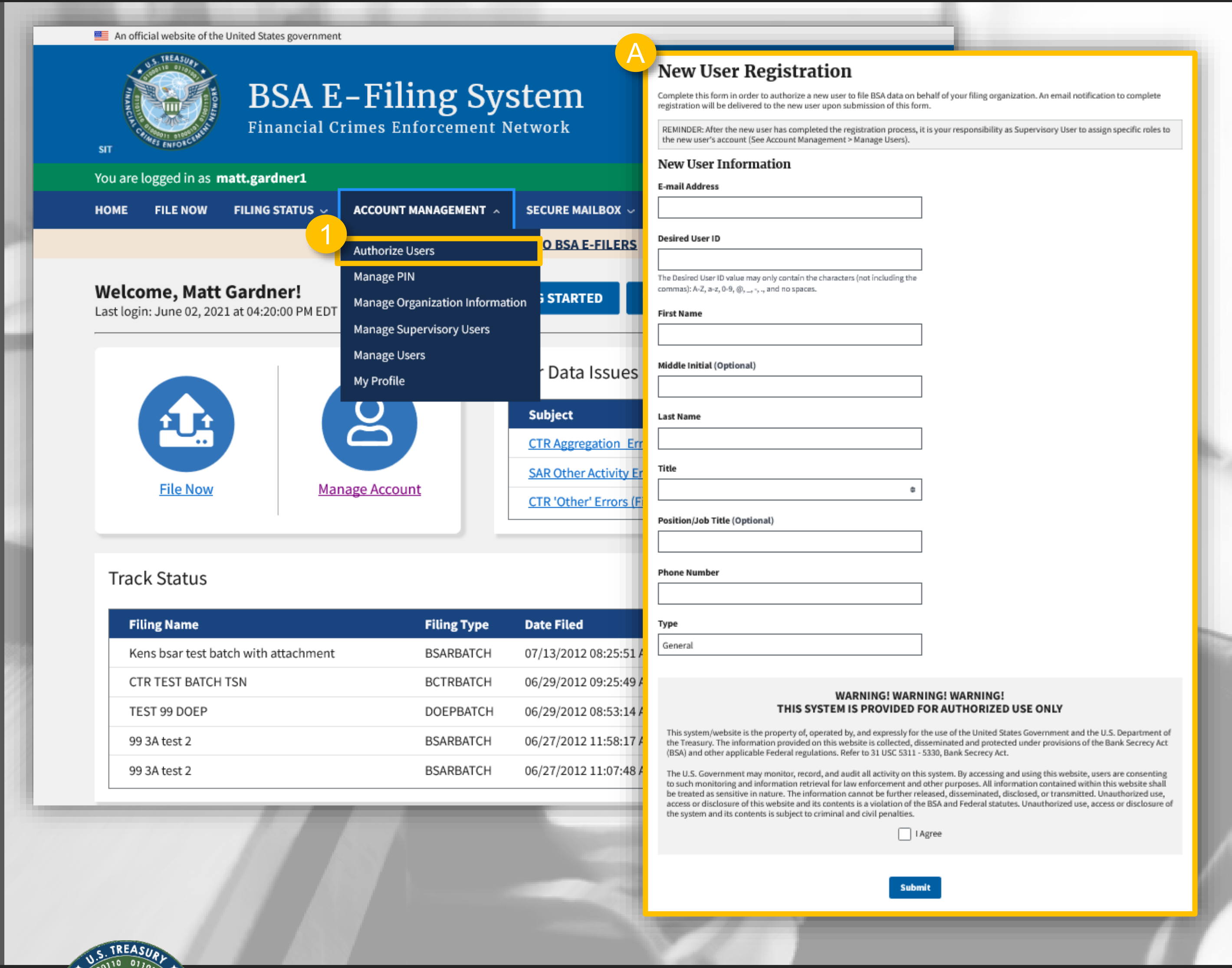
How to Authorize a New User

Supervisory Users continue to have the ability to add a new General User to their filing organization via the **Authorize Users** feature:

1. **Account Management *(Top-Navigation Menu)* > Authorize Users *(Link)***

   When selected, the **New User Registration (A)** page is displayed where you can submit information about the new General User you wish to add to your organization. Once submitted, the new user will receive an email notification to complete the registration process by setting up a password and challenge questions/answers associated with their new account.

REMINDER: After the new user completes the registration process, their account must be assign specific roles (see slide 23) or you can upgrade their account to Supervisory User status (see slide 24).



How to Assign Roles to a General User

Supervisory Users continue to have the ability to edit the roles associated with their organization's General Users via the **Manage Users** feature:

IMPORTANT: The BSA E-Filing System has combined the Manage New Users feature (lists all newly added users to your organization) with the Manage Users feature (list all users, new and existing, for your organization) into the single Manage Users page.

1. **Account Management *(Top-Navigation Menu)* > Manage Users *(Link)***

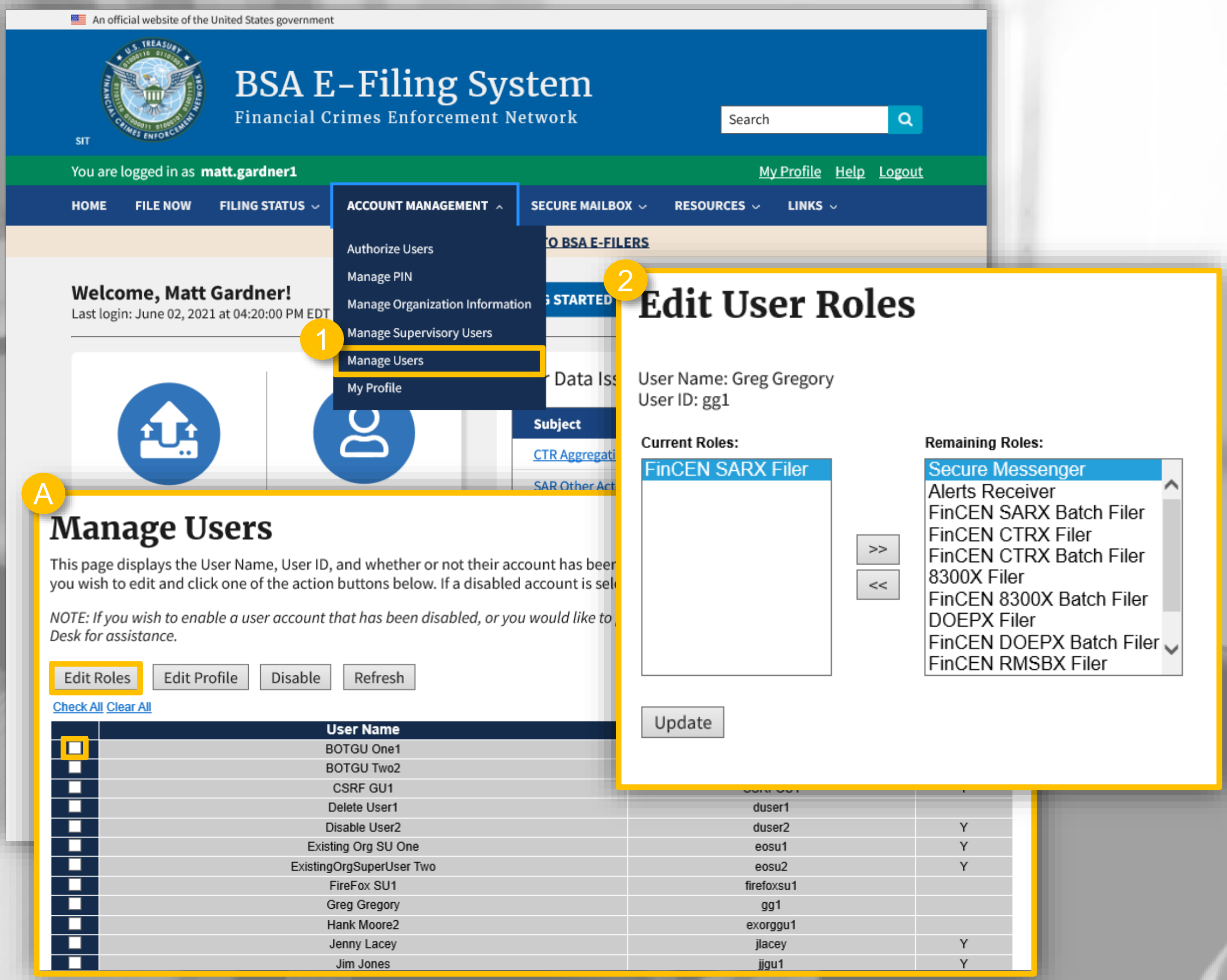
   When selected, the **Manage Users** (A) page is displayed along with the table of all users (new and existing, Supervisory and General) within the organization (this is the same table and features available to you prior to the update). Simply select the checkbox associated with the user account that you want to assign roles and select the Edit Roles button (see #2 below for details about the Edit Roles page).

   NOTE: You can only edit roles associated with a General User account. If you wish to edit roles for another Supervisory User account in your organization, you must first remove the user's Supervisory status via the Manage Supervisory Users feature (see slide 24 for details).

2. **Edit Use Roles *(Page)***

   From this page, you may select as many roles from the Remaining Roles box to move over to the Current Roles box using the navigation arrows. Simply select the role you want the user to have and use the left (<<) arrow button to move the role to the Current Roles box. You may also remove roles from the account by selecting the role from the Current Roles box and using the right (>>) arrow button to move the role to the Remaining Roles box. Click Update when you want to commit the changes.

IMPORTANT: If you want your General User to have the ability to receive alerts from FinCEN, you must assign the Alerts Receiver role to their account. If you want the user to be able to receive Secure Messages (such as submission acknowledgements, you must assign the Secure Messenger role to their account.



How to Manage Supervisory Users

Supervisory Users continue to have the ability to edit which users have Supervisory User status for the organization via the **Manage Supervisory Users** feature:

1. **Account Management *(Top-Navigation Menu)* > Manage Supervisory Users *(Link)***
   When selected, the **Manage Organization Supervisory Users** (A) page is displayed (this is the same features available to you prior to the update). Simply select the user you want to have Supervisory User status from the Remaining Users box and use the left (<<) arrow button to move the user to the Current Super Users box. You may also remove Supervisory User status from an account by selecting the user from the Current Super Users box and using the right (>>) arrow button to move the user to the Remaining Users box. Click Update when you want to commit the changes.

How to Manage Existing User's Profile & Disable Site Access

Supervisory Users continue to have the ability to edit the profile information associated with users within their organization, as well as disable their account access if necessary, via the **Manage Users** feature:

1. **Account Management *(Top-Navigation Menu)* > Manage Users *(Link)***

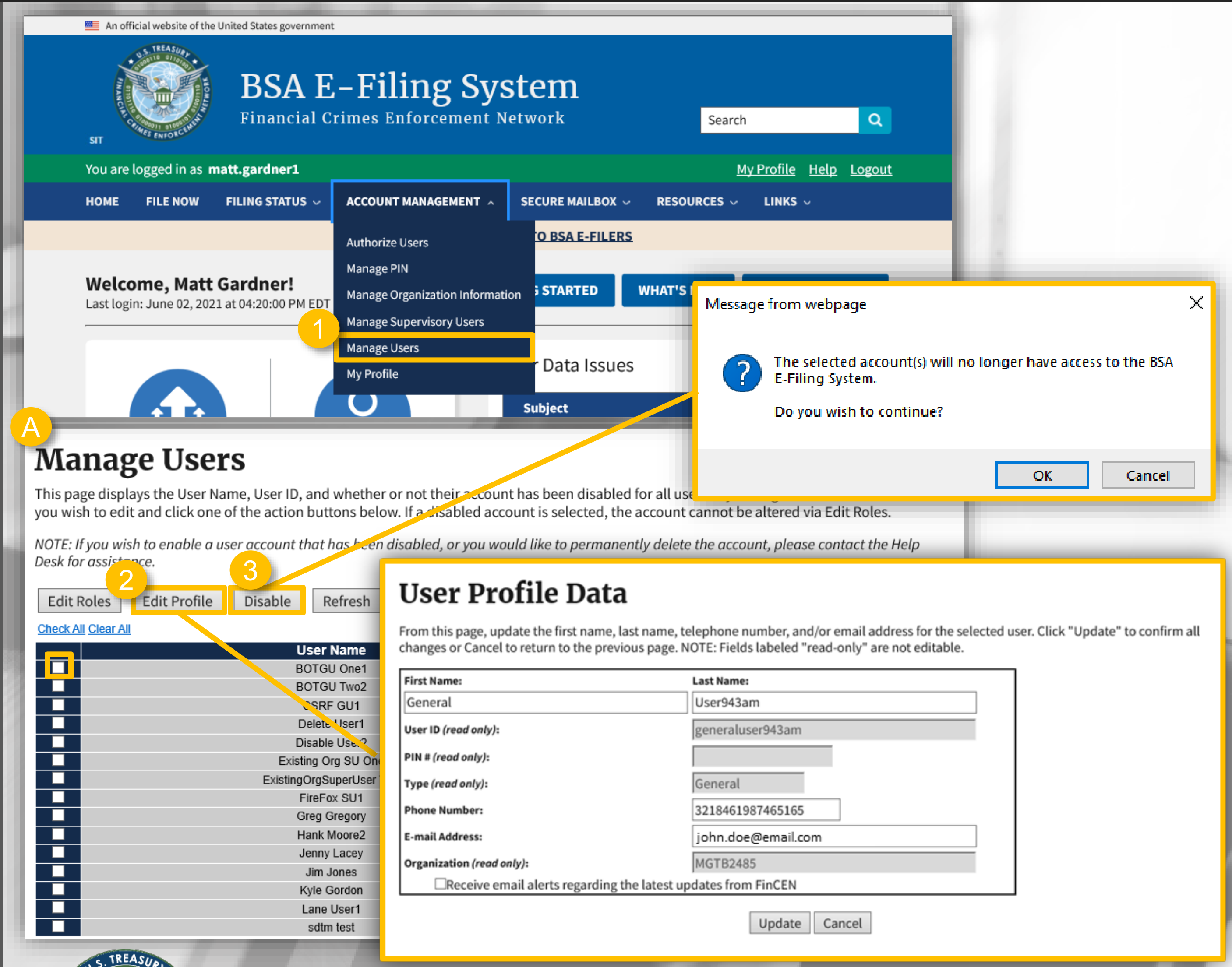
   When selected, the **Manage Users** (A) page is displayed along with the table of all users (new and existing, Supervisory and General) within the organization (this is the same table and features available to you prior to the update). Simply select the checkbox associated with the user account that you want to take specific action on:

2. **Edit Profile (Button)**

   When selected for a specific user, that user's account is displayed to the Supervisory User via the User Profile Data page. From this page, the Supervisory User can edit the following information about the user on their behalf: First Name, Last Name, Phone Number, E-mail Address, and whether or not they will receive email notifications from FinCEN. The Supervisory User will then select the Update button to save the changes.

3. **Disable (Button)**

   When selected for a specific user, that user's account is disabled once the Supervisory User selects OK from the pop-up notification that the selected account will no longer have access to the BSA E-Filing System. If you wish to re-enable the account, or permanently delete the account, you must contact the BSA E-Filing Help Desk for assistance.



How to Manage Your Organization Information

Supervisory Users continue to have the ability to edit information about their organization via the **Manage Organization Information** feature:

1. **Account Management *(Top-Navigation Menu)* > Manage Supervisory Users *(Link)***

   When selected, the **Organization Information** (A) page is displayed (this is the same features available to you prior to the update). From this page, a Supervisory User can edit all information about the organization with the exception of the Organization Enrollment Code (this is a unique code assigned to your organization that allows FinCEN to group specific users within your organization). Click Update when you want to commit the changes.

Part 6
Additional Resources

The following topic is covered:

- FinCEN Transaction XML Upload
- Resources & Links

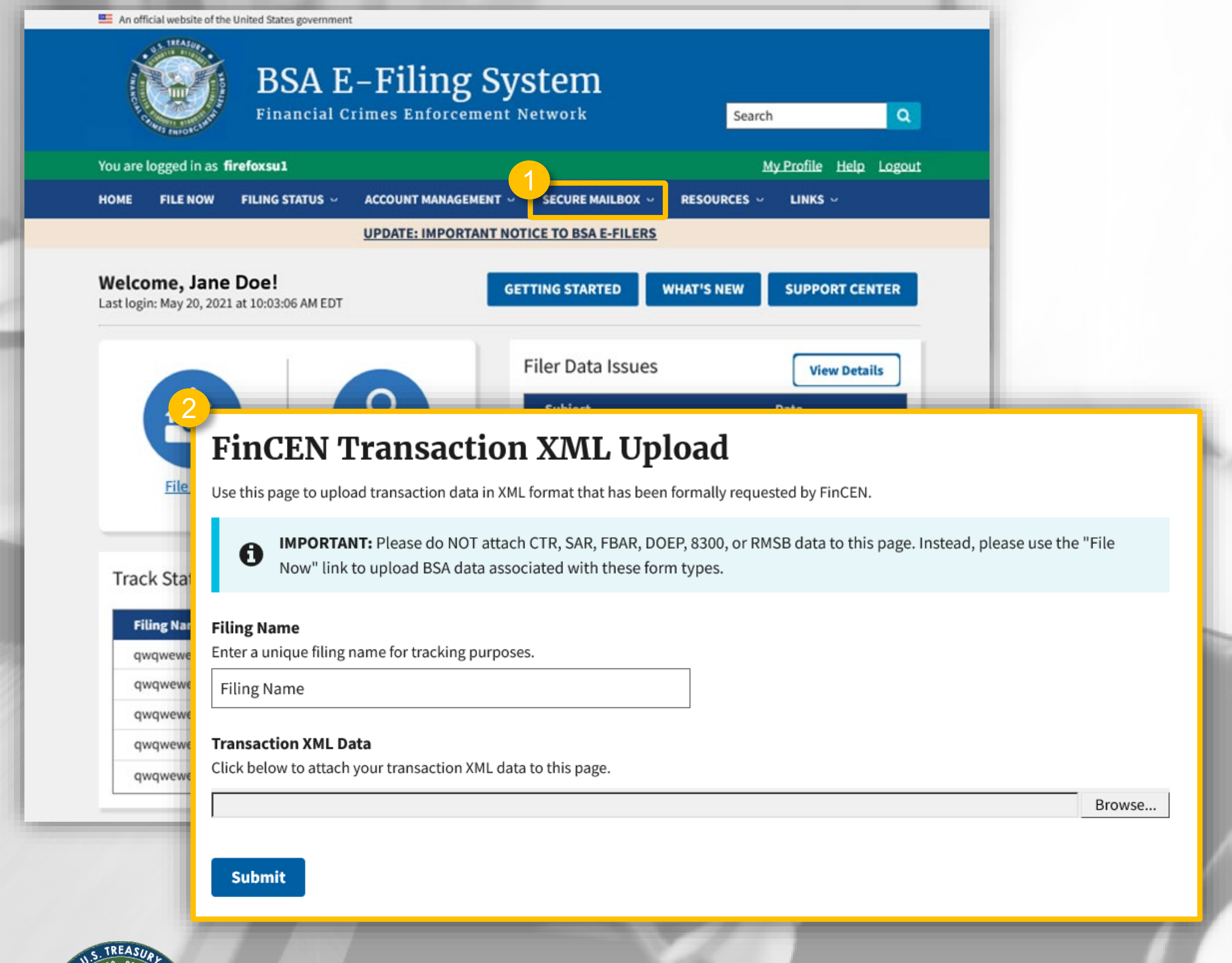
FinCEN Transaction XML Upload

All users continue to have the ability to upload transaction data in XML format that has been formally requested of them by FinCEN via the **FinCEN Transaction XML Upload** feature:

IMPORTANT REMINDER: This page is NOT meant for BSA data upload, such as CTR, SAR, FBAR, DOEP, 8300, or RMSB data.

1. **Secure Mailbox *(Top-Navigation Menu)* > Transaction XML Upload *(Link)***

   If your institution has received a formal request from FinCEN to gather and upload specific data in XML format, you are directed to upload this data using the FinCEN Transaction XML Upload **(A)** page. Here you will enter a unique filing name at FinCEN's direction and attach your XML data file that you intend to submit. Then, after selecting the Submit button, you will receive a confirmation of submission page along with an email notification confirming acceptance or rejection of the submission. Your Track Status table will also be updated to display your submission details. Unless your submission is Rejected (at which time you must correct the reason for rejection and resubmit), there is no further action on your part regarding the submission.



Part 6. Additional Resources

Resources & Links

All users have the access to all supporting documentation and content (internal and external) to help support their BSA filing requirements via the Resources and Links top-navigation drop-down lists:

1. Resources *(Top-Navigation Menu)*

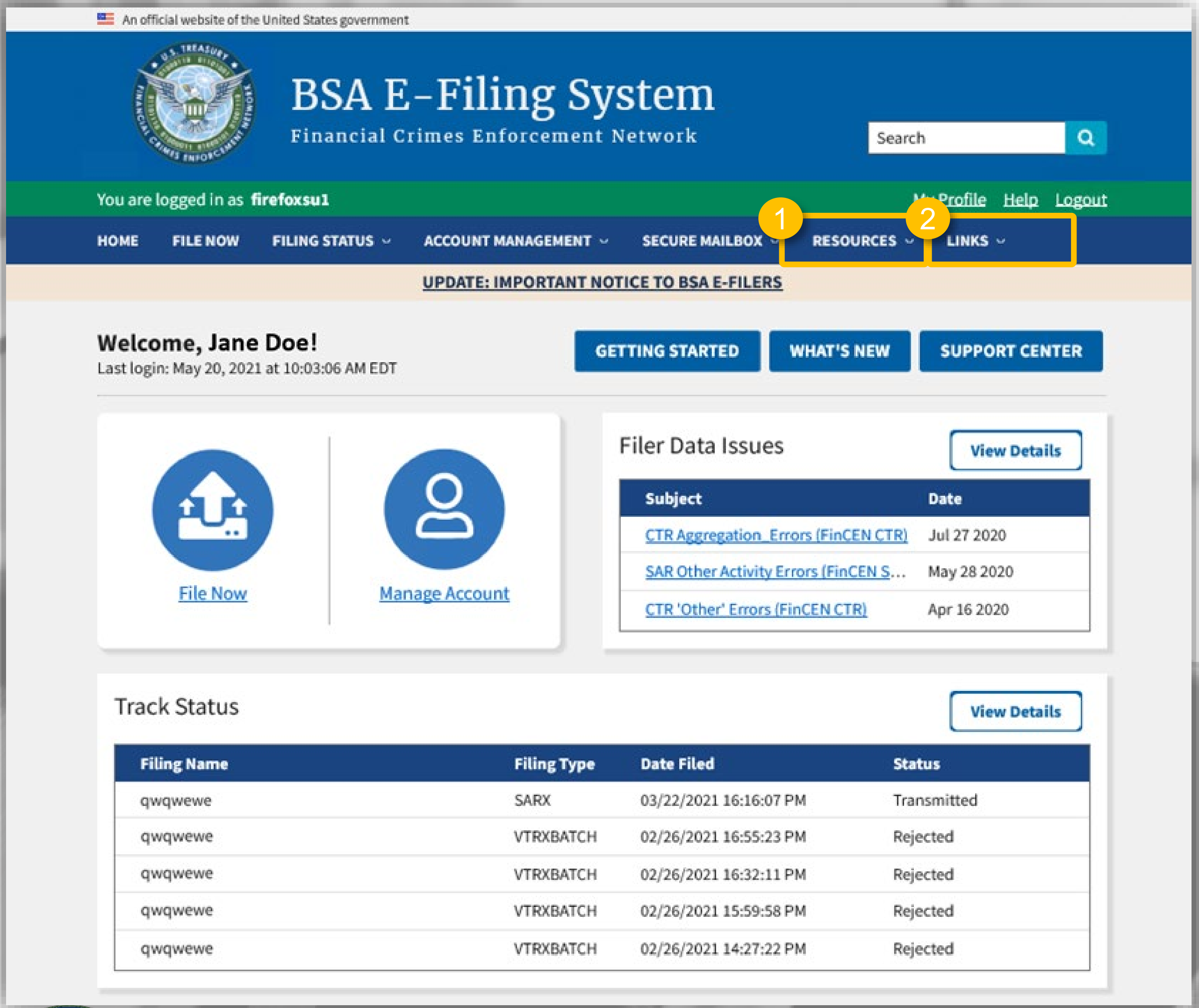
When selected, this top-navigation menu item displays the following links:

- ***BSA Filer Data Issues Reports***. Directs user to the page that contains the various high-level reports published by FinCEN regarding general filer data issues for all BSA filers.
- ***SDTM Requirements***. Directs user to a detailed document regarding how to establish SDTM (Secure Data Transaction Mode) using SFG functionality.

2. Links (Top-Navigation Menu)

When selected, this top-navigation menu item displays the following links:

- ***Filing Information***. Directs user to the public page that contains all XML User Guides supported by the application.
- ***Forms Viewer Download***. Directs user to the public page that contains information regarding how to install the Adobe Reader software needed to file BSA forms.
- ***NAICS Code List***. Directs user to the public page that contains the list of NAICS codes support by FinCEN.
- ***Frequently Asked Questions***. Directs user to the public page that contains the Support Center FAQ search feature.
- ***RMSB Site***. Directs user to the fincen.gov page that allows them to verify their RMSB registration status.



Additional Support

If you have an questions regarding the updates outlined in this presentation, please feel free to submit a Help Ticket. Our support team will get back to you as soon as possible.

As a reminder, the Help Desk is available Monday through Friday from 8 a.m. to 6 p.m. EST. Please note that the Help Desk is closed on Federal holidays.