
BSA Tracker SAR Workshop

Making BSA Compliance
faster, easier and more
efficient

SAR Workshop

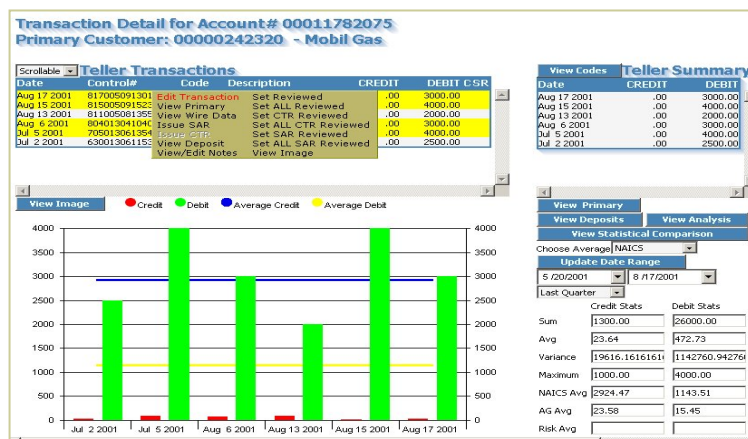
Functionality

- SAR Workshop allows bank to research, file, track and follow-up on SAR's (Suspicious Activity Report)
- Filing is certified with IRS – filling paper or electronic
- SAR processing and analysis
- Add and maintain documentation such as Word documents, PDF, Excel, Image files
- Produce SAR Research Report on the fly eliminating the need to keep paper files
- Unique integration allows user to easily drill down to acquire needed information in order to research or file a SAR

Introduction

Generally, SAR's will be created through the Investigator Workshop (IVW). However, the BSA Tracker will allow users to create a SAR on the fly. SAR's can be created from reports, from a blank SAR form or from a detailed transaction listing for the customer and his accounts. Within the SAR Workshop the Tracker will automatically track:

- SAR due dates and follow-up dates
- Track SAR's by Investigator
- Automated self populated the SAR form, with all required data elements
- Automatically calculate of Violation Amount
- Automatically create description test format based on transactions selected for violation amount
- Allow users to create a SAR Submission with PAC's (BSA E-filing), electronic filing (diskette) or paper printout
- Produce Monthly Management Reports



All of these functions are also available in the IVW, however a bank may need to create a SAR immediately and the Tracker will support this action also.

When you decide to issue a SAR, right mouse click in the transaction listing and select issue SAR from the drop down menu — the SAR worksheet will self populate with the customer data.

You can add or edit information in the worksheet at any time and all the information you need to complete the

SAR is contained in the worksheet.

SAR Listing

Scrollable: [v] Hide Followups: [v] Apply Colors: [v] Issue Current SAR: [NO]

ID	Acct#	Investigator	Prepared Date	Due Date	Days Left	Suspects	Status	Issue	Delete
146	00003867041	administrator	May 10 2005	Jun 9 2005	10	1	READY	NO	<input type="checkbox"/>
142	00001406811	administrator	May 27 2005	Jun 26 2005	27	1	READY	NO	<input type="checkbox"/>
130	00001454137	Joe Cazoni	May 28 2005	Jun 27 2005	28	1	READY	NO	<input type="checkbox"/>
141	00001013947	administrator	May 11 2005	Jun 10 2005	11	1	REVIEW	NO	<input type="checkbox"/>
152	00001041436	Brad Dude	May 12 2005	Jun 11 2005	12	1	REVIEW	NO	<input type="checkbox"/>
138	00001716921	Joe Cazoni	May 15 2005	Jun 14 2005	15	1	REVIEW	NO	<input type="checkbox"/>
145	00001020293	administrator	May 3 2005	Jun 2 2005	3	1	NEW	NO	<input type="checkbox"/>
143	00001046217	administrator	May 3 2005	Jun 2 2005	3	1	NEW	NO	<input type="checkbox"/>
148	00003133352	administrator	May 15 2005	Jun 14 2005	15	1	NEW	NO	<input type="checkbox"/>
168	non customer	administrator	May 17 2005	Jun 16 2005	17	1	NEW	NO	<input type="checkbox"/>
167	Steve	administrator	May 17 2005	Jun 16 2005	17	1	NEW	NO	<input type="checkbox"/>
139	00005022596	Joe Cazoni	May 19 2005	Jun 18 2005	19	1	NEW	NO	<input type="checkbox"/>
151	00005022596	Brad Dude	May 21 2005	Jun 20 2005	21	1	NEW	NO	<input type="checkbox"/>
153	00001039687	Brad Dude	May 22 2005	Jun 21 2005	22	1	NEW	NO	<input type="checkbox"/>

Issue Checked SAR's | Build Output File From Checked SAR's | Import SAR's From File

Once complete, the SAR worksheet is added to the SAR Pending List. The SAR listing is color coded for easy identification on the status of any SAR.

One excellent time saving feature of the Tracking System is the ability to calculate the violation amount based on the specific transactions you include. As the transactions are selected, the system automatically calculated the amount and returns transaction detail listing for the transactions in the SAR description box. The description box is free from text box so you can any test you need to explain the violation.

-- Web Page Dialog

Aug 10 2001	00021305453	796	FORCE POST DEBIT	15.00	IGNORE	<input type="checkbox"/>
Aug 10 2001	00021305453	624	WIRE TRANSFER-IN	15000.00	IN	<input type="checkbox"/>
Aug 9 2001	00021305453	796	FORCE POST DEBIT	12.00	IGNORE	<input type="checkbox"/>
Aug 9 2001	00021305453	757	DEPOSIT	9250.00	IN	<input type="checkbox"/>
Aug 9 2001	00021305453	950	WITHDRAWAL	22000.00	OUT	<input type="checkbox"/>
Aug 9 2001	00021305453	800	CHECK	15000.00	OUT	<input checked="" type="checkbox"/>
Aug 9 2001	00021305453	800	CHECK	15000.00	OUT	<input type="checkbox"/>
Aug 9 2001	00021305453	800	CHECK	1000.00	OUT	<input type="checkbox"/>
Aug 9 2001	00021305453	800	CHECK	265.95	OUT	<input type="checkbox"/>
Aug 9 2001	00021305453	629	CREDIT MEMO	6130.49	IGNORE	<input type="checkbox"/>
Aug 9 2001	00021305453	629	CREDIT MEMO	30.00	IGNORE	<input type="checkbox"/>
Aug 9 2001	00021305453	800	CHECK	20.00	OUT	<input type="checkbox"/>
Aug 9 2001	00021305453	800	CHECK	1000.00	OUT	<input type="checkbox"/>
Aug 9 2001	00021305453	800	CHECK	75.00	OUT	<input type="checkbox"/>
Aug 9 2001	00021305453	800	CHECK	75.00	OUT	<input type="checkbox"/>
Aug 9 2001	00021305453	800	CHECK	601.00	OUT	<input type="checkbox"/>

Current SUM \$117365

Return Value | Set Transaction Listing | Return Value & Set Transaction Listing

http://localhost/bsa/popups/view_new_transaction_violation.asp?account=00021305453&account2=&account3=&account4=&startdate=8/9/

http://localhost/bsa/bsa_main.asp - Microsoft Internet Explorer

Address: http://localhost/bsa/bsa_main.asp

BSA Tracker
www.gemstone.com
Version 2.3.1.0

Bank # 911 / Bouton Bank LTD: 1/3/2002 User: administrator

Daily Alerts

System Overview

Bank Control

Customer Workshop

Branch Workshop

OFAC Workshop

EFAC and Check Risks Workshop

BSR Workshop

CIP Workshop

KYC/EDD Workshop

Risk Management Workshop

Wire Workshop

Investigator Workshop

SAR Workshop

CIR Workshop

IRMA Workshop

IRIS Workshop

View Reports

Agency Verifications

Legal Process

Date of Discovery: 3/14/2011

Did activity happen at multiple branches? [No]

Does this report correct a prior report? [No]

THIS IS A NEW SAR FOR THIS CUSTOMER. HE HAS BEEN A CUSTOMER OF TH [Insert]

Detailed Explanation of Activity
39,378 characters left

Date	Account	Code	Description	Amount	Direction
Aug 13 2001	00001039687	757	DEPOSIT	2494.00	IN
Aug 9 2001	00001039687	800	CHECK 46.46	OUT	
Aug 7 2001	00001039687	800	CHECK 4200.00	OUT	
Aug 6 2001	00001039687	757	DEPOSIT 3657.00	IN	
Aug 6 2001	00001039687	580	COLLECTABLE FLOAT 3657.00	IGNORE	
Aug 6 2001	00001039687	211	CHECK 7500.00	OUT	
Aug 3 2001	00001039687	580	COLLECTABLE FLOAT 3270.00	IGNORE	
Aug 3 2001	00001039687	757	DEPOSIT 3270.00	IN	

Follow up required? [Yes]

Investigator: administrator

Risk Level: [No Risk Level Selected]

Because **BSA Tracking System** is built on functional cohesion (BSA Tracker is organized into functional workshops based on separate areas of compliance or responsibility with all Workshops built into the Tracker, not sold separately), it **will improve your effectiveness, productivity, increase risk intelligence, eliminate paper files and improve profitability.**

Here you see the same SAR tracked within the Customer workshop under the SAR/CTR Status section.

The screenshot displays the BSA Tracker Customer Workshop for Customer #00000320844, Elmer Parica. The interface includes a navigation menu on the left with various workshops such as Daily Alerts, System Overview, Bank Control, Customer Workshop, OFAC Workshop, MSB Workshop, Risk Management, and SAR Workshop. The main content area shows account details for Elmer Parica, including account numbers, BR, AT Code, Acct Type, NAICS, Relation, and LTD. Below this, there is a table for SAR/CTR Status with columns for Type, Acct#, Start Date, and Due Date. The table shows one SAR-NEW entry and several SAR-COMPLETE entries. At the bottom, there is a section for Driver's License Images, which currently displays "IMAGE NOT AVAILABLE" and a message stating "No driver's license images exist for this customer!".

Exempt Customer	Elmer Parica							Account Totals From 3/23/2011 To 6/21/2011				
Acct#	BR	AT Code	Acct Type	NAICS	Relation	LTD	I	Account#	Date	Teller In	Teller Out	DPD In
00001039687	8017	76	COMMERCIAL	AAS CKNG	PRIMARY	01/02/2002	O					
0009030000025240					PRIMARY							

Customer#	Name	Account#	Relation	Type	Type	Acct#	Start Date	Due Date
					SAR-NEW	00001039687	Mar 14 2011	Apr 13 2011
					SAR-COMPLETE	00001039687	Feb 1 2006	FILED
					SAR-COMPLETE	00001039687	Feb 1 2006	FILED
					SAR-COMPLETE	00001039687	Feb 1 2006	FILED
					SAR-COMPLETE	00001039687	Jan 31 2006	FILED
					SAR-COMPLETE	00001039687	Jan 31 2006	FILED

Saving our clients time and money is good business and no other software will do more to help make your BSA compliance faster, easier and more efficient.

All of this functionality with just the click of a button.