

FinCEN – SAR Activity Review Customer Satisfaction Survey 2012

Introduction

FinCEN is committed to serving and satisfying their customers and has commissioned the CFI Group, an independent third-party research group, to conduct this survey. We are asking for your institution's feedback on this survey so that FinCEN can improve their SAR Activity Review products. If you work for a financial institution covered by the Bank Secrecy Act, but are not one of your institution's Bank Secrecy Act/Anti-Money Laundering Compliance Officers, please inform them of your receipt of this survey and ask for their additional input.

CFI Group will treat all information you provide as confidential. All information you provide will be combined with others' for research and reporting purposes. Your individual responses will not be released.

This survey is authorized by the U.S. Office of Management and Budget Control No. 1090-0007.

Demographics

- Demo1. Which of the following best describes your organization or industry?
1. Depository Institution (e.g. banks, credit union)
 2. Money Services Business (e.g. currency exchangers, check cashers, money transmitter, issuer/seller/redeemer of money orders and travelers checks, provider of prepaid access)
 3. Securities and Futures (e.g., Broker/Dealer, Introducing/Clearing Firm, Futures Commissions Merchant, Commodity Trading Advisor)
 4. Casino or Card Club
 5. Insurance Companies
 6. Mutual Funds
 7. Dealer in Precious Metals, Stones, or Jewels
 8. Non-bank Residential Mortgage Lender and Originator
 9. Operators of Credit Card Systems
 10. Industry Association
 11. Industry Consultant
 12. Industry Vendor
 13. Federal Regulatory Agency
 14. Federal Law Enforcement Agency
 15. State Regulatory Agency
 16. State Law Enforcement Agency
 17. Individual
 18. Other (specify)

If the respondent selects 15, 19, or 20, then also ask the respondent “Are you a FinCEN employee?” and if the respondent selects “yes” then end the survey. If the respondent selects “no” then proceed to Demo2.

Demo2. How do you obtain the SAR Activity Review products?

1. Through FinCEN’s website
2. Through my federal regulator’s website
3. Through an industry association website
4. Other (specify)

Demo 3. Which best describes how often you visit the FinCEN website (www.fincen.gov)?

1. Daily
2. Weekly
3. Monthly
4. Every six months or less
5. Never

Usefulness – Trends, Tips & Issues

TTI1. Have you read an issue of The SAR Activity Review – Trends, Tips & Issues?

1. Yes
2. No

(If “No” skip to BTN1 ‘The SAR Activity Review – By the Numbers’)

Please rate the usefulness of the following recurring sections in The SAR Activity Review – Trends, Tips & Issues, use a scale from “1” to “10,” where “1” means “not very useful” and “10” means “very useful.” If you are unfamiliar with a section please indicate N/A.

- TTI2. Trends and Analysis
- TTI3. Law Enforcement Cases
- TTI4. Issues & Guidance
- TTI5. Industry Forum

Value of information – Trends Tips & Issues

On a scale from “1” to “10,” where “1” is “poor” and “10” is “excellent,” please rate the value of the information in The SAR Activity Review – Trends, Tips & Issues on the following:

- TTI8. Helping you improve your BSA/Anti-money laundering program
- TTI9. Providing feedback on the use of Suspicious Activity Reports filed by your industry
- TTI10. Providing guidance on filing requirements
- TTI11. Again, using a scale from “1” to “10,” where “1” means “poor” and “10” means “excellent,” please rate the opportunity provided by this publication for you to suggest future topics.

TT12. On a scale from “1” to “10”, where “1” means “not very useful” and “10” means “very useful” please rate the usefulness of the Trends, Tips & Issues publication released each May that focuses on a specific industry of theme?

TTI13. What would you change to improve Trends, Tips & Issues, including the May publication that focuses on a specific industry of theme? (Open-ended)

Usefulness – By the Numbers

BTN1. Have you read an issue of The SAR Activity Review – By the Numbers?

1. Yes
2. No

(If “No” skip to ACS11 - ‘ACSI Benchmark Questions’)

Please rate the usefulness of the following recurring sections in The SAR Activity Review – By the Numbers, use a scale from “1” to “10,” where “1” means “not very useful” and “10” means “very useful.” If you are unfamiliar with a section please indicate N/A.

BTN2. Filings by Year & Month

BTN3. Filings by States & Territories

BTN4. Number of Filings Ranked by States & Territories in Descending Order

BTN5. Number of Filings by Characterization of Suspicious Activity

BTN6. Violations by State & Territory by Year

BTN7. Graphical representations of filings and violations

If DEMO1 = 1 Depository Institution ASK BTN8, BTN9

BTN8. Filings by Primary Federal Regulator

BTN9. Relationship of Suspect to Financial Institution

If DEMO1 = 2 Money Service Business ASK BTN10, BTN11

BTN10. Filings by Type of Filer

BTN11. Filings by Financial Services Involved

If DEMO1 = 3-6 Securities and Futures Broker/Dealer ASK BTN12, BTN13

BTN12. Filings by Instrument Type

BTN13. Filings by Type of Reporting Institution

Value of information – By the Numbers

On a scale from “1” to “10,” where “1” is “poor” and “10” is “excellent,” please rate the value of the information in the SAR Activity Review – By the Numbers on the following:

Info1 Usefulness in improving your BSA/Anti-money laundering compliance program

Info2 Usefulness in allowing you to compare filing volumes across states and territories

BTN14. What would you change to improve By the Numbers? (Open-ended)

ACSI Benchmark Questions

Now we are going to ask you to please consider your experiences with these publications with respect to the following:

- ACSI1. First, please consider your experiences to date with FinCEN's publications, The SAR Activity Review – Trends, Tips & Issues and By the Numbers. Using a 10-point scale on which "1" means "Very dissatisfied" and "10" means "Very satisfied," how satisfied are you with these publications?
- ACSI2. To what extent have these publications met your expectations? Please use a 10-point scale on which "1" now means "not met your expectations" and "10" means "Exceeds your expectations."
- ACSI3. Forget about FinCEN for a moment. Now, imagine the ideal feedback, guidance and information publication. How well do these two publications compare with that ideal? Please use a 10-point scale on which "1" means "Not very close to the ideal" and "10" means "Very close to the ideal."

Closing

FinCEN would like to thank you for your time and participation today. Your feedback is greatly appreciated.