

Guidance Notes

Your Ref:

The reference number, or alphanumeric identifier, that you allocate to the SAR within your own filing system.

Sheet Number:

The number of pages used to complete the SAR.

Disclosure type:

This field should contain the type of offence under which you report (i.e. Crime, Drugs or Terrorism).

Disclosure date:

The date upon which the original report is made within your institution, either New or Update.

'New' is any new suspicious activity or any further activity on a previously reported account/activity or arrangement. 'Update' is any further information that is not a transaction, on a previously reported account/activity or arrangement, e.g. a new address of a subject.

Existing disclosure ID:

If you have entered 'Update' in the previous field, please enter here any reference number the NCA may previously have supplied relating to the subject in question.

Constructive trust:

Fill this check box if the report relates to an issue of constructive trust.

Further information: Filling in this check box indicates that you retain further information relating to the report, which may be of interest to SOCA or another financial investigator. For example, if your disclosure relates to a mortgage application, it may not always be necessary to provide the full documentation. In this case, indicate its existence here and provide a concise description in the 'Reasons for Suspicion' field.

Do not send the further information with your form.

Source ID:

The name of your institution.

Source outlet ID:

The name (or sort code) of the branch office from which the report originates.

Today's date:

Date report submitted to the NCA (automatic date field).

Main subject (person or company)

This information describes the individual (or company) on whom you wish to report.

Surname:

Subject's family name.

Forenames:

Subject's forenames.

Title:

Title of subject (Mr, Mrs, Dr etc).

Date of birth:

Date of birth of subject.

Gender:

Gender of subject.

Occupation:

Occupation of subject.

Employer:

Subject's employer.

Or:

Company Name:

Company name of subject.

Company No:

Company registration number of subject.

Type of business:

Type of business of subject.

VAT no:

VAT number of subject.

Country of Registration:

Country of registration of subject.

Address**Number, street, city/town, county, country:**

Full address of subject.

Postcode:

Postcode of address of subject.

Type:

Type of address of subject (i.e. home, accommodation, trading etc).

Current:

Is the address of the subject current, Yes or No?

ID Information:

Describes the type of identification offered or taken (e.g. driving licence).

Unique information ID:

Give details of the identification taken (e.g. driving licence number).

Extra information/description:

Give any further information relating to the identification taken, which may be relevant or of use (e.g. if passport, the country of issue).

Other information:

Give any further details that help to identify the subject.

Disclosed account details:

This information describes an account with which the subject or suspicious activity is connected.

FI ID:

The name of the financial institution that holds the subject's account.

Sort Code:

The sort code of the branch office that holds the subject's account.

Opened:

Date account opened.

Closed:

Date account closed (if applicable).

Turn' Cd:

Turnover credit.

Turn' Db:

Turnover debit.

Acct. Name:

Account name.

Acct No:

Account number.

Acct Bal:

Account balance.

Bal Date:

Date of the balance.

Turn Pd:

Turnover period.

Individual transactions with counterparty account details

This section contains details of the transaction, or series of transactions that have aroused your suspicion, and details of the counterparties involved.

Date:

The date of the transaction.

Amount:

The amount of the transaction.

Currency:

The currency concerned in the transaction (e.g. GBP, USD, DEM etc).

Cr/Db:

This field stipulates whether the transaction constitutes a credit or debit in relation to the account identified above.

Type:

The type of transaction conducted (e.g. cash, cheque, electronic transfer, mortgage etc).

Notes:

This field is available for further information relating to the transaction identified above.

FI ID:

The name of the institution that holds the counterparty account, if applicable.

Sort Code:

The sort code of the branch office that holds the counterparty's account.

Acct. Name:

The name of the counterparty.

Acct. No:

The counterparty's account number.

Associated subject (person and company)

This information describes the person(s) or companies with which the subject or suspicious activity. It is a person or company that is linked to the main person/company in some direct way and is involved in the suspicious activity. Include the financial institution responsible for that account if it is involved in your suspicions.

Surname:

The associated subject's family name.

Forenames:

The associated subject's forenames.

Title:

Title of associated subject (Mr, Mrs, Dr etc).

Date of birth:

Date of birth of associated subject.

Gender:

Gender of associated subject.

Occupation:

Occupation of associated subject.

Employer:

Associated subjects employer.

Reason for association:

Give details of the connection between the Main Subject and associate subject

Or:

Company name:

The name of the associate company.

Company No:

Company number of associated subject.

Type of business:

Type of business of associated subject.

VAT No:

VAT number of associated subject.

Country of registration:

Country of registration of associated subject.

Reason for association:

Give details of the connection between the Main Subject and associate subject

Or:

(Associated) subject already exists as Main Subject of a previous report and is provided for use if you have previously reported on the associated subject.

Existing disclosure ID:

The reference number, which the NCA may have provided in relation to previous reports, relating to the associated subject.

Your Ref:

The reference number, or alphanumeric identifier, that you allocated within your own file system to the previous report on the associated subject.

Reason for association:

Details of the connection between the Main Subject and associate subject

(Associated subject) address

Number, street, city/town, county, country:

Full address of associated subject.

Postcode:

Post code of address of associated subject.

Type:

Type of address of associated subject (i.e. home, accommodation, trading etc).

Current:

Is the address of the associated subject current, Yes or No?

(Associated subject) ID information

ID information:

Describes the type of Identification offered or taken (e.g. driving licence).

Unique information ID:

Give details of the Identification taken (e.g. driving licence number).

Extra information/description:

Give any further information relating to the Identification taken, which may be relevant or of use (e.g. if passport, country of origin).

General information:

Give any further details that help to identify the subject.

Reason for disclosure

This section requires a clear and thorough explanation of the grounds for your suspicion. Submissions that do not provide reasons for suspicion cannot be accepted as a SAR by the UKFIU.

For further information contact the UKFIU SAR Team at:
PO Box 8000, London, SE11 5EN