
OFFICER'S QUESTIONNAIRE (BANK SECRECY ACT)

NOTE: Questions should be answered by an executive officer of the financial institution. Where space is inadequate, an attached blank sheet referencing the particular question(s) may be used to respond. If any question is not applicable to your institution, please indicate as Not Applicable or N/A. Unless otherwise indicated, all questions concern only that period of time since the last Bank Secrecy Act Examination.

PROCEDURES FOR MONITORING BANK SECRECY ACT (BSA) COMPLIANCE (12 C.F.R. 326.8)

1. When was the Bank Secrecy Act Compliance Program, including the Customer Identification Program approved by the Board?

2. Is independent testing for compliance conducted by bank personnel or by an outside party? Identify the responsible party.

3. Provide the name(s) of the individual(s) responsible for coordinating and monitoring day-to-day compliance with the BSA. Has the board approved the designations? If so, give dates of board approval.

4. Are appropriate personnel provided with periodic training relative to the BSA? If so, give dates of training sessions.

FINANCIAL RECORDKEEPING (31 C.F.R. PART 103)

1. Has the institution shipped to or received, from a point outside the United States, currency or other monetary instruments on any one occasion in an aggregate amount exceeding \$10,000? If so, provide details.

2. Does the institution maintain any accounts in foreign countries over which it has signature authority or in which it has a financial interest? If so, indicate where such accounts are held.

3. Has the institution exempted any customer from the requirement to report large currency transactions? If so, provide details.

4. Has the institution received correspondence from the Internal Revenue Service (IRS), the Financial Crimes Enforcement Network (FinCEN) or Treasury's Office of Foreign Assets Control (OFAC) concerning Bank Secrecy Act matters or OFAC matters? If so, provide copies.

5. a) Does the institution maintain "Payable Through Accounts?" If so, identify the account(s) by name and account number.

- b) Does the institution permit cash transactions by sub-account holders?

6. Does the institution maintain a listing of prohibited countries, entities and individuals published by Treasury's Office of Foreign Assets Control (OFAC)?

7. Does the institution engage in activities that could heighten its exposure to potential money laundering, including international correspondent banking relationships, private banking, electronic banking, offshore wire transfer activity, non-bank financial institution relationships, or deposit broker relationships? If so, describe the nature of such relationships.

8. Has the institution been asked by law enforcement or other government officials to close an account due to possible money laundering or terrorist financing activity? If so, provide details.

9. Has the institution filed, or considered filing, Suspicious Activity Reports (SARs) related to possible money laundering activity? If so, provide details.

OFFICER'S QUESTIONNAIRE (BANK SECRECY ACT)

Use the following area to make any comments as necessary, referencing each by section heading and question number. Use a continuation sheet, if necessary.

I do hereby certify that the foregoing statements are true and correct to the best of my knowledge and belief.

OFFICER'S NAME AND TITLE	OFFICER'S SIGNATURE AND DATE
INSTITUTION'S NAME	CITY/STATE

This is an official document. Any false information contained in it may be grounds for prosecution and may be punishable by fine or imprisonment.