



TEXAS DEPARTMENT OF BANKING

REQUEST LIST FOR TRUST COMPANY EXAMINATION

(insert name of Trust Company here)

The following is a list of documents that will be used in the examination of your institution. Only those items marked with an **X** are required to meet the planned scope of this examination. Examiners will need either: (1) an electronic *copy* of a requested item for examination work papers; or, (2) *access* to the referenced information sometime during the on-site review, unless otherwise instructed. **To help expedite the examination process, please provide the name and number of the employee who may be contacted for each item requested.** Optional forms have been attached to the request schedule to facilitate transmittal of certain information. However, in all cases, if your institution has the requested information available in another format, examiners will use the internally generated document as long as the information can be readily verified and converted to the examination format. Please submit the electronic documents, including this list with contacts identified, using the Department’s upgraded Data Exchange System (**DEX 2.0**) which is accessed from the [Entity Log In](#) page of the Department website.

The following dates are relevant for the purposes of this request:

Examination Commencement Date:	(ECD)	(Date)
Account Trial Balance Date & Audit Package:	(ATB)	(Date)
Financial Information Date:	(FID)	(Date)
Last Examination Date:	(LED)	(Date)

DOCUMENTS ARE REQUESTED FROM THE AREAS MARKED WITH AN “X”.			
Click on link to go to list.			
#1-General	X	#7-Capital	X
#2-Fiduciary Management	X	#8-Corporate Asset Quality	X
#3-Operations, Internal Controls, and Audit	X	#9-Corporate Management	X
#4-Fiduciary Earnings	X	#10-Corporate Earnings	X
#5-Compliance	X	#11-Liquidity	X
#6-Fiduciary Asset Management	X	#17-BSA/AML	X

**TEXAS DEPARTMENT OF BANKING
TRUST COMPANY EXAMINATION REQUEST LIST**

#1- GENERAL ITEMS				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and Number)
X	1-A. Detailed general ledger and income statement.	FID	Copy	
X	1-B. Officer's Questionnaire (Form attached – MUST BE TYPEWRITTEN)	FID	Signed Original	
X	1-C. Shareholders' minutes.	Since LED	Copy	
X	1-D. List of members of the Board of Directors (See Form #1-D)	Most Recent Info.	Copy	
X	1-E. Board of Directors minutes (include copies of attachments)	Since LED	Copy	
X	1-F. Board meeting packet	Most Recent	Copy	
X	1-G. All policy and procedures manuals; disaster recovery plan, strategy plan and/or profit goals.	FID	Access	

X=Indicates information requested

**TEXAS DEPARTMENT OF BANKING
TRUST COMPANY EXAMINATION REQUEST LIST**

**Form#1-D
Directors**

Name Physical Address City, State, Zip	Year of Birth	Net Worth (000's) As of Date	Position & Principal Business Affiliations	Year Elected to Board	Year Joined Trust*	# of Shares Owned	Bank Fees/ Benefits

*Enter year if the Director is also a Trust Officer.

**TEXAS DEPARTMENT OF BANKING
TRUST EXAMINATION REQUEST LIST**

#2 – FIDUCIARY MANAGEMENT				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and Number)
X	2-A. List of Executive officers (See Form # 2-A)	ECD	Copy	
X	2-B. List of trust committee members (See Form # 2-B)	ECD	Copy	
X	2-C. Trust Committee minutes. (Do not include attachments)	Since LED	Copy	
X	2-D. List of any other trust related committees and members (See Form #2-C)	ECD	Copy	
X	2-E. Other Trust function-type committee minutes (Do not include attachments)	Since LED		
X	2-F. Name of legal counsel utilized for fiduciary matters.	ECD	Copy	
X	2-G. Written statement from counsel on status of any fiduciary litigation against the company, any director, or management.	ECD	Copy	
X	2-H. Reports of identified fraud/defalcation on any fiduciary accounts.	ECD	Copy	
X	2-I. List of training attended by officers and employees in the last year.	ECD	Copy	
X	2-J. Business plan for fiduciary activities, including products and services development and marketing plans.	ECD	Copy	
X	2-K. Resumes of any fiduciary management officer elected since the last examination.	ECD	Copy	
X	2-L. List of corporate insurance policies. (Form #2-L)	Most Recent Info.	Copy	
X	2-M. Provide a list of own-bank/company pension plans or other employee benefit plans	Most Recent	Copy	

**TEXAS DEPARTMENT OF BANKING
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#2 – FIDUCIARY MANAGEMENT				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and Number)
	that are underfunded or the bank has liability.			
X	2-N. Fiduciary organizational chart.	Most Recent	Copy	

X = Indicates information requested

**TEXAS DEPARTMENT OF BANKING
TRUST EXAMINATION REQUEST LIST**

**Form#2-A
Executive Officers**

Name & Title/ Time Devoted (% of week)	Date of Birth	Area of Responsibility	Year Joined Trust	Years in Current Position	Compensation Salary (S) Bonus (B) Other Benefits
TOTAL NUMBER OF OFFICERS LISTED ABOVE:			SUBTOTAL OF SALARIES FOR OFFICERS LISTED ABOVE:		
TOTAL OTHER STAFF EMPLOYEES AND JR. OFFICERS:			SUBTOTAL OF SALARIES FOR OTHER STAFF EMPLOYEES:		
			TOTAL SALARIES:		

**TEXAS DEPARTMENT OF BANKING
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**Forms#2-B & #2-C
Trust Committees**

Name of Committee _____	Principal Function of the Committee:			No. of Meetings Since Last Examination _____ No. of Members _____
Names of Committee Members	Birth Year	Year Joined Trust*	Salary/Meeting Attendance Fee	Principal Business Interest(s)

*Include this date for committee members that are not listed on the Directors or Officers forms.

**TEXAS DEPARTMENT OF BANKING
TRUST COMPANY EXAMINATION REQUEST LIST**

**Form #2-L
Schedule of Corporate Insurance Policies**

Insurance Company/Selling Agent	Coverage	Amount	Deductible	CSV	Premium Payments	Expiration Date

CSV represents Cash Surrender Value

**TEXAS DEPARTMENT OF BANKING
TRUST COMPANY EXAMINATION REQUEST LIST**

#3-OPERATIONS, INTERNAL CONTROLS, AND AUDITING				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and Number)
X	3-A. External fiduciary audit report, management letter, and engagement letter.	Most Recent	Copy	
X	3-B. Internal fiduciary audit, audit program and audit schedule.	Most Recent	Copy	
X	3-C. Provide a confirmation from each institution holding assets and a reconciliation of the confirmations to total fiduciary assets. (Utilize either location code report for unit reconciliation or the master asset listing for the reconciliation of book value or cost.)	ATB	Copy	
X	3-D. List of all suspense accounts and reconciliation of each.	ATB	Copy	
X	3-E. List of large cash balances and fiduciary overdrafts. (The list should include the name, account number, amount, and date of occurrence.)	ATB	Copy	
X	3-F. Listing of all assets held in fiduciary accounts that are pledged or restricted.	ATB	Copy	
X	3-G. Reconcilements for the trust company's demand deposit account and/or operating accounts for fiduciary activities.	Last 3 Months	Access	
X	3-H. Copy of Audit Policy and list of Audit Committee members.	ECD	Copy	
X	3-I. Safekeeping agreements with banks or other financial institutions.	ECD	Copy	
X	3-J. Order an “Audit Package” from your data processor which contains at a minimum the following fiduciary reports:	ATB	Copy	

**TEXAS DEPARTMENT OF BANKING
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#3-OPERATIONS, INTERNAL CONTROLS, AND AUDITING				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and Number)
X	<p>(a) Trial balance by account type with totals for each type and overall totals at the end (e.g., personal, employee benefit, corporate, etc.) The list should include the name, account number, income cash, principal cash, and total investments per account.</p> <p>(b) Master property list, including name of asset, number of par/share/ units held, book value and market value with totals for each asset type and overall totals at the end. This list should be broken down by type of asset (cash, U. S. Gov't. municipals, equities, closely-held, real estate, oil and gas, unique, etc.), if possible.</p> <p>(c) Provide a Holder's list of each asset. (The list should be in the same order and include the same assets and same information as the master property list.)</p> <p>(d) Account holdings by asset including account number, name, type of assets, listing of assets, number of par/share/units, book value and market value with totals. (Security Cross Reference including unique assets or Portfolio listing.)</p> <p>(e) List of assets by location code including same information as Holder's list but broken down by location (such as all assets held in the vault should be listed together consecutively and totaled).</p>			

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**TEXAS DEPARTMENT OF BANKING
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#4 – FIDUCIARY EARNINGS				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and Number)
X	4-A. Fee schedules and date last approved	ECD	Copy	
X	4-B. List of fiduciary losses or charge-offs, including settlements, waivers or similar compromise actions since the last examination.	Since LED	Copy	
X	4-C. List prospective accounts and approximate dollar amounts.	Current	Copy	
X	4-D. Budget for current fiscal year (Trust Departments).	ECD	Copy	
X	4-E. Prior year detailed income/expense statement compared to budget (Trust Departments).	ECD	Copy	
X	4-F. Current year detailed income/expense statement compared to budget (Trust Departments).	ECD	Copy	
X	4-G. List of most significant fees generated from large accounts or relationships	FID	Copy	

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**TEXAS DEPARTMENT OF BANKING
TRUST COMPANY EXAMINATION REQUEST LIST**

#5 – COMPLIANCE				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and Number)
GENERAL				
X	5-A. List of all related organizations, including affiliates, operating subsidiaries, etc. Detail the manner of affiliation, scope of activities of each affiliate, and any filed or threatened litigation affecting any or all affiliates. (See Form # 5-A)	ECD	Copy	
X	5-B. List of all ongoing service arrangements, fee arrangements, lease payments, in-kind payments, and any other transfer of value with affiliates. List date of each agreement, terms, and amounts. (See Form # 5-B)	Since LED	Copy	
X	5-C. All other agreements, guarantees, or hypothecations, between your institution and any related organization.	ECD	Copy	
X	5-D. Examination reports, financial information, audit reports, and regulatory filings, for all related organizations.	Most Recent	Access	
X	5-E. List of all fiduciary accounts holding stock or obligations of your institution or any affiliate. Detail account number/name, number of shares/debt balance and name of issuer, cost/market value, retention authority, and capacity.	FID	Copy	

**TEXAS DEPARTMENT OF BANKING
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#5 – COMPLIANCE				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and Number)
X	5-F. Reports of officer’s personal securities transactions. (transactions greater than \$10,000)	FID	Copy	
X	5-G. List of related interests of officers, directors, and principal shareholders.	ECD	Copy	
X	5-H. If a cash sweep is utilized, describe the sweep operation and provide a list of the investment vehicles utilized. (Provide a prospectus of each fund and any information regarding fee arrangements.)	Most Recent Info.	Copy	
PERSONAL TRUSTS				
X	5-I. List of all fiduciary accounts opened and closed.	Since LED	Copy	
X	5-J. List of all accounts in which a co-fiduciary relationship exists.	Most Recent	Copy	
X	5-K. List all estates, which have been under administration longer than 3 years.	Most Recent	Copy	
EMPLOYEE BENEFIT TRUSTS				
X	5-L. List of employee benefit trusts in which the trust company serves as plan administrator. (Include own-institution plans).	Most Recent	Copy	

**TEXAS DEPARTMENT OF BANKING
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<i>CORPORATE TRUST</i>				
	<p>5-M. List of corporate trusts in default or that are currently “out-of-balance.” (Indicate the date and nature of the default, current status, and describe the actions taken or to be taken to cure the default.)</p>	<p>Most Recent Info.</p>	<p>Copy</p>	

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**TEXAS DEPARTMENT OF BANKING
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**Form#5-A
Related Organizations**

Organization	Relationship to Bank/Trust Co.	Scope of Activities	Pending Litigation?

**TEXAS DEPARTMENT OF BANKING
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**Form #5-B
Transactions with Related Organizations**

Related Organization	Nature of Transaction	Date	\$ Amount	Terms

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#6 – FIDUCIARY ASSET MANAGEMENT				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and Number)
X	6-A. List of securities/equities approved for purchase, retention and/or sale. (Approved Buy/Sell List).	ECD	Copy	
X	6-B. Investment background of each member of the committee responsible for investment.	ECD	Copy	
X	6-C. List of investment services utilized for investment advice.	ECD	Copy	
X	6-D. List of brokers /dealers utilized and commissions paid in the last year.	ECD	Copy	
X	6-E. List of trading errors or complaints against any broker/dealer utilized.	ECD	Copy	
X	6-F. Copy of last audit of each Collective Investment Fund.	ECD	Copy	
X	6-G. Promotional materials on Collective Investment Funds.	ECD	Copy	
X	6-H. List of closely held business held in fiduciary accounts	ECD	Copy	
X	6-I. List of partnership interests held in fiduciary accounts.	ECD	Copy	
X	6-J. List of all holdings of equity securities which exceed five (5) percent of the issuer's total shares outstanding and specify the percentage held, include own-institution or affiliate stock.	ECD	Copy	
X	6-K. List of worthless assets held for closed accounts.	ECD	Copy	
X	6-L. List of past due loans held in trust accounts.	ECD	Copy	
X	6-M. List of liabilities payable from the fiduciary accounts.	ECD	Copy	

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**TEXAS DEPARTMENT OF BANKING
TRUST COMPANY EXAMINATION REQUEST LIST**

#7 - CAPITAL ADEQUACY				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON
X	7-A. Shareholder list, with names, mailing address, and ownership interests	FID	Copy	
X	7-B. Capital account transcript(s) (Detail of transactions to the capital accounts.)	Since Last Exam	Copy	
X	7-C. Listing of aggregation of ownership control of greater than 5%	ECD	Copy	

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**TEXAS DEPARTMENT OF BANKING
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#8-CORPORATE ASSET QUALITY				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and Number)
X	8-A. Corporate investment policy	FID	Copy	
X	8-B. Statements for all depositories and investments and internally prepared reconcilements. Include a list of any unsettled purchases and sales.	FID	Access	
X	8-C. List of approved securities dealers	FID	Copy	
X	8-D. Alpha trial balance of outstanding loans (detail delinquent and nonaccrual loans), unfunded loan commitments and outstanding letters of credit.	FID	Copy	
X	8-E. List of loans to directors, officers, and principal shareholders of the trust company	FID	Copy	
X	8-F. List of loans secured by stock or obligations of corporations in which directors or officers are substantially interested	FID	Copy	
X	8-G. List of all leases to which the company is a party or is obligated in any manner (See Form #8-G)	FID	Copy	
X	8-H. Aged list of fiduciary fees receivable and other advances	FID	Copy	
X	8-I. Subsidiary ledgers for all premises and equipment accounts	FID	Access	
X	8-J. Subsidiary ledgers for all parcels of other real estate (See Form #8-J)	FID	Copy	
X	8-K. List of all Repossessed Assets (See Form #8-K)	FID	Copy	

**TEXAS DEPARTMENT OF BANKING
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#8-CORPORATE ASSET QUALITY				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and Number)
X	8-L. Subsidiary ledgers on all other asset accounts, including prepaid items, intangibles, net deferred taxes, and items in suspense	FID	Copy	
X	8-M. Subsidiary ledgers of all other liability accounts on the general ledger	FID	Copy	
X	8-N. List of any direct, indirect, or contingent liabilities or assets which do not appear on the books of the institution, including guarantees for its own account or for the account of others.	FID	Copy	

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**TEXAS DEPARTMENT OF BANKING
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**FORM #8-G
Schedule of Leases**

Lessee	Lessor	Property	Terms	Expiration	Purchase Option?

**TEXAS DEPARTMENT OF BANKING
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FORM #8-J

Other Real Estate (OREO)

Complete one page for each parcel of Other Real Estate owned. The total balance of all parcels should match the examination date general ledger balance.

From Whom Acquired _____

Street Address &
Legal Description _____

Describe Improvements _____

Date Title Acquired _____ Deed Type _____

Amount of Insurance Coverage _____

Book Value _____ Fair Market Value _____

Date and Name of Appraiser _____

Amount of Prior Liens _____ To Whom Owed _____

Amount Previously Charged Off _____

Listing Agent _____

List Amount _____ Recent Offers _____

INCOME AND EXPENSE ON PROPERTY SINCE LAST EXAM

Date	Transaction	Debit	Credit	Ending Balance

**TEXAS DEPARTMENT OF BANKING
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OREO Transactions, continued

Date	Transaction	Debit	Credit	Ending Balance

**TEXAS DEPARTMENT OF BANKING
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**Form #8-K
Repossessed Assets**

Name of Borrower	Date Acquired	Book Value	Estimated Market Value	Description

**TEXAS DEPARTMENT OF BANKING
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#9 – CORPORATE MANAGEMENT				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and Number)
X	9-A Organizational chart	Current	Copy	
X	9-B. Resumes of any board members elected since the last examination	Most Recent	Copy	
X	9-C. Employment contracts with management officials	Current	Access	
X	9-D. Written statements from counsel on status of any litigation against the trust company, any Director, or management	Financial Date	Copy	
X	9-E. Reports of identified fraud or defalcations on corporate accounts	Since Last Exam	Copy	
X	9-F. External corporate audit reports, management letter, and engagement letter.	Most Recent	Copy	
X	9-G. Internal corporate audit, audit program and schedule.	Most Recent	Copy	

X= Indicates information requested.

**TEXAS DEPARTMENT OF BANKING
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#10 – CORPORATE EARNINGS				
X	ITEM	AS OF	COPY OR ACCESS	CONTA C T PERSON
X	10-A. Federal income tax calculations	Most Recent	Copy	
X	10-B. Prior year-end and current year-to-date detailed income/expense statement, compared to budget		Copy	
X	10-C. Budget for current fiscal year		Copy	

X= Indicates information requested

**TEXAS DEPARTMENT OF BANKING
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#11 - LIQUIDITY				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON
X	11-A. Liquidity policy and internal liquidity calculations since the last examination.	FID	Copy	
X	11-B. A schedule of all sources of borrowed funds. Include name and address of lender, terms, collateral, and purpose. (Borrowed funds may include securities sold under repurchase agreement, mortgages, capital leases, overdrawn due from accounts, advances from subsidiaries and affiliates, debts to individuals, partnerships, and corporations). (See Form #11-B).	FID	Copy of form provided or company document	
X	11-C. Evidence and description of any confirmed lines of credit or borrowed funds and reconcilements.	ECD	Copy	
X	11-D. Subsidiary ledger of fiduciary funds which the company has deposited with itself.	FID	Copy	
X	11-E. Federal Deposit Insurance Corporation certificate of insurance (if applicable).	ECD	Copy	
X	11-F. Subsidiary ledgers of securities pledged to specific deposits (See Form #11-F).	FID	Copy	

X = Indicates information requested.

**TEXAS DEPARTMENT OF BANKING
TRUST COMPANY EXAMINATION REQUEST LIST**

**Form #11-B
Borrowed Funds**

Name & Address of Lender/Counter party	Original Amt/Current Balance	Terms	Collateral	Reason for Borrowing

**TEXAS DEPARTMENT OF BANKING
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**Form #11-F
Pledged Asset Report for Secured Liabilities**

Name of Trust Depositor/Other Borrowings	Amount of Deposit or Borrowing	Value of Asset Pledged*	Expiration of Contract (if any)

* Please indicate whether the pledged investment security is categorized as held-to-maturity (HTM), available for sale (AFS), or trading (T).

**TEXAS DEPARTMENT OF BANKING
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#17 – BSA/ AML				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON
X	<p>17-A: Name and title of the designated BSA and OFAC compliance officer (s) and, if different, the name and title of the person responsible for monitoring BSA/AML and OFAC compliance.</p> <ul style="list-style-type: none"> • Organization charts showing direct and indirect reporting lines. • Copies of resumés and qualifications of person (or persons) new to the trust company serving in BSA/AML compliance program oversight capacities. 	Most Recent	Copy	
X	<p>17-B: All written BSA/AML and OFAC compliance program policies approved by board of directors (or the statutory equivalent of such a program for foreign financial institutions operating in the United States), including CIP program requirements, with date of approval noted in the minutes. Policies and Procedures relating to all reporting and recordkeeping requirements, including suspicious activity reporting.</p>	Most Recent	Copy	
X	<p>17-C: Results of any internally or externally sourced independent audits or tests performed since the previous examination for BSA/AML including the scope or engagement letter, management’s responses, and access to the work papers.</p> <ul style="list-style-type: none"> • Provide auditor’s risk assessment audit plan (schedule) and program used for audits or tests. 	Since Last Exam	Copy	
X	<p>17-D: Complete BSA Officer’s Questionnaire</p>	Most Recent	Copy	

**TEXAS DEPARTMENT OF BANKING
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#17 – BSA/ AML				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON
X	<p>17-E: Management’s BSA/AML and OFAC risk assessment of products, services, customers, and geographic locations.</p> <ul style="list-style-type: none"> Provide list of trust company identified high-risk accounts included in BSA risk assessment. 	Most Recent	Copy	
X	<p>17-F: BSA/AML and OFAC training schedule with dates, attendees, and topics. A list of persons in positions for which the trust company typically requires BSA/AML and OFAC training but who did not participate in the training.</p>	Since Last Exam	Copy	
X	<p>17-G: List of accounts without taxpayer identification numbers (TINs) and accounts with nonresident alien grantors or beneficiaries.</p>	Most Recent	Copy	
X	<p>17-H: Suspicious Activity Reports (SARs) filed with FinCEN during the review period and the supporting documentation. Include copies of any filed SARs that were related to section 314(a) requests for information or to section 314(b) information sharing requests.</p>	Since Last Exam	Access	
	<p>17-I: Procedures for checking section 314(a) requests.</p>	Most Recent	Copy	
X	<p>17-J: Correspondence addressed between the trust company, its personnel or agents and its federal and state banking agencies, the U.S. Treasury (Office of the Secretary and Department of the Treasury, Internal Revenue Service, FinCEN, and OFAC) or law enforcement authorities since the previous BSA/AML examination.</p>	Since Last Exam	Copy	
X	<p>17-K: List of newly opened trust accounts.</p>	Last 3 months	Copy	

**TEXAS DEPARTMENT OF BANKING
TRUST COMPANY EXAMINATION REQUEST LIST**

#17 – BSA/ AML				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON
X	17-L: Listing of Trust Accounts for which statements are held for the customer at the trust company and/or not mailed.	Most Recent	Copy	
	17-M: Listing of the following types of accounts: <ul style="list-style-type: none"> • Custodial accounts • Agency accounts over which the bank does NOT have investment discretion, and • Revocable trust accounts • Bill payer accounts *Note: Information above is included in Item 3-J.	Most Recent	Copy	
X	17-N: Listing of accounts holding notes receivable as assets.	Most Recent	Copy	
X	17-O: Listing of accounts holding closely held companies as assets.	Most Recent	Copy	

**TEXAS DEPARTMENT OF BANKING
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#17 – BSA/ AML				
X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON
X	<p>17-P: Listing of accounts who meet the following criteria:</p> <ul style="list-style-type: none"> • Politically exposed persons (PEPs), export/import business owners, money transmitters, Private Investment Companies (PICs), financial advisers, offshore entities, or money managers (when an intermediary is acting on behalf of customers). • Customers who conduct business in the U.S. through the foreign financial institution’s account at a U.S. bank (Pass Through Account). • Customers who were introduced to the bank by individuals previously employed by other financial institutions. • Customers who were introduced to the bank by a third-party investment adviser. • Customers who use nominee names. • Customers who are from, or do business with, a high-risk geographic location. • Customers who are involved in cash-intensive businesses. • Customers who were granted exceptions to policies, procedures, and controls. • Customers who frequently appear on unusual activity monitoring reports. 	Most Recent	Copy	

X= Indicates information requested.