



TEXAS DEPARTMENT OF BANKING

PRE-SCOPE EXAMINATION REQUEST LIST

FOR THE EXAMINATION OF:

Insert Name, City here

The following documents will be used to tailor the examination scope to your institution's operations and risk-profile. Additional items will be requested once the scope has been determined. Please upload the items to the designated folders in the Department's secure Document Exchange Manager, DEX, by: **Enter Due Date**. DEX is accessed from the [Entity Log In](#) page of the Department of Banking website. DEX access can be granted by your ACES administrator via the [ACES platform](#).

Relevant Dates:

Pre-Scope Request List Item Due Date: xx / xx / xx

Last Examination Date: xx / xx / xx

ITEMS REQUESTED FOR PRE-SCOPING		AS OF DATE
#1 - GENERAL		
1.1	General Ledger and Income Statement	Most Recent Year-End and Month-End
#3 - AUDIT		
3.1	External Audit Report, Management Letter and List of Passed Audit Adjustments <i>Indicate if the auditor has changed since the last examination</i>	Most Recent
3.2	Point of Contact for External Auditor (name, phone number, and email address)	Most Recent
3.3	Engagement Letter	Most Recent
3.4	Internal Audit Reports <i>Indicate if the auditor has changed since the last examination</i>	Since Last Exam
3.5	Board-approved Audit Schedule	Most Recent
3.6	Audit Tracking Report of Outstanding Items/Findings	Most Recent
3.7	Risk Assessments	Most Recent

ITEMS REQUESTED FOR PRE-SCOPING		AS OF DATE
#5 - CAPITAL		
5.1	Any report(s) tracking concentrations in loans, due from accounts, and securities.	Most Recent
# 15 - LOAN REVIEW		
15.1	Internal Problem Loan Watch List	Most Recent
15.2	External Loan Review Reports	Since Last Exam
15.3	Internal Loan Review Reports	Since Last Exam
#16 - MANAGEMENT		
16.1	Board of Directors Minutes	Since Last Exam
16.2	Board Packet	Most Recent Quarter-End
16.3	Strategic Plan and/or Profit Goals	Most Recent
16.4	List of Executive Officers Elected Since the Last Exam. Include a description of duties. (See Form 16-G below)	Most Recent
16.5	Organizational Chart	Most Recent
16.6	List and describe any new products or services offered.	Since Last Exam

