

E-Banking Questionnaire

1. Indicate the URL of your WebPages, if applicable:

2. Do you offer interactive banking services through the Internet? Yes _____ No _____

3. What type of E-Banking services do you provide, i.e., transactions involving only existing deposit accounts, submitting loan applications, establishing new deposit or loan accounts, other?

4. List your Internet banking vendors.

5. Please, provide us with a copy of the policy covering your Internet banking services. Indicate the date the Board of Directors approved it. If you offer E-Banking services and do not have an approved policy, please indicate so and explain the reason for not having such policy. (Please use a separate sheet of paper for your comments).

6. Indicate the name and title of the manager responsible for your E-Banking services.

Name: _____

Title: _____

Signature of the Officer completing
this information

Date

OFFICE OF FOREIGN ASSET CONTROL QUESTIONNAIRE

Institution Name: _____ Charter# _____

Record Retention Requirements	Yes/No	Comments
1. Does the Financial Institution have policies and procedures for complying with OFAC regulations and the various laws of OFAC is responsible for administering.		
2. Has the Financial Institution designated a person to be responsible for overseeing compliance with the OFAC Regulations and any blocked funds. If so, please identify.		
3. Does the Financial Institution have a current listing of prohibited countries, organizations, and individuals?		
4. Does the Financial Institution have a person who is responsible for maintaining a current list of prohibited countries, organizations, and individuals?		
5. Does the Financial Institution compare new accounts with the OFAC prohibited listing?		
6. Does the Financial Institution regularly compare established accounts and member transactions with the prohibited OFAC listing?		
7. Does the Financial Institution block or freeze the accounts and transactions that are found to match the prohibited OFAC listing?		
8. Did the Financial Institution report the blocked or rejected accounts to OFAC within 10 days?		
9. Did the Financial Institution submit an annual report of the blocked property by September 30 th ?		
10. Does the Financial Institution have an OFAC compliance audit at least annually?		
11. Does the Financial Institution compare wire transfer senders receivers with the prohibited OFAC listings? If so, how is it documented?		

Additional Comments:

PRIVACY OF CONSUMER FINANCIAL INFORMATION QUESTIONNAIRE

1. Provide a copy of the board adopted policy on sharing of nonpublic personal information with nonaffiliated third parties.
- 2.a. Provide a list of all entities identified by the institution as a nonaffiliated third party and specify what kind of nonpublic personal information is disclosed, if any, to the nonaffiliated third party.
- 2.b. Provide a copy of all contracts (agreements for sharing of nonpublic personal information) with nonaffiliated third parties identified under question 2.a.
- 3.a. Does the institution **only** share nonpublic personal information with nonaffiliated third parties within the exceptions permitted under Section 14 and/or Section 15? _____
- 3.b. **If yes**, provide a copy of the privacy notice furnished to the institution's customers.
- 4.a. Does the institution share nonpublic personal information with nonaffiliated third parties outside of the permissible exceptions in Sections 14 and 15? _____
- 4.b. **If yes**, is the information shared under the terms of Section 13 and has the relationship been disclosed in response to questions 2.a. and 2.b.? _____
- 4.c. **If yes**, to either or both questions 4.a. and 4.b., provide a copy of the privacy notice furnished to the institution's customers.
- 5.a. Does the institution receive nonpublic personal information from nonaffiliated third parties? _____
- 5.b. **If yes**, provide a list of all entities identified by the institution as nonaffiliated third parties and specify what kind of nonpublic personal information is received by the institution.
- 5.c. Provide a copy of all contracts (agreements for sharing of information) with nonaffiliated third parties identified under question 5.a.
6. Does the institution reuse or redisclose the nonpublic personal information received from nonaffiliated financial institutions? _____
- 6.a. **If yes**, provide details about what is reused or redisclosed and provide a copy of the privacy notice furnished to the institution's customers.
7. Does the institution share account numbers or similar access numbers or codes with nonaffiliated third parties (other than a consumer reporting agency) for telemarketing, direct mail or electronic mail? _____
- 7.a. **If yes**, provide a copy of all contracts with nonaffiliated third parties identified in 7.
- 7.b. Provide a copy of the privacy notice furnished to the institution's customers.
8. Does the institution have any dual employee arrangements with nonaffiliated third parties?

- 8.a. **If yes**, provide the details of such arrangements and a copy of the privacy notice furnished to the institution's customers.

Signature of the Officer completing
this information

Date

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 State Examination.

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

1. Date of board approval of Bank Secrecy Act compliance program.

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.

OFFICER'S QUESTIONNAIRE (BANK SECRECY ACT)

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 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 the 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.

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.
