

# BSA/AML Quantity of Risk Summary Form

## Identifying Information:

Charter Number:

Bank Name:

## Bank Contacts:

Title:

First Name:

Last Name:

Phone:

Email:

## Alternate:

First Name:

Last Name:

Phone:

Email:

## OCC Contacts:

First Name:

Last Name:

Phone:

Email:

## Alternate:

First Name:

Last Name:

Phone:

Email:

<b>Products/Services:</b> <b>(Data for this section should reflect averages for the previous 12 months as of 9/30.)</b>	<b>Number of Retail Transactions (average daily volume)</b>	<b>Average Daily Volume (thousands)</b>	<b>Estimated/ Verified</b>
<b>1. Issuance of Traveler's Checks, Official Bank Checks &amp; Money Orders:</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>2. International Bank Drafts:</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>2a. Geographical Focus:</b> Enter information for all applicable geographies.			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>3. Domestic Wires Transfers Totals:</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>4. Domestic PUPIDs Wire Transfers:</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>5. ACH:</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>6. Int'l Wires Transfers Totals:</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>6a. Geographical Focus:</b> Enter information for all applicable geographies.			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>7. Int'l PUPIDs Wire Transfers:</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>7a. Geographical Focus:</b> Enter information for all applicable geographies.			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>8. Remittance Products:</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>8a. Geographical Focus:</b> Enter information for all applicable geographies.			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

9. Cross-Border ACH:

9a. Geographical Focus:  
Enter information for all applicable geographies.

<b>Products/Services: (Data for this section should reflect all accounts on record at the bank as of 9/30.)</b>	<b>Total Number of Accounts (actual number)</b>	<b>Total Outstanding Balances (thousands)</b>	<b>Estimated/ Verified</b>
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10. Loans Secured by Cash Collateral:

11. Payroll Cards:

12. Stored Value Cards Sold by Bank:  
(E-Cash, Smart Cards)

13. Special Use/Concentration Accts:

14. International Branch Facility:

14a. Geographical Focus:  
Enter information for all applicable geographies.

15. Foreign Correspondent Accts:

15a. Geographical Focus:  
Enter information for all applicable geographies.

16. Payable Through Accts:

16a. Geographical Focus:  
Enter information for all applicable geographies.

17. Pouch Services with Foreign Institutions  
Persons and/or Businesses:

17a. Geographical Focus:  
Enter information for all applicable geographies.

18. Foreign Banking Affiliate (e.g. Parallel Banks):

18a. Geographical Focus:  
Enter information for all applicable geographies.

19. International Department:

19a. Geographical Focus:  
Enter information for all applicable geographies.

20. Domestic Private Banking Customers:

21. International Private Banking Customers:

21a. Geographical Focus:  
Enter information for all applicable geographies.

22. Embassy & Consulate Banking:

22a. Geographical Focus:  
Enter information for all applicable geographies.

**Trust Department Accounts**

**Charitable Trust & Foundations**

23. Domestic Charitable Trust & Foundations:

24. Foreign Charitable Trust & Foundations:

24a. Geographical Focus:  
Enter information for all applicable geographies.

**Customer Directed Accts**

(non-discretionary):

25. Custodial Accts:

26. Investment Advisory Accts:

27. Revocable Trusts:

28. Foreign Grantor or Beneficiaries:

29. Loans to Closely Held Corporations:

30. Cash Management

31. Domestic Commercial Letters of Credit:

32. International Commercial Letters of Credit:

32a. Geographical Focus:  
Enter information for all applicable geographies.

33. Stand-By Letters of Credit:

34. Brokerage Department/Operations:

35. Investment Advisory/Mgmt:

<b>Customers: (Data for this section should reflect all customers on record at the bank as of 9/30.)</b>	<b>Total Number of Accounts (actual number)</b>	<b>Total Outstanding Balances (thousands)</b>	<b>Estimated/ Verified</b>
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36. Non-Resident Alien Accts:

36a. Geographical Focus:  
Enter information for all applicable geographies.

37. Politically Exposed Persons:

37a. Geographical Focus:  
Enter information for all applicable geographies.

38. Foreign Off-Shore Corporations:     
38a. Geographical Focus:  
Enter information for all applicable geographies.

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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**Money Service Business (MSB)**

39. Domestic Casa de Cambios/Currency Exchange:

40. Foreign Casa de Cambios/Currency Exchange:

40a. Geographical Focus:  
Enter information for all applicable geographies.

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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41. Money Transmitters :

42. Check Cashers:

43. Seller/Issuer/Redeemer of Traveler checks and money orders:

44. Seller/Issuer/Redeemer of Stored Value: (E-Cash, Smart Cards)

45. Convenience Stores:

46. Liquor Stores:

47. Customers/Accts opened through the Internet, Mails, Wire, or Phone (non-branch):

48. Domestic Deposit Brokers:

49. Foreign Deposit Brokers:

49a. Geographical Focus:  
Enter information for all applicable geographies.

50. Domestic Charitable Organizations:

51. Foreign Charitable Organizations:

51a. Geographical Focus:  
Enter information for all applicable geographies.

52. Jewelry, Gem, and Precious Metal Dealers:

53. Travel Agencies:

54. Casinos:

55. Import/Export:

56. Broker Dealers:

57. Telemarketers:



58. Car Dealers:

59. Boat/Airplane:

### CTR/SAR data and Optional Examiner feedback

**Estimated** Currency Transaction Report (CTR) and Suspicious Activity Report (SAR) volumes for the previous 12 months. (For the previous 12 months ending 9/30)

**CTR Volume (12months)**

**SAR Volume (12 months)**

**Optional: Feedback/Suggestions** on ways to improve this Risk Assessment form, and our analysis of BSA/AML Compliance and Reputation risk.

**Please save information and email a copy of the PDF file to your OCC Supervisory Office. Save a copy for your records.**

### Submission Process

To be completed by your OCC Supervisory Office.

User ID:

Template created on:

Password: