

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:

Paperwork Reduction Act Statement:

This collection of information has been approved by the Office of Management and Budget (OMB) under control number 1557-0231 (expires _____, 2013). Under the Paperwork Reduction Act, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OCC estimates that it will take respondents 6 hours to complete this form.

Products/Services - Transactions (Data for this section should reflect averages for the previous 12 months as of 9/30.)	Number of Retail Transactions (average daily volume)	Average Daily Volume (thousands)	Estimated/Verified
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1. Issuance of Traveler's Checks, Official Bank Checks & Money Orders:

2. International Bank Drafts:

2a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

3. Domestic Wire Transfers:

4. Domestic PUPIDs Wire Transfers:

5. ACH:

6. International Wire Transfers:

6a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

7. International PUPID Wire Transfers:

7a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

8. Remittance Products:

8a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

9. Cross-Border ACH:

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

Select Country/Geography

10. Remotely Created Checks:

11. Domestic Remote Deposit Capture:

12. International Remote Deposit Capture:

12a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

13. Bulk Cash/Currency Repatriation:

13a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

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

15. Payroll Cards:

16. Stored Value Cards
Sold by the Bank - Reloadable
(E-Cash, Smart Cards)

17. Stored Value Cards
Sold by the Bank - Non-Reloadable
(E-Cash, Smart Cards)

18. International Branch Facility:

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18a. Geographical Focus:

Enter information for all applicable geographies.

Select Country/Geography

<input checked="" type="checkbox"/>				
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19. Foreign Correspondent Accounts:

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19a. Geographical Focus:

Enter information for all applicable geographies.

Select Country/Geography

<input checked="" type="checkbox"/>				
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20. Payable Through Accounts:

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20a. Geographical Focus:

Enter information for all applicable geographies.

Select Country/Geography

<input checked="" type="checkbox"/>				
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21. Pouch Services:

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21a. Geographical Focus:

Enter information for all applicable geographies.

Select Country/Geography

<input checked="" type="checkbox"/>				
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22. Foreign Banking Affiliate (e.g. Parallel Banks):

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22a. Geographical Focus:

Enter information for all applicable geographies.

Select Country/Geography

<input checked="" type="checkbox"/>				
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23. International Department:

23a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

24. Domestic Private Banking:

25. International Private Banking:

25a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

26. Embassy & Consulate Banking:

26a. Geographical Focus:
Enter information for all applicable geographies:

Select Country/Geography

Trust Department Accounts

Charitable Trust & Foundations

27. Domestic Charitable Trust & Foundations:

28. Foreign Charitable Trust & Foundations:

28a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

Customer Directed Accounts

(non-discretionary):

29. Custodial Accounts:

30. Investment Advisory Accounts:

31. Revocable Trusts:

32. Foreign Grantor or Beneficiaries:

33. Loans to Closely Held Corporations:

34. Cash Management

35. Domestic Commercial Letters of Credit:

36. International Commercial Letters of Credit:

36a. Geographical Focus:

Enter information for all applicable geographies.

Select Country/Geography

37. Stand-By Letters of Credit:

38. Brokerage Department/Operations:

39. Investment Advisory/Management:

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

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

Select Country/Geography

41. Politically Exposed Persons:

41a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

42. Foreign Off-Shore Corporations:

42a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

Money Service Business (MSB)

43. Domestic Casa de Cambios/
Currency Exchange:

44. Foreign Casa de Cambios/
Currency Exchange:

44a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

45. Money Transmitters :	<input type="text"/>	<input type="text"/>	<input type="text"/>
46. Check Cashers:	<input type="text"/>	<input type="text"/>	<input type="text"/>
47. Seller/Issuer/Redeemer of Traveler checks and money orders:	<input type="text"/>	<input type="text"/>	<input type="text"/>
48. Seller/Issuer/Redeemer of Stored Value: (E-Cash, Smart Cards)	<input type="text"/>	<input type="text"/>	<input type="text"/>
49. Convenience Stores:	<input type="text"/>	<input type="text"/>	<input type="text"/>
50. Liquor Stores:	<input type="text"/>	<input type="text"/>	<input type="text"/>
51. Customers/Accounts opened through the Internet, Mail, Wire, or Phone (non-branch):	<input type="text"/>	<input type="text"/>	<input type="text"/>
52. Domestic Deposit Brokers:	<input type="text"/>	<input type="text"/>	<input type="text"/>
53. Foreign Deposit Brokers:	<input type="text"/>	<input type="text"/>	<input type="text"/>

53a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

<input checked="" type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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54. Domestic Charitable Organizations:	<input type="text"/>	<input type="text"/>	<input type="text"/>
55. Foreign Charitable Organizations:	<input type="text"/>	<input type="text"/>	<input type="text"/>

55a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

<input checked="" type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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56. Jewelry, Gem, and Precious Metal Dealers:

57. Travel Agencies:

58. Casinos:

59. Import/Export:

60. Broker Dealers:

61. Telemarketers:

62. Car Dealers:

63. Boat/Airplane:

64. Remotely Created Check Customers:

65. Domestic Remote Deposit Capture Customers:

66. Foreign Remote Deposit Capture Customers:

66a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

67. Bulk Cash/Currency Repatriation Customers:

67a. Geographical Focus:
Enter information for all applicable geographies.

Select Country/Geography

68. Third Party Senders:

CTR/SAR Data and Optional Feedback

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

CTR Volume (12months)

SAR Volume (12 months)

Optional: Feedback/Suggestions on ways to improve this Risk Summary form and OCC's Money Laundering Risk System data collection process. In addition, you may include pertinent information regarding your submitted data.

Please save information and email a copy of the PDF file to your OCC Supervisory Office. We encourage the use of OCC secure email when forwarding this file to your OCC Supervisory Office. A copy of the file should be retained for your records.

Submission Process

To be completed by your OCC Supervisory Office.

User ID:

Template created on:

10/21/2009

Password:

Submit to Processing