

# 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

<b>Products/Services - Accounts</b> <b>(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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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:

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

Select Country/Geography

19. Foreign Correspondent Accounts:

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

Select Country/Geography

20. Payable Through Accounts:

20a. Geographical Focus:  
Enter information for all applicable geographies.

Select Country/Geography

21. Pouch Services:

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

Select Country/Geography

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

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

Select Country/Geography

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