

ANTI-MONEY LAUNDERING COMPLIANCE / BSA COMPLIANCE

Reporting Period: _____

The following questions cover all required aspects of the Anti-Money Laundering Law and must be answered to assure that your company is in compliance with the law. (Attach additional sheets for schedules/explanations, if necessary).

	YES	NO	N/A
1. Are there any cash transactions greater than \$10,000?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are all CTRs complete and accurate for all transactions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Have all CTRs been filed within 15 days of the transaction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Have any suspicious transactions been identified within this reporting period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Have all suspicious transactions been investigated and employees interviewed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Are all SARs complete and accurate for all transaction; are all narrative descriptions complete and accurate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Have all SARs been filed within 30 days of detection?			
8. Have there been sales of money orders totaling \$3,000 or more, on or behalf of, one individual in one business day within this reporting period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Is the Money Order Log complete and accurate for all money order sales?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Have any new employees been hired within this reporting period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Have all new employees received direct AML training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Have there been any refresher training sessions within this reporting period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Signature: _____

AML Compliance Officer

Print Name: _____

Date: _____

Name of Institution