

FOR USE WITH FORMAT "B" ONLY

Name:				
Location:				
As of the close of business				
	QUESTIONNAIRE TO BE ANSWERED BY EXAMINING COMMITTEE			
1.	 Do the minutes of the board of directors or of the executive committee indicate thorough consideration of: a) The latest report of examination by and important letters from the New York State Department of Financial Services and replies thereto? b) The reports of loans, overdrafts, and purchases and sale of securities as required by Section 121 of the Banking Law, and are the minutes reasonably complete as to both approval and disapprovals of such transactions? c) Actions taken by committees or officers exercising delegated authority ordinarily exercised by the full board? 	☐Yes ☐No ☐Yes ☐No ☐Yes ☐No		
2.	Is the committee satisfied that adequate efforts are being made to effect recoveries previously written off the books? a) Has any loan been made directly or indirectly to or for the benefit of any officer, director, or employee of the institution without the approval of a majority of the directors, exclusive of the director interested?	□Yes □No		
	If so, give particulars:			
	 b) Has each director, where necessary, complied with the provisions of Section 130, subdivision 5 of the Banking Law? If not, give particulars 	Yes No		
	c) Has any officer, director, or employee overdrawn his account since the previous directors' examination? If so, state name, date, and amount of overdraft, and the corrective action taken or contemplated:	□Yes □No		
4.	Has the institution made any loans or advance to any individual, firm, or corporation which appears on the books in a name other than that of the actual borrower? If not, give particulars	□Yes □No		
5.	Does the institution engage in financial futures transactions If so, briefly state the policy regarding such transactions	□Yes □No		
6.	Is the institution defendant in any suit at law or in equity? If so, summarize briefly the nature and amount of claims and indicate what reserves, if any, the committee deems suitable to provide for possible loss to the institution [items not considered significant may be omitted]:	☐Yes ☐No		



7.	a)	Does the personnel of the institution include an auditor?	☐Yes ☐No
		If so, is he directly responsible to the board of directors?	☐Yes ☐No
	b)	Did the auditor participate in making this examination?	☐Yes ☐No
	c)	Did any active officer or employee, other than members of the auditing department staff, assist the committee in making its examination?	☐Yes ☐No
		If so, did any such officer or employee prove or review work of any department which he supervises or in which he is normally engaged?	☐Yes ☐No
	d)	Was an outside accounting firm or accountant employed to assist in making this examination? If so, state name of firm or accountant:	☐Yes ☐No
8.	Did a)	this examination include: Physical count and evaluation of assets and collateral?	☐Yes ☐No
	b)	Reconcilement of balances due from banking institutions?	☐Yes ☐No
	c)	Proofs of asset and liability accounts?	☐Yes ☐No
9.		re all asset or collateral not in the physical possession of the institution appropriately accounted for at this mination?	☐Yes ☐No
10.	10. Is the adequacy of insurance protection passed upon at least annually by the board of directors or the executive committee?		
11.	Has	there been a defalcation of any nature since the previous directors' examination?	☐Yes ☐No
		o, have the pertinent facts been reported to the Superintendent of Financial Services [if required under perintendent's Regulations Part 300]?	□Yes □No
12.		es the institution exercise trust functions pursuant to Section 100 of the Banking Law? o, answer the questions on the <u>Trust Examination and Questionnaire</u> pages.	☐Yes ☐No