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## **ANNUAL REPORT FOR LICENSED TRANSMITTERS OF MONEY ON NMLS**

### ***GENERAL INSTRUCTIONS***

- The Annual Report should be prepared by qualified persons and submitted within 120 days following the close of the calendar year January 1 to December 31, 2022.
- All questions are for the licensed legal entity as a whole, unless otherwise specified.
- All questions must be answered. State “None” or “Not Applicable” where appropriate.
- For your convenience, an addendum may be attached to the report in response to any of the questions if additional space is necessary to provide all requested information.
- Please type or print your answers legibly.
- Number of pages: 5

### ***REMINDER***

Certain contemplated changes or occurrence/s of event/s must be reported to the Department within specified timeframes. Accordingly, all licensees are required to be familiar and comply with the following sections of New York Banking Law and Regulations concerning the submission of notices or applications:

- Report of Locations (Superintendent’s Regulations (“SR”) §406.10(a))
- Report of Misconduct (SR §406.10(c))
- Change in directors and executive officers of Licensee (SR §406.11)
- Change in control – prior approval of the Superintendent is required (NYBL §652-a and SR §406.11)
- Report of Criminal or Civil Action (SR §406.12)
- Notice of Cybersecurity Event (Title 23 NYCRR 500 - §500.17(a))
- Annual Certification of Compliance with NYS DFS Cybersecurity Regulations (Title 23 NYCRR 500 - §500.17(b)) – Due by April 15<sup>th</sup>
- Part 504 Banking Division Transaction Monitoring and Filtering Program Requirements and Certifications – (Title 3 NYCRR 504 - §504.4 and §504.7) – Due by April 15<sup>th</sup>

Name of Licensee:\_\_\_

MT Annual Report for Calendar Year Ended: December 31, 2022

Attach an addendum wherever necessary.

1. Name, title, and telephone number of the person responsible for preparing this report.

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2. List all branch offices of the above company at which Licensee conducted money transmitting business in New York State during the reporting year:

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Full Address	Contact Person	Phone #
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Full Address	Contact Person	Phone #
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Full Address	Contact Person	Phone #
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3. List all Web sites associated/affiliated with Licensee:

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4. Name, physical work address, email address, and telephone numbers (office and mobile) of Licensee's CEO, President, CFO, General Counsel, External Counsel, CISO, and CIO (as applicable).

*Please submit your response in Excel spreadsheet in the following format:*

TITLES	NAME	WORK ADDRESS	EMAIL ADDRESS	OFFICE PHONE #	CELL PHONE#
Chief Executive Officer					
President					
Chief Financial Officer					
General Counsel					
External Counsel					
Chief Information Security Officer					
Chief Information Officer					

5. Does the licensee permit any agent to transmit money, directly or indirectly, without the funds being sent to the licensee for transmission? \_\_\_\_\_ (Indicate "Yes" or "No") (If yes, give particulars on a supplemental schedule.)

6. Have any substantive changes been made during the past year in the form of the instrument used by the licensee in the transmission of funds?

\_\_\_\_\_ (Indicate "Yes" or "No") (If yes, attach a specimen copy of the revised form.)

7. Provide a complete list of all products and services offered. For each product and service, please indicate the launch date, description, and whether the product/service is considered regulated or non-regulated activity under New York Laws and Regulations.

*Please submit your response in Excel spreadsheet in the following format:*

Product/Service	Launch Date	Description	Regulated Activity in NY (Yes or No)
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8. Please have the surety company confirm directly to the New York State Department of Financial Services, Licensed Financial Services, One State Street, New York, NY 10004, the placement of the bond or bonds for this purpose. The letter should identify the licensee by name and reflect the bond number, amount of coverage, and expiration date, if any.

9. Licensee who has entered into a deposit agreement (SR §406.14) to hold pledged assets as a condition for receiving its license, please have the depository bank confirm directly to the Licensed Financial Services (see above for address) the existence of this agreement. The letter should identify the licensee by name and reflect the account title and account number and contain a complete description of the assets pledged, including par value, market value, and maturity dates, if applicable, of the individual assets held under the agreement.

10. List the countries to which the licensee has remitted funds from New York for the reporting period. For each country show the dollar amounts and the number of transactions.

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11. For each of the above countries, disclose the names of your correspondent/paying agent used.

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12. Have any of the following individuals and entities been involved in any of the following listed matters in the reporting year and at any time since?

**Individuals and entities:**

- The Licensee
- Any of the Licensee’s parent, affiliate, and subsidiary companies
- Any of the Licensee’s owners, partners, stockholders with 10% or more of voting stock in the Licensee, members of the governing board, LLC members/managers, and executive officers

**Listed matters:**

- Felony conviction or guilty plea to felony
- Court proceeding or lawsuit in which any of the above-listed individuals and entities was named a defendant
- Investigation, civil or criminal
- Judgment
- Monetary penalty
- Regulatory or supervisory action
- Settlement reached after a lawsuit, claim or court proceeding in which any of the above-listed individuals and entities was named a defendant

\_\_\_\_\_ (Yes or No)

If "Yes", provide details. In addition, for the reported court proceedings, lawsuits and settlements, attach to the report a signed statement from legal counsel on whether the court proceedings, lawsuits and settlements, when aggregated, would materially impact the Licensee’s financial condition and/or ability to meet obligations.

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**AFFIDAVIT**

I, the undersigned, hereby swear (or affirm) that (i) I am an owner, partner, stockholder with 10% or more of voting stock in Licensee, member of the governing board, LLC member/manager, or executive officer of Licensee, (ii) I am authorized to submit the above report (including all addenda and schedules), and (iii) the information contained therein is accurate, true, correct and complete, to the best of my knowledge and belief.

Also, I, the undersigned, hereby swear (or affirm) that I am aware of and have complied with the Reminder section of the report for New York Banking Law and Regulations concerning notices, applications, and certifications, in addition to all other applicable laws and regulations.

\_\_\_\_\_

Full Name

\_\_\_\_\_

Title

\_\_\_\_\_

Signature

\_\_\_\_\_

Date

Subscribed and sworn to before me this date: \_\_\_\_\_

\_\_\_\_\_

Full Name of Notary Public

\_\_\_\_\_

Signature of Notary Public

\_\_\_\_\_

Notary Public Number

\_\_\_\_\_

Date Commission Expires

\_\_\_\_\_

County

\_\_\_\_\_

State