**Preparation Instructions for Organizational Questionnaire**

Answer the following questions as of your institution’s fiscal year-end. Answers may be listed on continuation pages when adequate space following the question is not provided. Copies of internal reports or other records, such as printouts, are acceptable, provided they contain at least the requested information. The reports or records must also be signed by the executive officer named below, who attests to the accuracy and completeness of all information submitted. For any question that does not apply, or where the answer is none, state "None."

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| I hereby certify that the following statements are true and correct to the best of my knowledge and belief. |
| **Officer’s Name and Title** | **Institution Name and Location** |
|  |  |
| **Officer’s Signature** | **Date Signed** | **Date Information Provided as of** |
|  |  |  |
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1. **Who is the institution’s “Core” service provider? Does the financial institution manage its own enterprise network, or is it outsourced to a “Managed Service Provider” (i.e., an organization responsible for managing a financial institution’s IT services, such as applications, infrastructure, networking, and security)?  If the financial institution outsources its enterprise network to a “Managed Service Provider,” what is the name and location of the provider?**
2. **Has the institution changed internal or external auditing firms in the past year? If so, please provide the reason for the change and the name of the new firm.**
3. **Has the institution had a change in any executive management or directorate membership in the past year? If so, please provide an explanation regarding the circumstances of the change.**

1. **List all irregular transactions between the institution and any of its executive officers, principal shareholders, directors, or their related interests. Irregular transactions may include a sale-leaseback arrangement, consulting agreement, purchase of repossessed property, data service agreement, or any other business transaction. Irregular transactions consist of all transactions except the following:**

 **• Loans**

 **• Deposits**

 **• Bonuses**

 **• Salaries**

 **• Director fees**

1. **Has the institution purchased/participated in any loans from non-bank/non-credit union entities? If so, please list from whom and the amount(s) purchased, including purchased loans from loan brokers and participations from Credit Union Service Organizations.**
2. **Does the institution have any outstanding extensions of credit through a warehouse line or directly to a non-bank/non-credit union financial service provider? If so, please provide:**
3. **Name of the financial service provider;**
4. **Type of loan; and,**
5. **Total lending commitment available**
6. **Does the institution receive funding from conduits such as a Bankers Bank, a corporate credit union, an internet deposit gathering service, or deposit pooling service (CDARs, FICA, etc.)? If so, please provide the name of the funding conduit.**
7. **Does the institution have any affiliated entities, for example: a captive insurance agency, an investment subsidiary, or a REIT? If so, please detail the type of entity, ownership percentage by the bank/credit union, and the location of the entity.**
8. **Does the institution close loans or open deposit accounts via the internet or at any other location other than a banking office or title company? If so, please list the locations.**
9. **Please provide, if any, the various ways in which your institution performs banking activities (accepting deposits, disbursing proceeds, making loans) with your customers/members besides branch interaction. For instance, Internet banking, mobile banking, virtual teller, smart vault, remote deposit capture, or at a location other than a branch or title company.**
10. **Has the institution experienced individuals instances of financial loss from fraud in the past year in excess of $25,000? If so, please list the amount, date of the loss, and describe the fraudulent activity resulting in the loss in the past year.**
11. Have any sums been paid, assets exchanged, fees or commissions waived, or similar compromise actions taken as a result of actual, threatened, or potential litigation? If so, please provide details.
12. **Has the institution incurred any direct or indirect liabilities resulting from banking operations and/or fiduciary activities, including unsatisfied judgments, which are not reflected on the books of the institution? If so, please provide details.**
13. **Are there currently any lawsuits outstanding in which the institution is the defendant? If so, please provide the relevant information and projected loss exposure.**
14. **Has the institution entered into any arrangements for digital asset custody, digital asset trading, digital asset third-party services, stablecoin issuance, or stablecoin payments?**
15. **Does the institution have any relationships in which they serve as a loan originator, payment processor, loan underwriter, or deposit holder for third-party firms conducting business under their own corporate name?**
16. **IC 24-5-27.5, known as the Privacy of Firearms Financial Transactions, contains multiple provisions related to financial institutions handling of firearms related transactions, and this code provision assigned the Department supervisory oversight of the provisions in the bill related to state-chartered entities.  The following questions will be used to aid the Department in fulfilling its legislative mandated responsibilities:**
17. **Is institution management aware of the provisions outlined in IC 24-5-27.5?**
18. **Does the institution retain a listing, file, record, or other determining information as to customers that have purchased firearms and/or where the firearms merchant category code has been transmitted via a merchant transaction?**
19. **Has the institution denied a customer transactions due to the firearms merchant category code?**
20. **Has the institution disclosed a financial record that is related to a payment card transaction and includes protected financial information, including a firearms code?**