



Due Diligence Questionnaire for Financial Institution Holding a Pa Treasury Deposit

This questionnaire has been developed to provide information about the financial institution's structure, fiscal status, history, and policies. In addition, some information is gathered to establish compliance with the minimum requirements, governed by the PA Fiscal Code, Investment Guidelines, and internal controls for PA Treasury.

Please provide the requested information from the most recent filing or annual report.

Entity & Ownership

1. Bank Name: _____
Bank Address: _____
City: _____ State: _____ Zip: _____
2. Please indicate the banking institution's ABA Routing Number and FDIC Number.
ABA Number: _____
FDIC Number: _____
3. Please indicate the type of charter the banking institution operates under and the year chartered.

Nationally Chartered Bank	Year: _____
Federally Chartered Bank	Year: _____
State Chartered Bank	Year: _____
4. Please list any name the banking institution has operated under at any time during the past 5 years if different from above?
5. Please indicate any acquisitions or mergers during the last 2 years and provide the name of the organization prior to the merger along with the merger date.

6. Please provide the address for the bank's headquarters.

City: _____ State: _____ Zip: _____

7. Is the banking institution owned by a holding company? YES NO

If yes, please provide the following information:

Holding Company's Name: _____

Net Worth Capitalization: _____

Holding Company Headquarters: _____

8. Please indicate number of branch offices within the Commonwealth of Pennsylvania and the total number of employees in PA.

Branches: _____ Number of employees in PA: _____

9. Please indicate type of ownership:

Publicly Traded (25% of shares publicly traded)

Member Owned/Mutual

Privately Owned, please provide details of shareholders or ultimate beneficial owners with holdings of 10% or more.

10. Are there any conflicts of interest in providing services for Treasury and/or the Commonwealth of Pennsylvania (i.e. any Board Member employed in any capacity by the Commonwealth of Pennsylvania)? If yes, please provide a brief explanation.

Rating Information

11. From the list below, please identify all Regulators overseeing the bank, please provide the unique identifier utilized, ie. FDIC Certificate number.

Office of the Comptroller of Currency

Federal Deposit Insurance Corporation

Federal Reserve System

Pennsylvania Department of Banking and Securities

12. Please provide the most current rating/score from Bauer and/or FedFis. (Indicate period).

Bauer: _____ Quarter/Year: _____

FedFis: _____ Quarter/Year: _____

Legal/Regulatory Information

13. Has the bank been subject to any litigation, arbitration, regulatory proceedings or OFAC violation/citation either pending, adjudicated or settled within the past five years? If yes, please provide a brief explanation.

14. Has the bank or any board member or officer been charged/subject to any criminal charges in the past five years? If so, please provide a brief explanation.

15. Is the bank certified through the PA Department of General Services as a Minority Business Enterprise (MBE) or Women's Business Enterprise (WBE)? If so, please provide the classification codes.

16. Please indicate membership:

PA Bankers Association

PA Association of Community Bankers

Law/Policy/ESG

17. PROTECTING PENNSYLVANIA'S INVESTMENTS ACT - ENACTMENT Act of Jul. 2, 2010, P.L. 266, No. 44 Cl. 71 (Act 44 of 2010) requires all public funds for which the State Treasurer is the Custodian to divest any investments in companies doing business with Iran.

Please confirm compliance with Act 44. YES NO

If the answer is NO, please detail the reason:

18. Does the banking institution have any branches in Iran? YES NO

19. Does the bank have risk based policies, procedures and monitoring processes for the identification and reporting of suspicious customer activity? YES NO

20. Does the bank have documented policies and procedures consistent with applicable Anti-Money Laundering (AML), Counter Terrorist Financing (CTF) and Sanctions regulations and requirements to reasonably prevent, detect and report? YES NO - Please provide any plans/ timelines to implementation

21. Are these policies and procedures updated at least annually? YES NO

22. Does the bank use any Third Party to help with the monitoring of its AML, CTF and Sanctions requirements? YES NO

23. What frequency is the bank audited on its AML, CTF and Sanctions program by the Internal Audit Department? _____
 By an External Third-Party? YES - Please attach the most recent External Third-Party Report.

24. Does the bank have any policies about providing services and/or providing loans for customers doing business in any of the following categories:

**Please include any additional categories with prohibitions or Enhanced Due Diligence*

Category

Arms, defense, military	<input type="checkbox"/> No Restriction	<input type="checkbox"/> Prohibited	<input type="checkbox"/> Enhanced Due Diligence
Atomic power	<input type="checkbox"/> No Restriction	<input type="checkbox"/> Prohibited	<input type="checkbox"/> Enhanced Due Diligence
Extractive industries (Fossil Fuels)	<input type="checkbox"/> No Restriction	<input type="checkbox"/> Prohibited	<input type="checkbox"/> Enhanced Due Diligence
Virtual currencies	<input type="checkbox"/> No Restriction	<input type="checkbox"/> Prohibited	<input type="checkbox"/> Enhanced Due Diligence
Cannabis	<input type="checkbox"/> No Restriction	<input type="checkbox"/> Prohibited	<input type="checkbox"/> Enhanced Due Diligence
Gambling	<input type="checkbox"/> No Restriction	<input type="checkbox"/> Prohibited	<input type="checkbox"/> Enhanced Due Diligence
For profit-prisons	<input type="checkbox"/> No Restriction	<input type="checkbox"/> Prohibited	<input type="checkbox"/> Enhanced Due Diligence
Other (please detail)	<input type="checkbox"/> No Restriction	<input type="checkbox"/> Prohibited	<input type="checkbox"/> Enhanced Due Diligence

25. Please provide a description of the governing body, framework, and timeframe around this policy-setting.

26. Please provide the link to the bank's website for policies related to these categories:

Regional Impact

27. Please provide a brief explanation about how the bank benefits from the participation in the Time Deposit Program or through other Treasury deposits.

28. How are the deposit funds deployed within the Pennsylvania communities the bank serves?