

## CEFLI Quick Poll

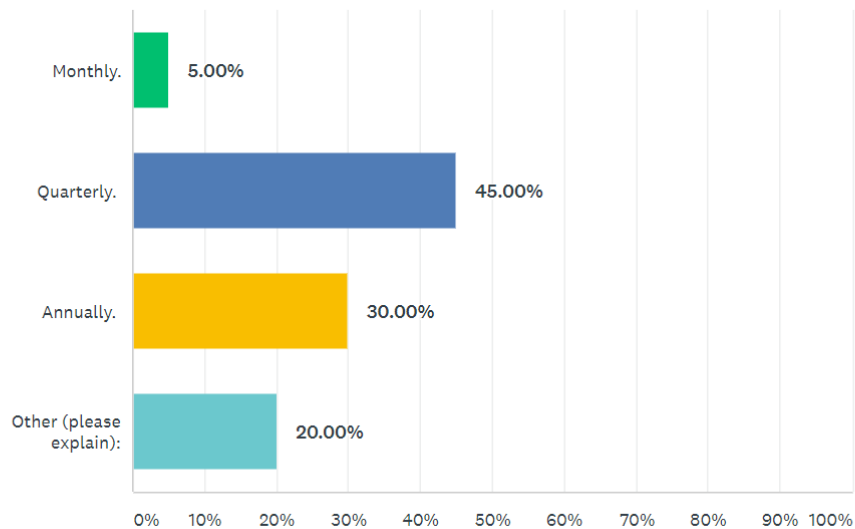
May 2020

### SARs: Internal Reporting

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What is the frequency of your company's Suspicious Activity Report (SAR) reporting to the Board, Audit Committee of the Board, or to other internal audiences?

Answered: 20 Skipped: 1



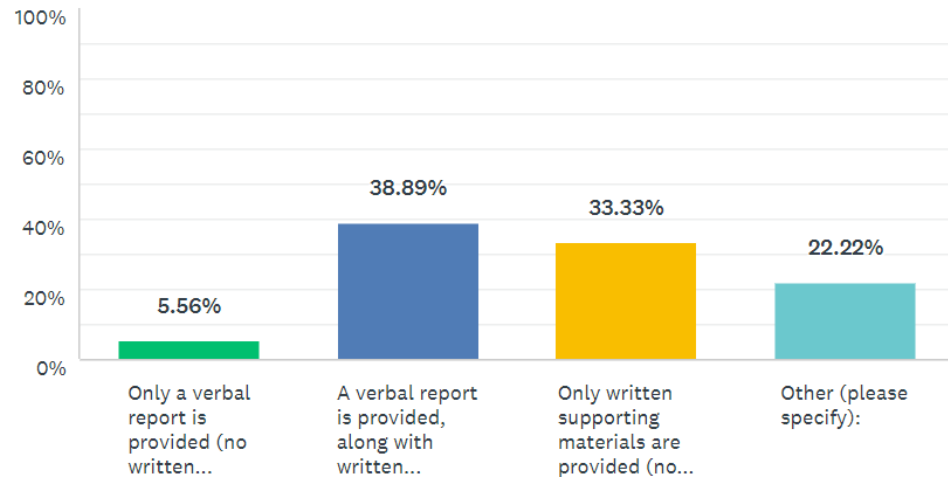
#### Other:

- Semi-annually.
- SAR filings are reported to the Board when/if they are associated with a non-routine/high risk matter.
- None currently.
- We do not report out SAR reporting.

(More on next page.)

## How is your internal SAR reporting conducted?

Answered: 18 Skipped: 3



### Other:

- Reporting around the AML program in general is provided quarterly.
- Just numbers are provided in writing with high level reasons for SAR.
- Monthly stat reporting.
- General reporting of numbers, but not specific case information unless more details are requested.