



## STATE OF INDIANA

## DEPARTMENT OF FINANCIAL INSTITUTIONS

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June 18, 2022

All Chief Executive Officers / Presidents:

The Department of Financial Institutions (Department) requests that all state-chartered banking institutions take part in an annual information gathering program to enhance Department knowledge of industry practices, to obtain pertinent information in a more frequent manner, and to aid in assessing risk in state-chartered financial institutions. Previously, financial institution management was asked to complete an Officers Questionnaire during the examination process to aid the examination team in identifying unusual activities or activities which may heighten the risk exposure of the institution. The Department is eliminating the examination centered Officers Questionnaire in favor of the attached annual survey.

This year's questionnaire includes two new questions revolving around digital asset and third-party relationships. Please use this updated questionnaire to complete your 2022 submission.

We request that this survey is completed and remitted to the Department at the same time your institution submits the annual financial audit report to the Department. The survey can be submitted in electronic format to Angie Smith, [asmith@dfi.in.gov](mailto:asmith@dfi.in.gov), or if preferred in paper form to the Department at 30 South Meridian St, Suite 300, Indianapolis, IN 46204. Please contact me with any questions.

Sincerely,

A handwritten signature in black ink that reads "Chris Dietz". The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Christopher Dietz  
Depository Division Deputy Director

# Organizational Questionnaire

## Preparation Instructions for Organizational Questionnaire

Answer the following questions as of your institutions 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."

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's Name and Location	
Officer's Signature	Date Signed	Date Information Provided as of
This is an official document. Any false information contained in it may be grounds for prosecution and may be punishable by fine or imprisonment.		



- **Director fees**

- 6. Has the institution purchased/participated in any loans from non-bank entities? If so, please list from whom and the amount(s) purchased.**
- 7. Does the institution have any outstanding extensions of credit through a warehouse line or directly to a non-bank financial institution? If so, please provide:**
  - a) Name of the servicer;**
  - b) Type of loan; and,**
  - c) Total lending commitment available**
- 8. Does the institution receive funding from conduits such as a Bankers Bank, an internet deposit gathering service, or deposit pooling service (CDARs, FICA, etc.)?**
- 9. 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, and the location of the entity.**

- 10. Does the institution close loans via the internet or at any other location other than a banking office or title company? If so, please list the locations.**
- 11. Please provide, if any, the various ways in which your institution performs banking activities (accepting deposits, disbursing proceeds, making loans) with your customers 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.**
- 12. Has the institution experienced financial loss from fraud in the past year in excess of \$10,000? If so, please list the amount, date of the loss, and describe the fraudulent activity resulting in the loss in the past year.**
- 13. 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.**
- 14. Has the bank 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 bank? If so, please provide details.**

- 15. Are there currently any lawsuits outstanding in which the bank is the defendant? If so, please provide the relevant information and projected loss exposure.**
- 16. Has the bank entered into any arrangements for digital asset custody, digital asset trading, digital asset third-party services, stablecoin issuance, or stablecoin payments?**
- 17. Does the institution have any relationships in which they serve as a loan originator, payment processor, or deposit holder for third-party firms conducting business under their own corporate name?**