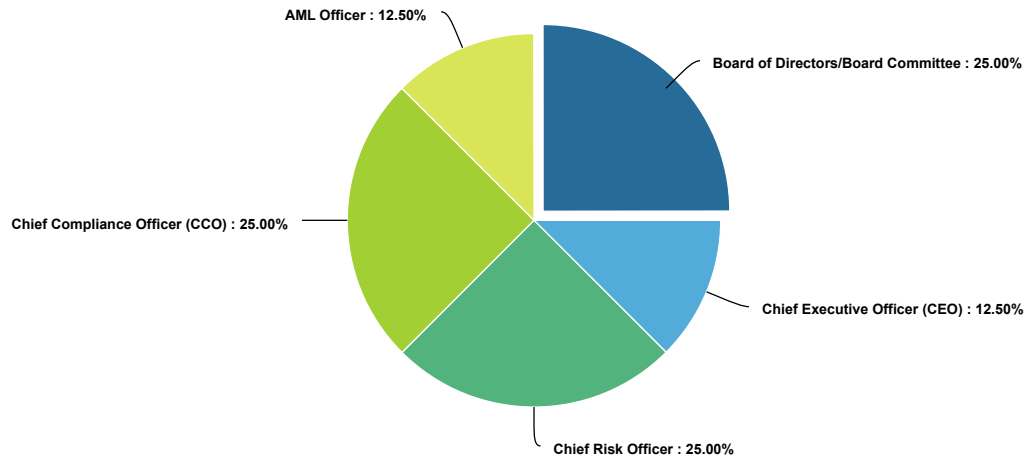
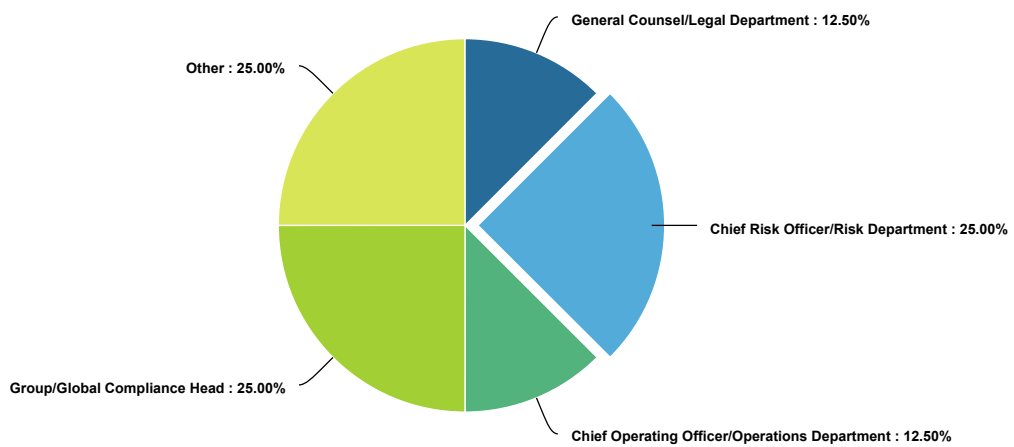


Who is ultimately responsible for AML risk at your company?



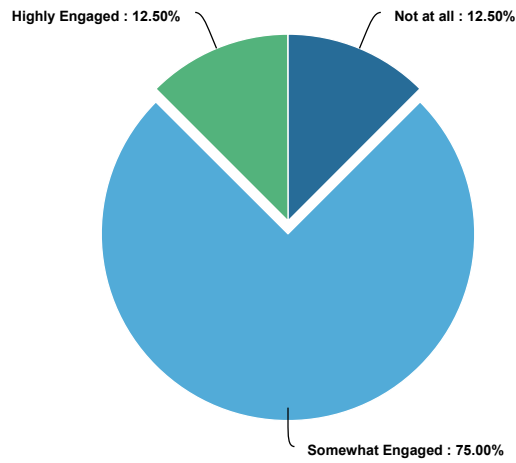
Answer	Percent	20%	40%	60%	80%	100%
Board of Directors/Board Committee	25%	[Progress bar to 25%]				
Chief Executive Officer (CEO) <b>Your Choice</b>	12.5%	[Progress bar to 12.5%]				
Chief Risk Officer	25%	[Progress bar to 25%]				
Chief Compliance Officer (CCO)	25%	[Progress bar to 25%]				
AML Officer	12.5%	[Progress bar to 12.5%]				
Other	0%	[Progress bar to 0%]				
<b>Total</b>	<b>100 %</b>					

Who does the Chief Compliance Officer directly report to at your company?



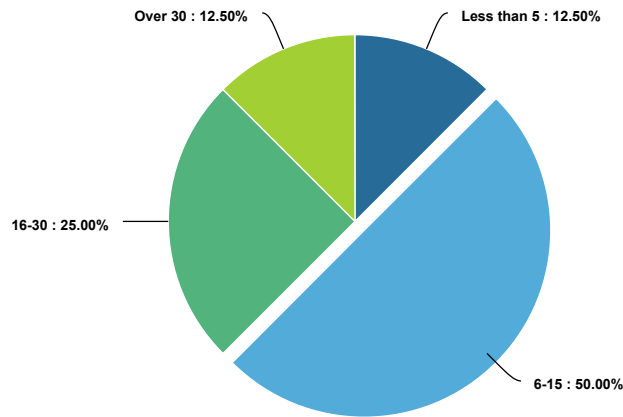
Answer	Percent	20%	40%	60%	80%	100%
General Counsel/Legal Department	12.5%	[Progress bar to 12.5%]				
Chief Risk Officer/Risk Department	25%	[Progress bar to 25%]				
Chief Operating Officer/Operations Department	12.5%	[Progress bar to 12.5%]				
Board of Directors/Board Committee	0%	[Progress bar to 0%]				
Group/Global Compliance Head <b>Your Choice</b>	25%	[Progress bar to 25%]				
Chief Executive Officer (CEO)	0%	[Progress bar to 0%]				
Other	25%	[Progress bar to 25%]				
Chief Financial Officer (CFO)	0%	[Progress bar to 0%]				
<b>Total</b>	<b>100 %</b>					

To what extent is senior management engaged in promoting a "culture of compliance" at your company?



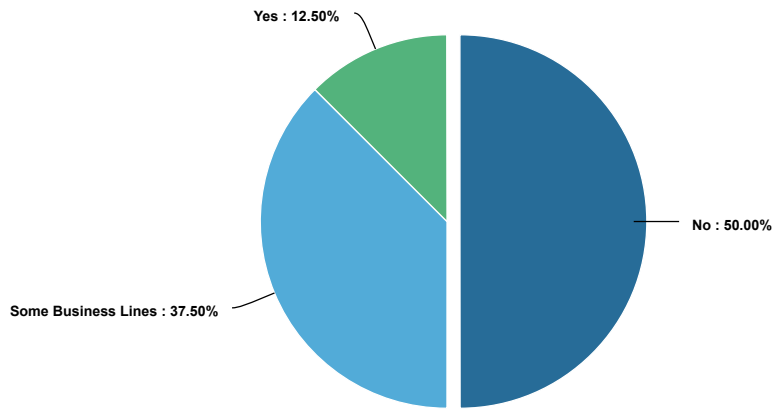
Answer	Percent	20%	40%	60%	80%	100%
Not at all	12.5%	<div style="width: 12.5%;"></div>				
Somewhat Engaged <span style="background-color: #0070C0; color: white; padding: 2px;">Your Choice</span>	75%	<div style="width: 75%;"></div>				
Highly Engaged	12.5%	<div style="width: 12.5%;"></div>				
<b>Total</b>	<b>100 %</b>					

What is the total number of personnel (onshore or offshore) within the AML and Sanctions Compliance functions for your company's US operations?



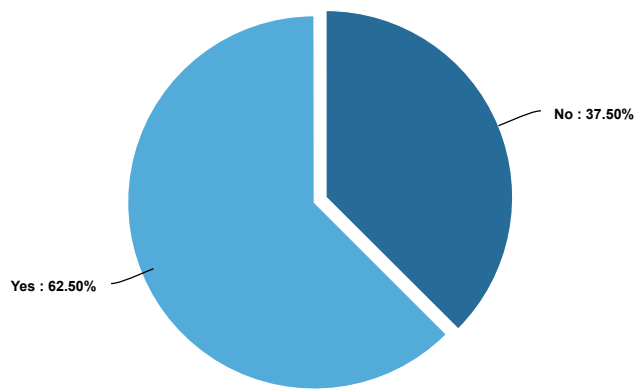
Answer	Percent	20%	40%	60%	80%	100%
Less than 5	12.5%	<div style="width: 12.5%;"></div>				
6-15	50%	<div style="width: 50%;"></div>				
16-30 <span style="background-color: #0070C0; color: white; padding: 2px;">Your Choice</span>	25%	<div style="width: 25%;"></div>				
Over 30	12.5%	<div style="width: 12.5%;"></div>				
<b>Total</b>	<b>100 %</b>					

Within your company do various business lines have dedicated AML representatives?



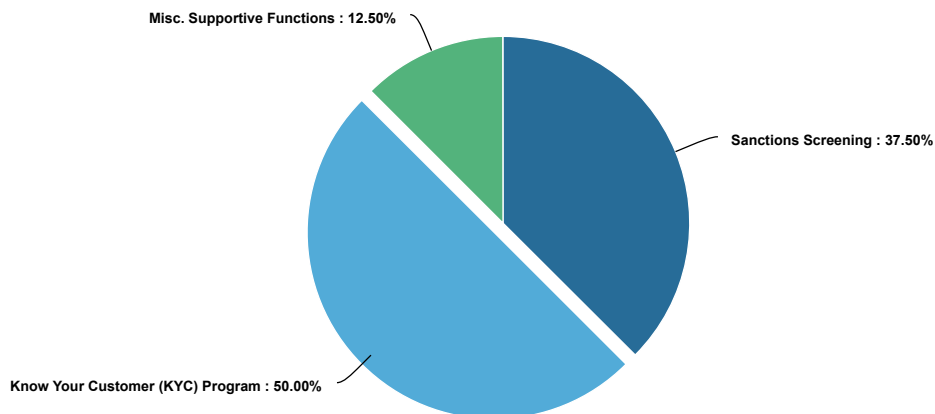
Answer	Percent	20%	40%	60%	80%	100%
No	50%					
Some Business Lines <b>Your Choice</b>	37.5%					
Yes	12.5%					
<b>Total</b>	<b>100 %</b>					

Do any of your AML and Sanctions Compliance functions utilize offshore resources?



Answer	Percent	20%	40%	60%	80%	100%
No	37.5%					
Yes <b>Your Choice</b>	62.5%					
<b>Total</b>	<b>100 %</b>					

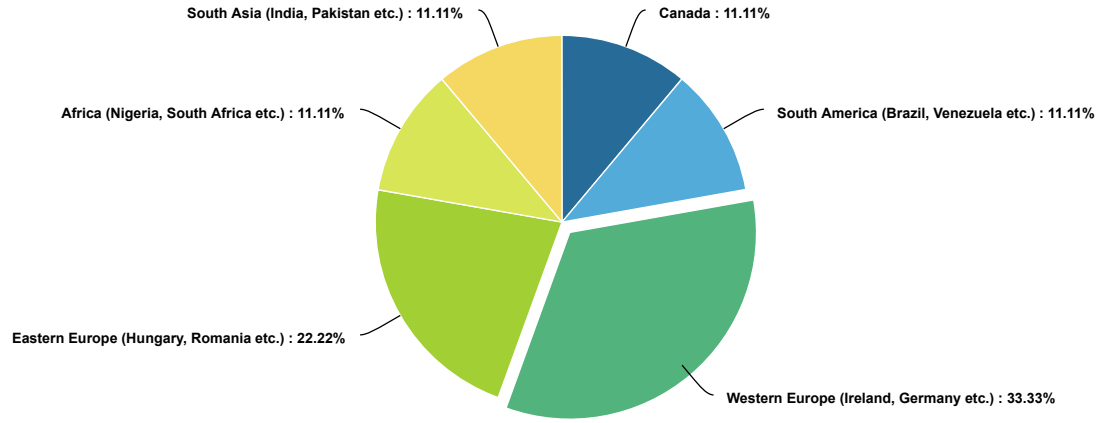
What areas are supported by offshore resources? Please select all that apply:



Answer	Percent	20%	40%	60%	80%	100%
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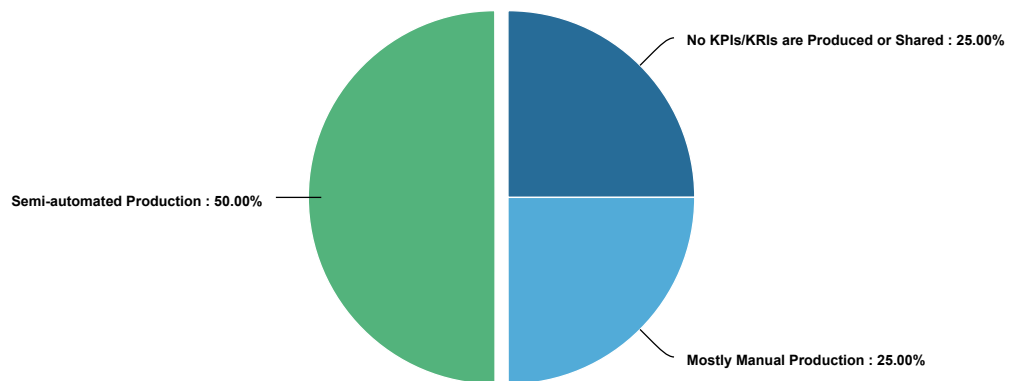
Transaction Monitoring	0%	
Sanctions Screening <b>Your Choice</b>	37.5%	████████████████████
Know Your Customer (KYC) Program <b>Your Choice</b>	50%	██
Misc. Supportive Functions	12.5%	██████████
Other	0%	
<b>Total</b>	<b>100 %</b>	

Where are these offshore resources located? Please select all that apply:



Answer	Percent	20%	40%	60%	80%	100%
Canada	11.11%	██████████				
Caribbean	0%					
South America (Brazil, Venezuela etc.)	11.11%	██████████				
Western Europe (Ireland, Germany etc.) <b>Your Choice</b>	33.33%	████████████████████				
Eastern Europe (Hungary, Romania etc.) <b>Your Choice</b>	22.22%	████████████████				
Africa (Nigeria, South Africa etc.) <b>Your Choice</b>	11.11%	██████████				
Middle East (Israel, Lebanon etc.)	0%					
South Asia (India, Pakistan etc.)	11.11%	██████████				
Southeast Asia (Malaysia, Philippines etc.)	0%					
East Asia (China, Vietnam etc.)	0%					
Australasia	0%					
Other	0%					
<b>Total</b>	<b>100 %</b>					

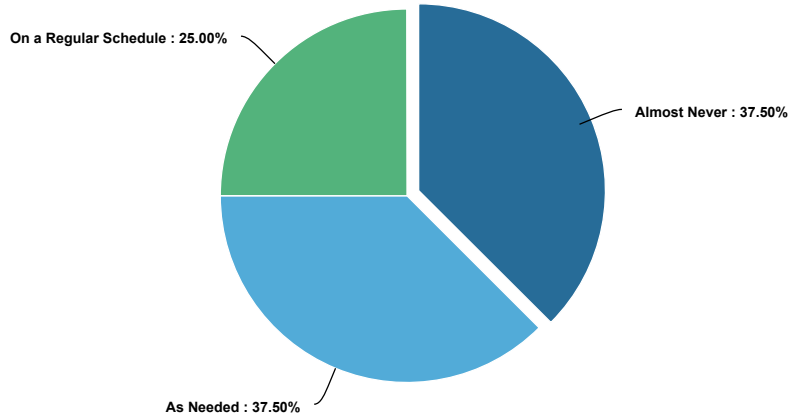
How developed are the means with which AML and Sanctions related Key Performance Indicators (KPIs) and Key Risk Indicators (KRIs) are produced and shared with senior management?



Answer	Percent	20%	40%	60%	80%	100%
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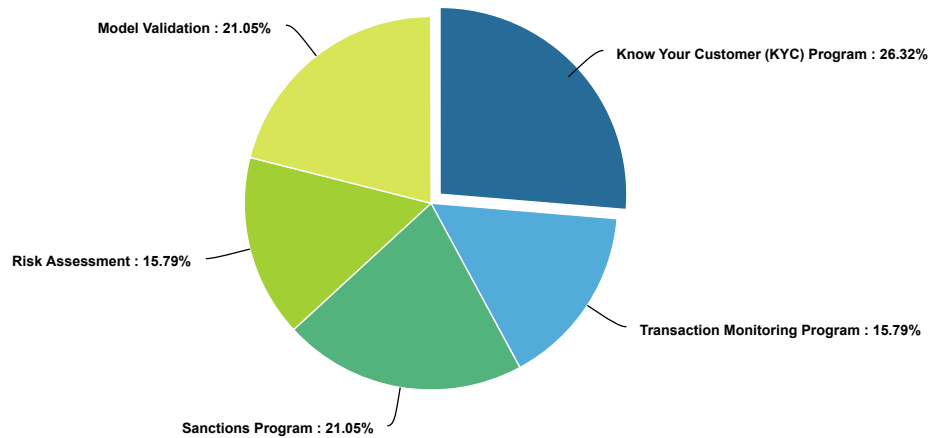
No KPIs/KRIs are Produced or Shared <b>Your Choice</b>	25%	<div style="width: 25%;"></div>
Mostly Manual Production	25%	<div style="width: 25%;"></div>
Semi-automated Production	50%	<div style="width: 50%;"></div>
Fully Automated and Integrated Dashboard	0%	<div style="width: 0%;"></div>
<b>Total</b>	<b>100 %</b>	

How often is resource planning performed for the AML and Sanctions functions within your company?



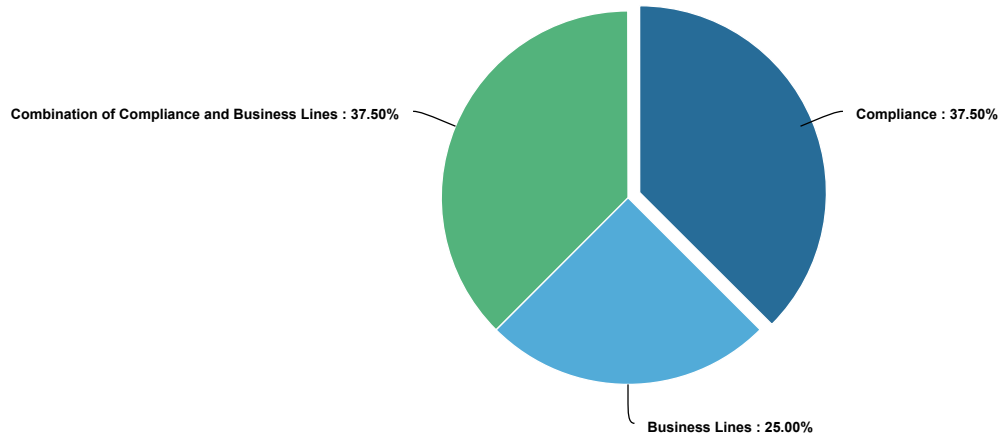
Answer	Percent	20%	40%	60%	80%	100%
Almost Never	37.5%	<div style="width: 37.5%;"></div>				
As Needed <b>Your Choice</b>	37.5%	<div style="width: 37.5%;"></div>				
On a Regular Schedule	25%	<div style="width: 25%;"></div>				
<b>Total</b>	<b>100 %</b>					

What area is likely to require additional attention and financial resources allocated to it over the next 12 months? Please select all that apply:



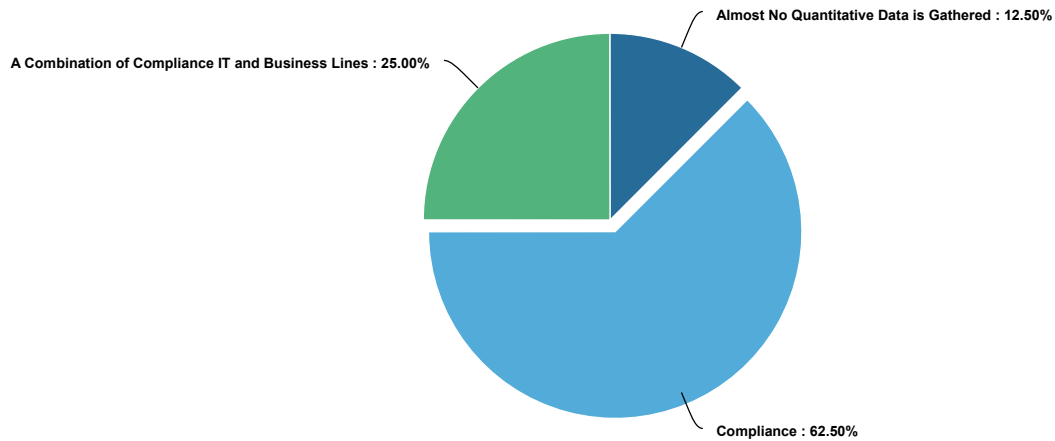
Answer	Percent	20%	40%	60%	80%	100%
Know Your Customer (KYC) Program <b>Your Choice</b>	26.32%	<div style="width: 26.32%;"></div>				
Transaction Monitoring Program <b>Your Choice</b>	15.79%	<div style="width: 15.79%;"></div>				
Sanctions Program	21.05%	<div style="width: 21.05%;"></div>				
Risk Assessment	15.79%	<div style="width: 15.79%;"></div>				
Model Validation	21.05%	<div style="width: 21.05%;"></div>				
Vendor/Third Party Management	0%	<div style="width: 0%;"></div>				
Cybersecurity	0%	<div style="width: 0%;"></div>				
Other	0%	<div style="width: 0%;"></div>				
<b>Total</b>	<b>100 %</b>					

For the performance of AML and Sanctions Risk Assessments, who is responsible for the identification of inherent risks within the company?



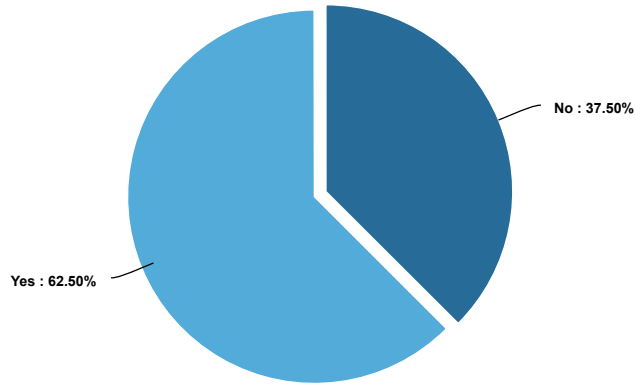
Answer	Percent	20%	40%	60%	80%	100%
Compliance	37.5%	<div style="width: 37.5%;"></div>				
Business Lines <b>Your Choice</b>	25%	<div style="width: 25%;"></div>				
Combination of Compliance and Business Lines	37.5%	<div style="width: 37.5%;"></div>				
Other	0%	<div style="width: 0%;"></div>				
<b>Total</b>	<b>100 %</b>					

Who is responsible for gathering of the quantitative data that forms part of the AML and Sanctions Risk Assessments?



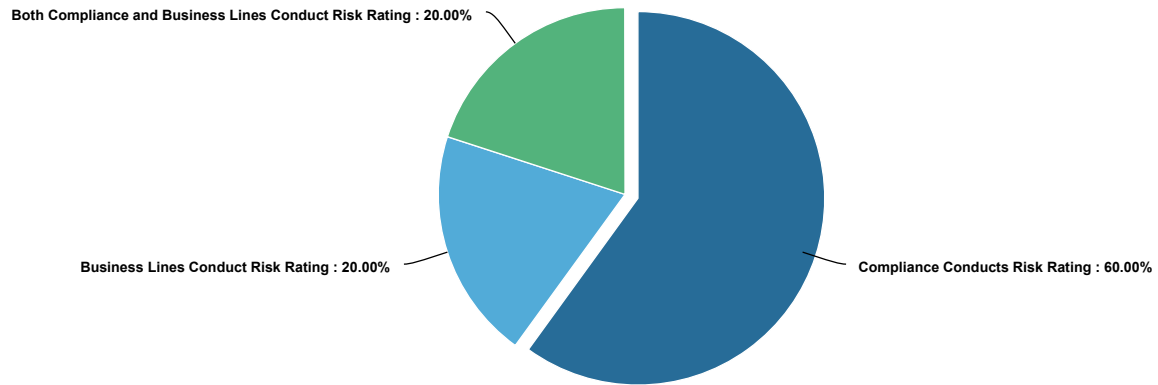
Answer	Percent	20%	40%	60%	80%	100%
Almost No Quantitative Data is Gathered	12.5%	<div style="width: 12.5%;"></div>				
Compliance <b>Your Choice</b>	62.5%	<div style="width: 62.5%;"></div>				
IT	0%	<div style="width: 0%;"></div>				
Business Lines	0%	<div style="width: 0%;"></div>				
A Combination of Compliance IT and Business Lines	25%	<div style="width: 25%;"></div>				
Other	0%	<div style="width: 0%;"></div>				
<b>Total</b>	<b>100 %</b>					

Does your company individually rate the risk of products and services offered to clients for use in AML/Sanctions Risk Assessments or Customer Risk Ratings?



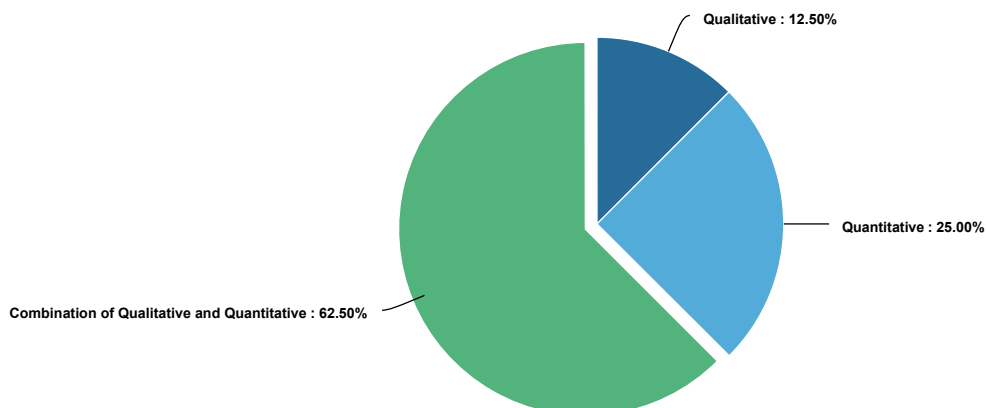
Answer	Percent	20%	40%	60%	80%	100%
No	37.5%	<div style="width: 37.5%;"></div>				
Yes <b>Your Choice</b>	62.5%	<div style="width: 62.5%;"></div>				
<b>Total</b>	<b>100 %</b>					

If yes, who in your company conducts the product and services risk ratings?



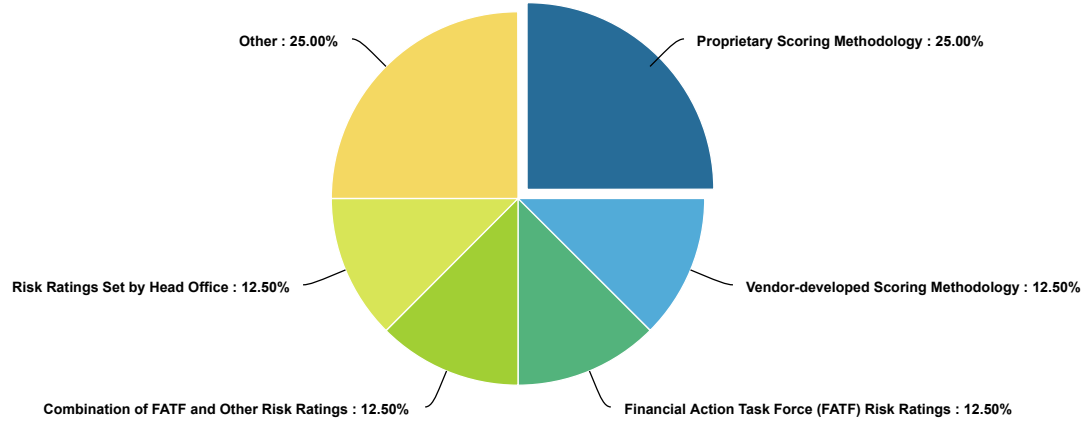
Answer	Percent	20%	40%	60%	80%	100%
Compliance Conducts Risk Rating <b>Your Choice</b>	60%	<div style="width: 60%;"></div>				
Business Lines Conduct Risk Rating	20%	<div style="width: 20%;"></div>				
Both Compliance and Business Lines Conduct Risk Rating	20%	<div style="width: 20%;"></div>				
<b>Total</b>	<b>100 %</b>					

Is the AML and Sanctions risk assessment for your company performed using qualitative/non-mathematical deductions or a quantitative scoring methodology?



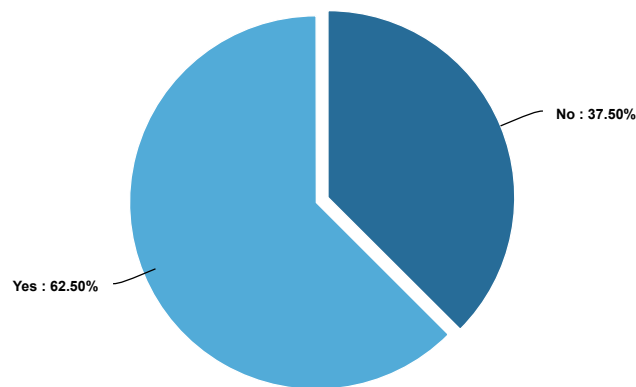
Answer	Percent	20%	40%	60%	80%	100%
Qualitative	12.5%					
Quantitative	25%					
Combination of Qualitative and Quantitative <b>Your Choice</b>	62.5%					
<b>Total</b>	<b>100 %</b>					

How does your institution arrive at country risk ratings?



Answer	Percent	20%	40%	60%	80%	100%
Proprietary Scoring Methodology <b>Your Choice</b>	25%					
Vendor-developed Scoring Methodology	12.5%					
Financial Action Task Force (FATF) Risk Ratings	12.5%					
Combination of FATF and Other Risk Ratings	12.5%					
Risk Ratings Set by Head Office	12.5%					
Other	25%					
<b>Total</b>	<b>100 %</b>					

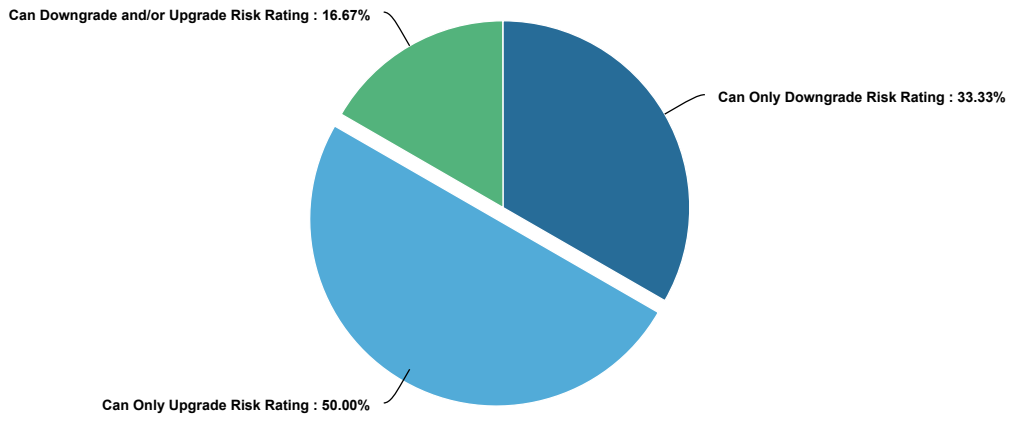
Does Compliance or Senior Management have the ability to manually adjust the company's residual AML and Sanctions risk rating?



Answer	Percent	20%	40%	60%	80%	100%
No	37.5%					
Yes <b>Your Choice</b>	62.5%					
<b>Total</b>	<b>100 %</b>					

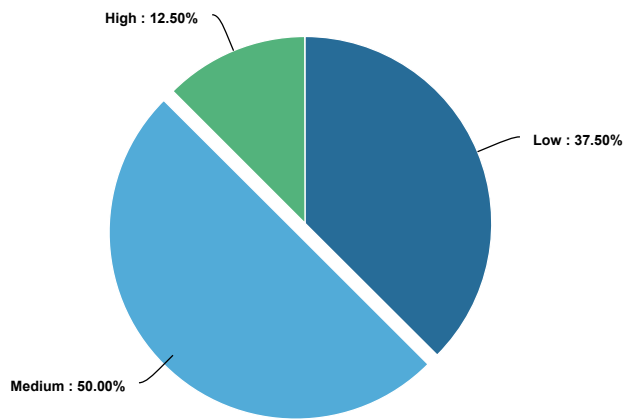
How can senior management manually adjust the risk rating?





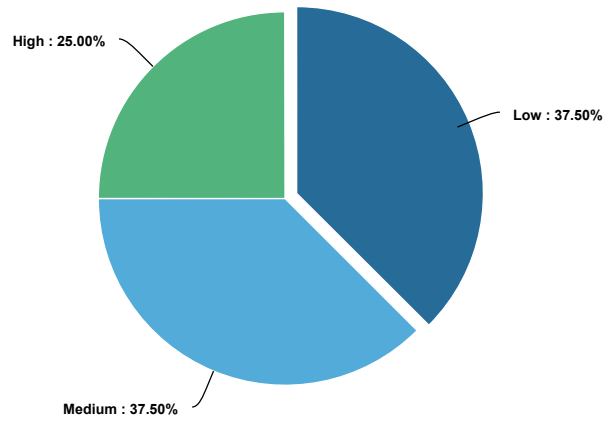
Answer	Percent	20%	40%	60%	80%	100%
Can Only Downgrade Risk Rating <b>Your Choice</b>	33.33%					
Can Only Upgrade Risk Rating	50%					
Can Downgrade and/or Upgrade Risk Rating	16.67%					
<b>Total</b>	<b>100 %</b>					

### What is the AML risk profile of your company?



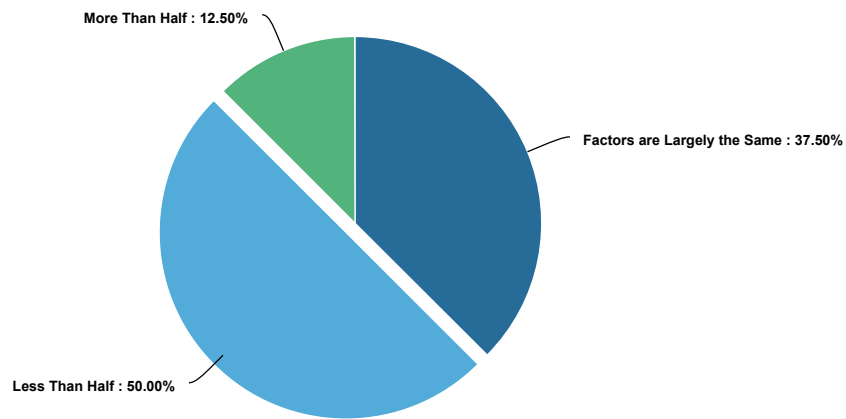
Answer	Percent	20%	40%	60%	80%	100%
Low	37.5%					
Medium <b>Your Choice</b>	50%					
High	12.5%					
<b>Total</b>	<b>100 %</b>					

### What is the Sanctions risk profile of your company?



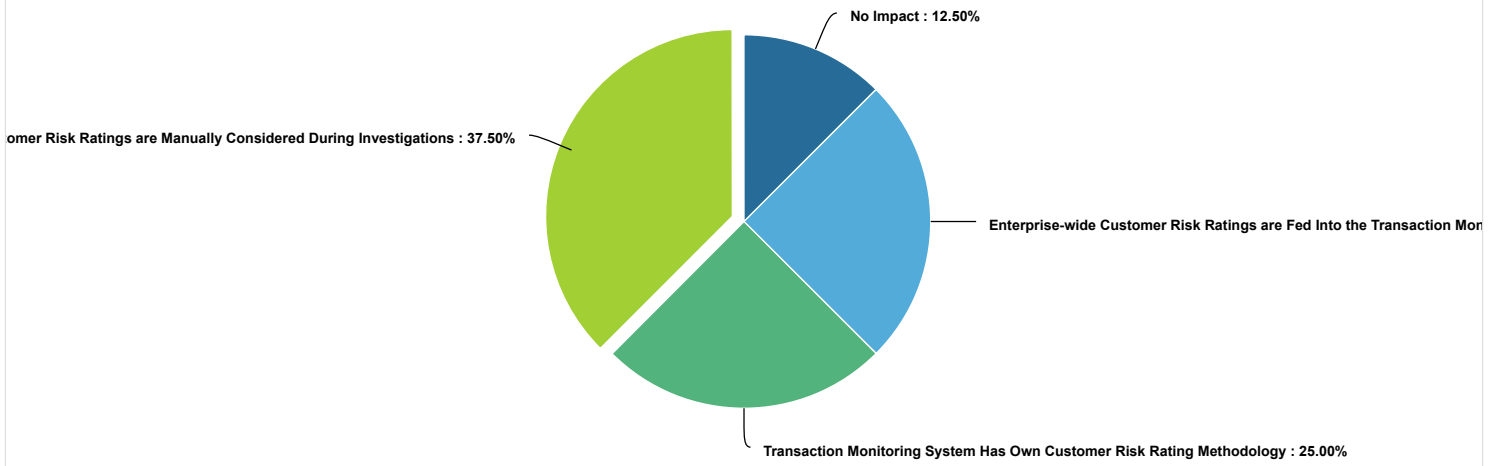
Answer	Percent	20%	40%	60%	80%	100%
Low <b>Your Choice</b>	37.5%	<div style="width: 37.5%;"></div>				
Medium	37.5%	<div style="width: 37.5%;"></div>				
High	25%	<div style="width: 25%;"></div>				
<b>Total</b>	<b>100 %</b>					

Within the Risk Assessment methodology, how many factors differentiate Sanctions risk from AML risk?



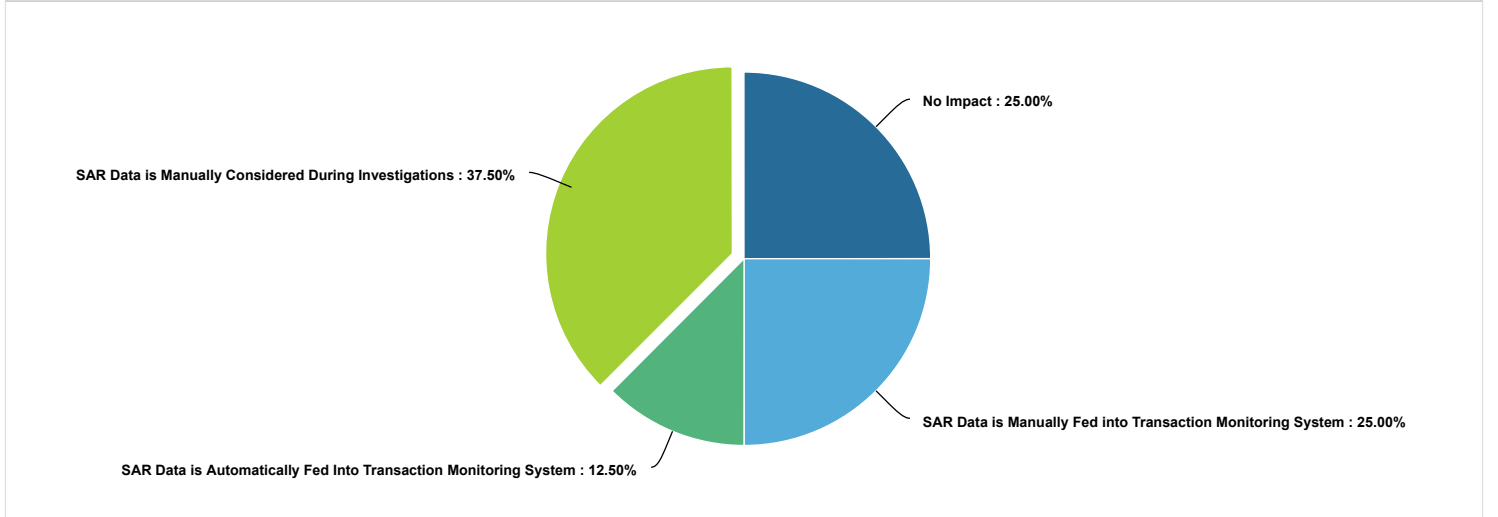
Answer	Percent	20%	40%	60%	80%	100%
Factors are Largely the Same <b>Your Choice</b>	37.5%	<div style="width: 37.5%;"></div>				
Less Than Half	50%	<div style="width: 50%;"></div>				
More Than Half	12.5%	<div style="width: 12.5%;"></div>				
All Factors are Different	0%	<div style="width: 0%;"></div>				
<b>Total</b>	<b>100 %</b>					

To what extent do customer risk ratings impact your AML Transaction Monitoring efforts?



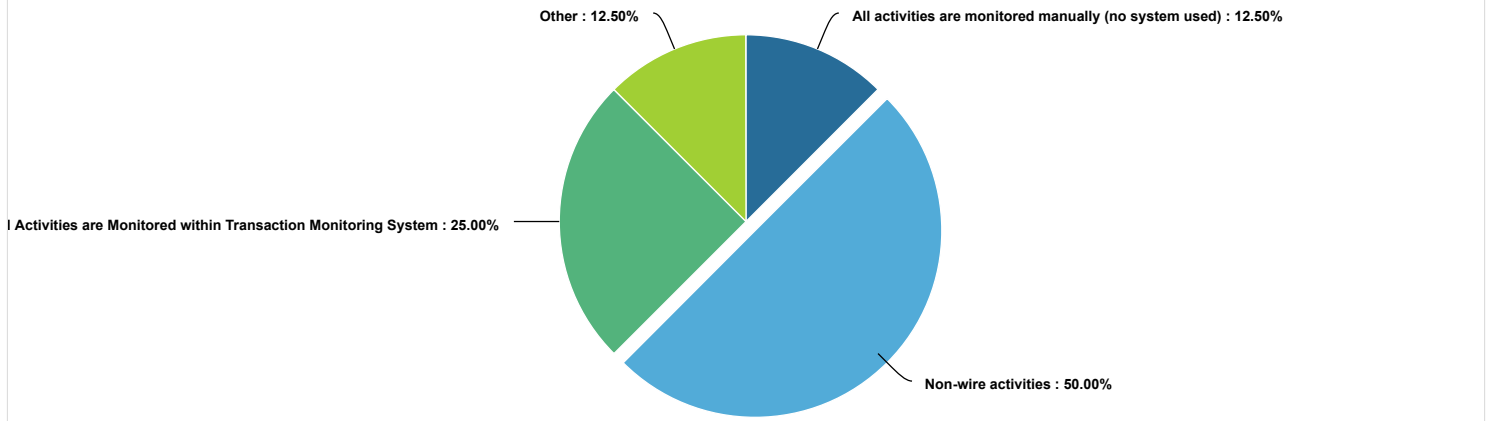
Answer	Percent	20%	40%	60%	80%	100%
No Impact	12.5%	[Progress bar]				
Enterprise-wide Customer Risk Ratings are Fed Into the Transaction Monitoring System	25%	[Progress bar]				
Transaction Monitoring System Has Own Customer Risk Rating Methodology <b>Your Choice</b>	25%	[Progress bar]				
Customer Risk Ratings are Manually Considered During Investigations	37.5%	[Progress bar]				
Other	0%	[Progress bar]				
<b>Total</b>	<b>100 %</b>					

To what extent do prior Suspicious Activity Reports (SARs) impact your AML Transaction Monitoring efforts?



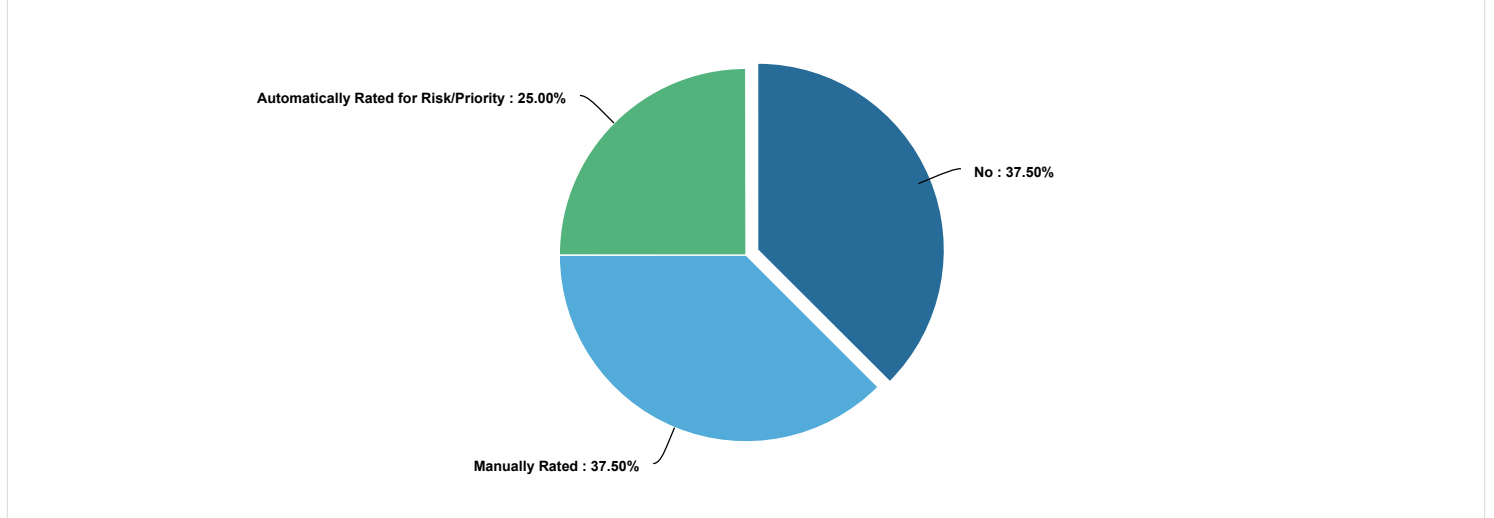
Answer	Percent	20%	40%	60%	80%	100%
No Impact	25%	[Progress bar]				
SAR Data is Manually Fed into Transaction Monitoring System <b>Your Choice</b>	25%	[Progress bar]				
SAR Data is Automatically Fed Into Transaction Monitoring System	12.5%	[Progress bar]				
SAR Data is Manually Considered During Investigations	37.5%	[Progress bar]				
Other	0%	[Progress bar]				
<b>Total</b>	<b>100 %</b>					

What types of activities are NOT monitored by your AML Transaction Monitoring system?



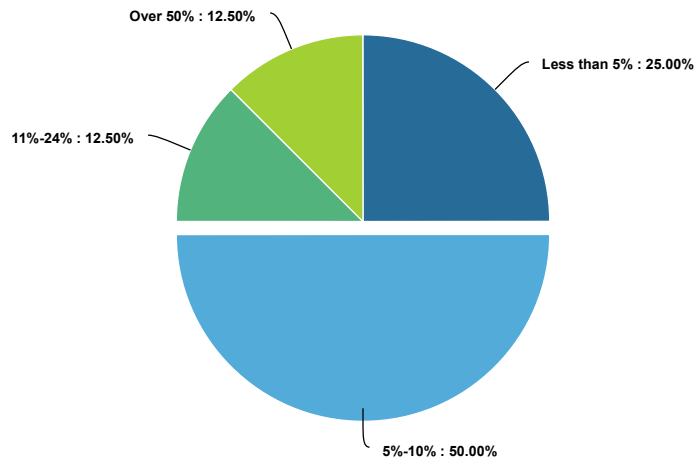
Answer	Percent	20%	40%	60%	80%	100%
All activities are monitored manually (no system used)	12.5%	[Progress bar: 12.5%]				
Non-wire activities	50%	[Progress bar: 50%]				
All Activities are Monitored within Transaction Monitoring System <b>Your Choice</b>	25%	[Progress bar: 25%]				
Other	12.5%	[Progress bar: 12.5%]				
<b>Total</b>	<b>100 %</b>					

Are the alerts generated within the Transaction Monitoring System rated for risk or prioritization?



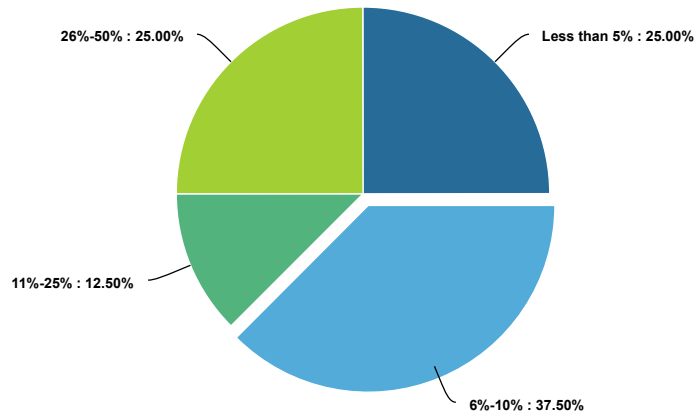
Answer	Percent	20%	40%	60%	80%	100%
No	37.5%	[Progress bar: 37.5%]				
Manually Rated <b>Your Choice</b>	37.5%	[Progress bar: 37.5%]				
Automatically Rated for Risk/Priority	25%	[Progress bar: 25%]				
<b>Total</b>	<b>100 %</b>					

Approximately what percentage of Transaction Monitoring System alerts is converted into cases (i.e. escalated for further investigation)?



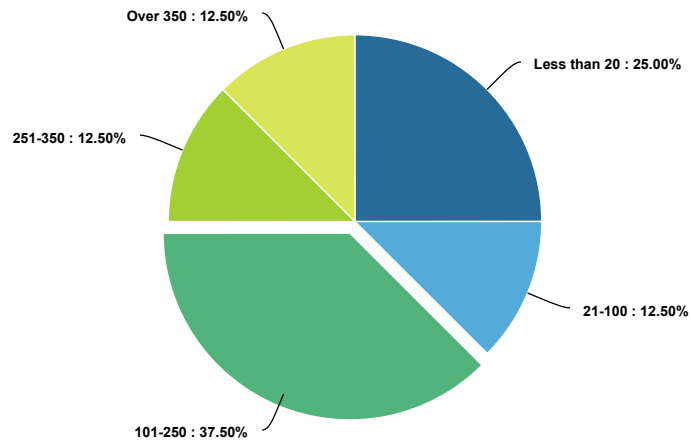
Answer	Percent	20%	40%	60%	80%	100%
Less than 5%	25%	[Progress bar: 25%]				
5%-10% <b>Your Choice</b>	50%	[Progress bar: 50%]				
11%-24%	12.5%	[Progress bar: 12.5%]				
25%-49%	0%	[Progress bar: 0%]				
Over 50%	12.5%	[Progress bar: 12.5%]				
<b>Total</b>	<b>100 %</b>					

Approximately what percentage of Transaction Monitoring System cases is converted into SAR filings?



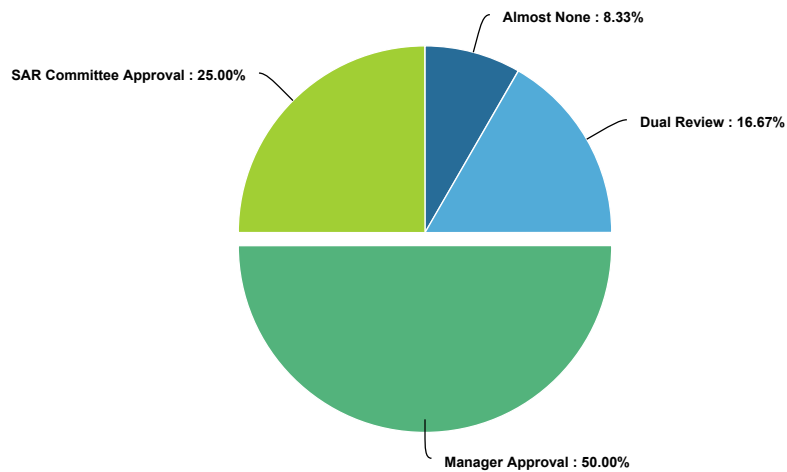
Answer	Percent	20%	40%	60%	80%	100%
Less than 5%	25%	[Progress bar: 25%]				
6%-10%	37.5%	[Progress bar: 37.5%]				
11%-25%	12.5%	[Progress bar: 12.5%]				
26%-50% <b>Your Choice</b>	25%	[Progress bar: 25%]				
Over 50%	0%	[Progress bar: 0%]				
<b>Total</b>	<b>100 %</b>					

What is the typical average number of SARs filed by your company, annually?



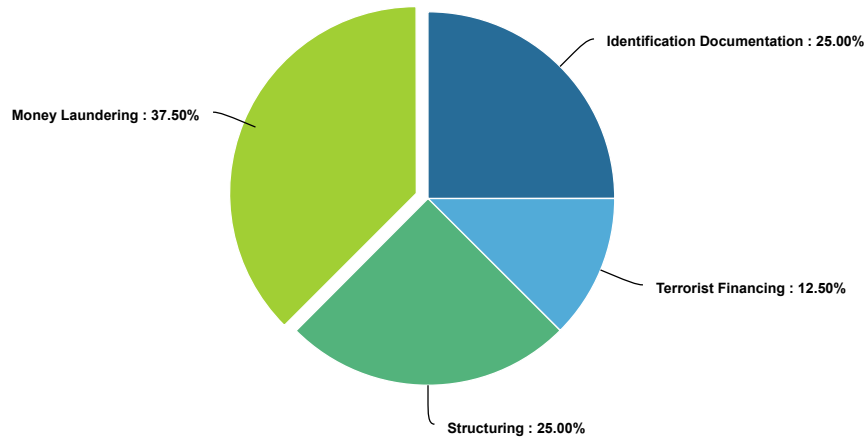
Answer	Percent	20%	40%	60%	80%	100%
Less than 20	25%					
21-100 <b>Your Choice</b>	12.5%					
101-250	37.5%					
251-350	12.5%					
Over 350	12.5%					
<b>Total</b>	<b>100 %</b>					

What approval measures are embedded within your company for the filing of SARs? Please select all that apply:



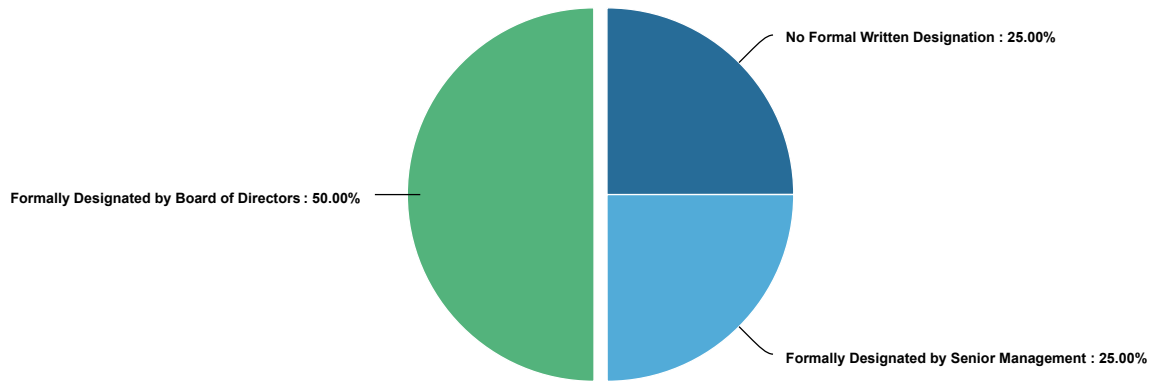
Answer	Percent	20%	40%	60%	80%	100%
Almost None	8.33%					
Dual Review	16.67%					
Manager Approval <b>Your Choice</b>	50%					
SAR Committee Approval <b>Your Choice</b>	25%					
Other	0%					
<b>Total</b>	<b>100 %</b>					

What is the most common reason for SAR filings within your company?



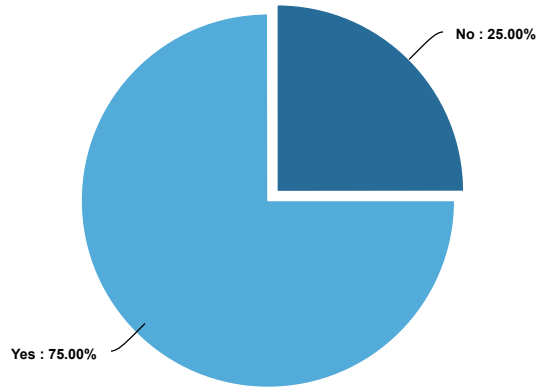
Answer	Percent	20%	40%	60%	80%	100%
Identification Documentation	25%					
Terrorist Financing <b>Your Choice</b>	12.5%					
Structuring	25%					
Fraud	0%					
Money Laundering	37.5%					
Other Suspicious Activity	0%					
<b>Total</b>	<b>100 %</b>					

Has your company designated a named Sanctions Officer formally and in writing?



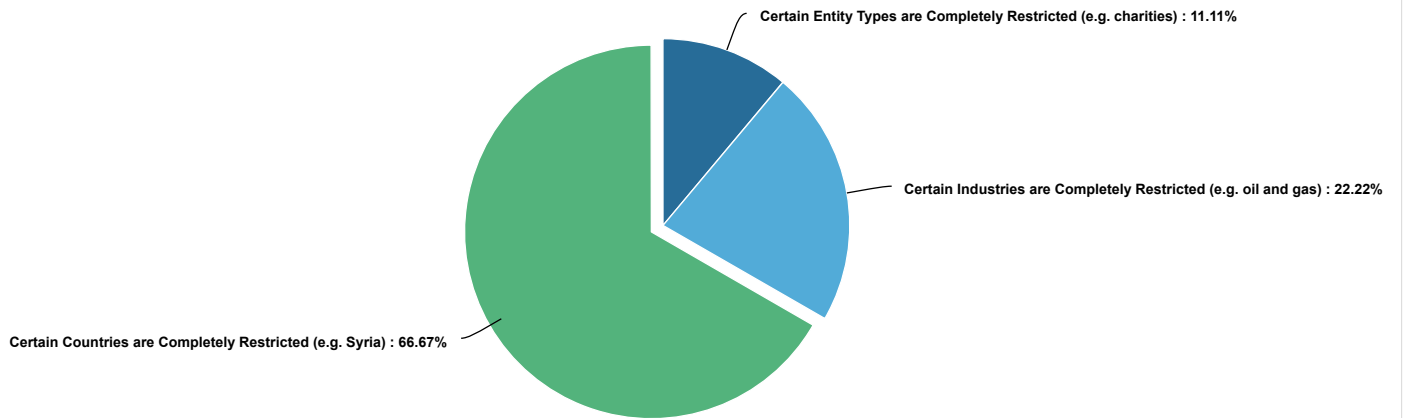
Answer	Percent	20%	40%	60%	80%	100%
No Formal Written Designation	25%					
Formally Designated by Senior Management	25%					
Formally Designated by Board of Directors <b>Your Choice</b>	50%					
<b>Total</b>	<b>100 %</b>					

Does your company issue blanket restrictions related to entities or countries that have Sanctions implications? Select all that apply:



Answer	Percent	20%	40%	60%	80%	100%
No	25%	<div style="width: 25%;"></div>				
Yes <b>Your Choice</b>	75%	<div style="width: 75%;"></div>				
<b>Total</b>	<b>100 %</b>					

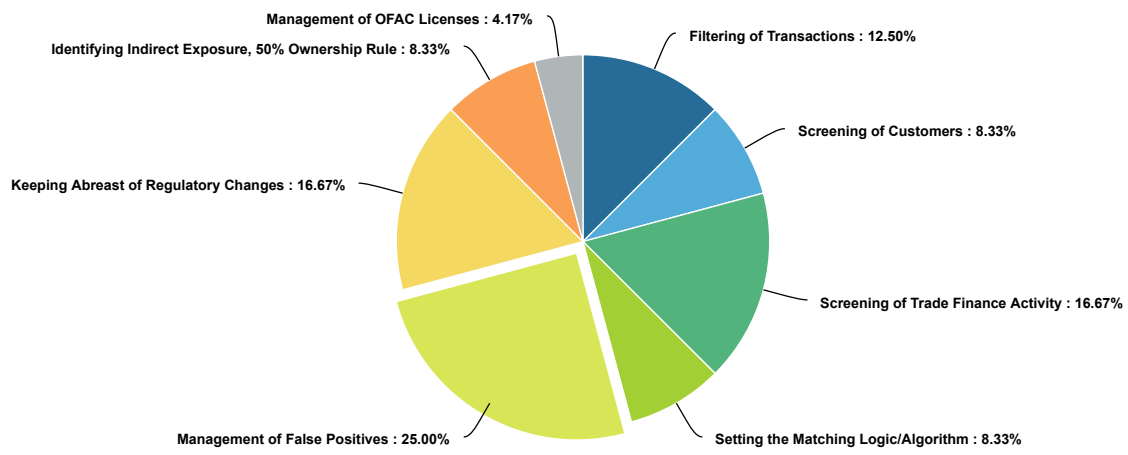
If yes, what blanket sanctions restrictions does your company issue (select all that apply):



Answer	Percent	20%	40%	60%	80%	100%
Certain Entity Types are Completely Restricted (e.g. charities)	11.11%	<div style="width: 11.11%;"></div>				
Certain Industries are Completely Restricted (e.g. oil and gas)	22.22%	<div style="width: 22.22%;"></div>				
<b>Your Choice</b> Certain Countries are Completely Restricted (e.g. Syria)	66.67%	<div style="width: 66.67%;"></div>				
Other	0%	<div style="width: 0%;"></div>				
<b>Total</b>	<b>100 %</b>					

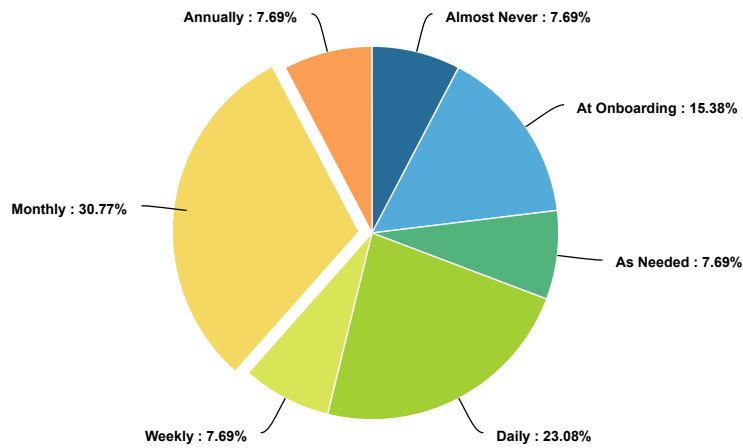
What aspects of Sanctions Compliance are most challenging for your company to execute? Please select all that apply:





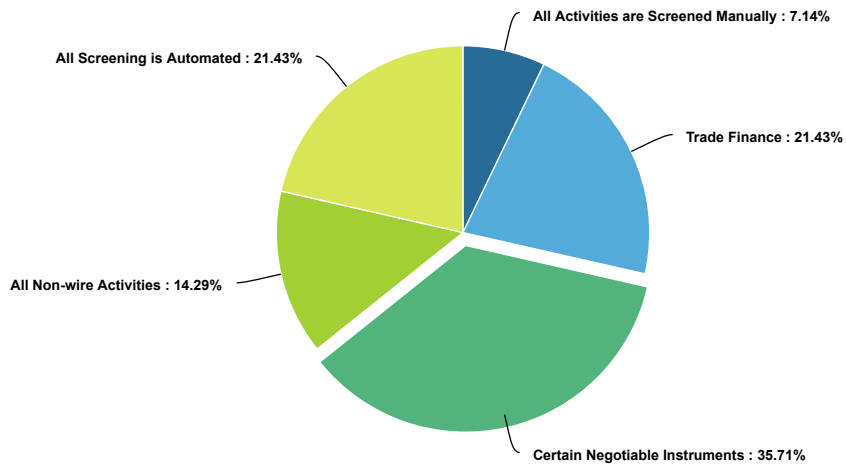
Answer	Percent	20%	40%	60%	80%	100%
Filtering of Transactions	12.5%	[Progress bar]				
Screening of Customers	8.33%	[Progress bar]				
Screening of Trade Finance Activity	16.67%	[Progress bar]				
Setting the Matching Logic/Algorithm	8.33%	[Progress bar]				
Management of False Positives	25%	[Progress bar]				
Keeping Abreast of Regulatory Changes <b>Your Choice</b>	16.67%	[Progress bar]				
Identifying Indirect Exposure, 50% Ownership Rule	8.33%	[Progress bar]				
Management of OFAC Licenses	4.17%	[Progress bar]				
Other	0%	[Progress bar]				
<b>Total</b>	<b>100 %</b>					

How often is customer data screened for Sanctions? Please select all that apply:



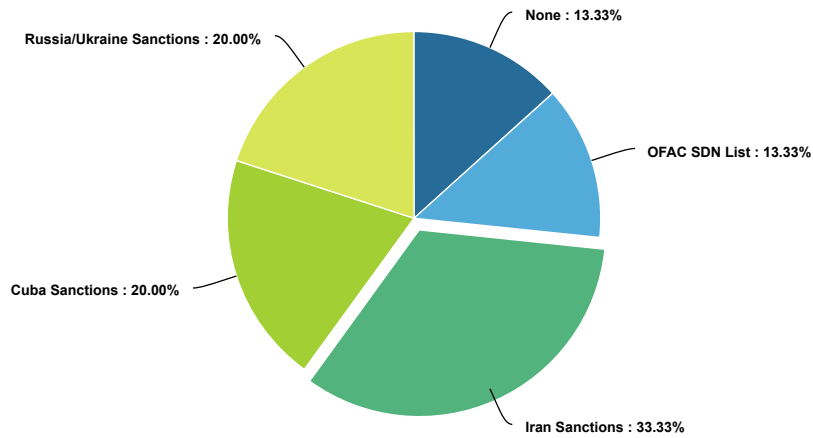
Answer	Percent	20%	40%	60%	80%	100%
Almost Never <b>Your Choice</b>	7.69%	[Progress bar]				
At Onboarding	15.38%	[Progress bar]				
As Needed	7.69%	[Progress bar]				
Daily	23.08%	[Progress bar]				
Weekly	7.69%	[Progress bar]				
Monthly	30.77%	[Progress bar]				
Quarterly	0%	[Progress bar]				
Annually	7.69%	[Progress bar]				
<b>Total</b>	<b>100 %</b>					

For what types of activities is Sanctions screening conducted manually (i.e. outside of a screening system)? Please select all that apply:



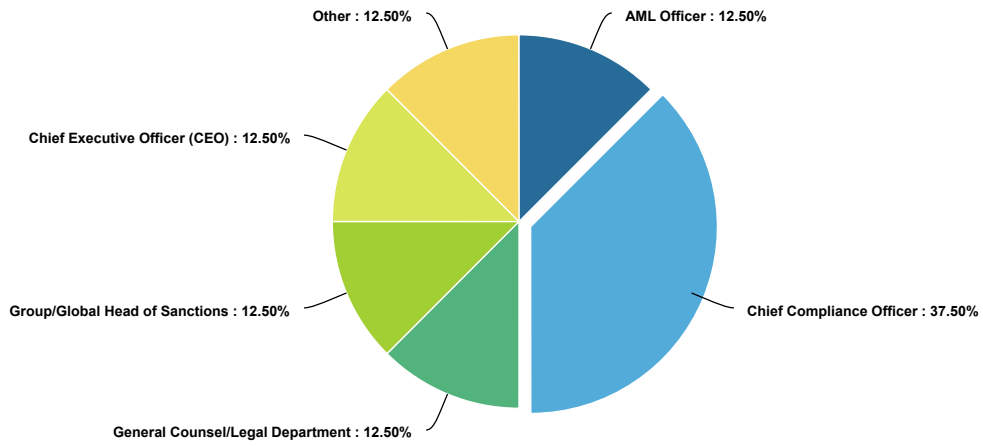
Answer	Percent	20%	40%	60%	80%	100%
All Activities are Screened Manually	7.14%					
Trade Finance <b>Your Choice</b>	21.43%					
Certain Negotiable Instruments <b>Your Choice</b>	35.71%					
All Non-wire Activities	14.29%					
All Screening is Automated	21.43%					
Other	0%					
<b>Total</b>	<b>100 %</b>					

From a process standpoint, what Sanctions Programs are most challenging to control against within your company? Please select all that apply:



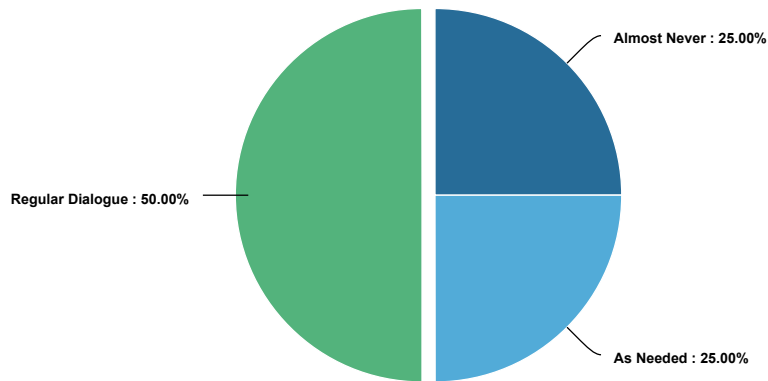
Answer	Percent	20%	40%	60%	80%	100%
None	13.33%					
OFAC SDN List	13.33%					
Iran Sanctions	33.33%					
Cuba Sanctions <b>Your Choice</b>	20%					
Russia/Ukraine Sanctions <b>Your Choice</b>	20%					
Non-OFAC Sanctions	0%					
Other	0%					
<b>Total</b>	<b>100 %</b>					

Who does the Sanctions/OFAC Officer directly report to?



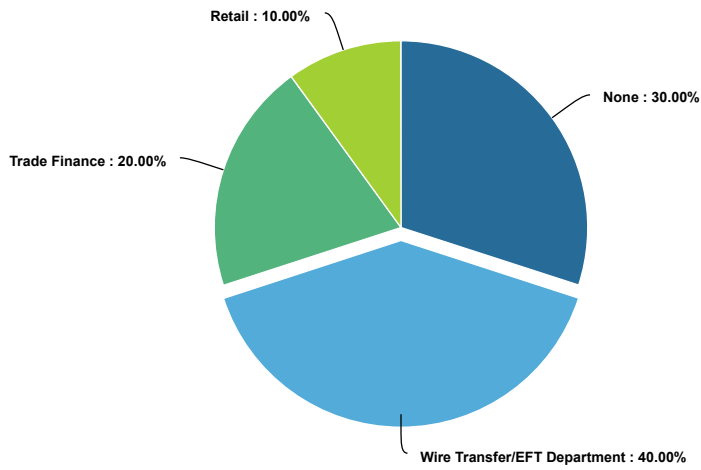
Answer	Percent	20%	40%	60%	80%	100%
AML Officer	12.5%	<div style="width: 12.5%;"></div>				
Chief Compliance Officer	37.5%	<div style="width: 37.5%;"></div>				
General Counsel/Legal Department <span style="background-color: #007bff; color: white; padding: 2px;">Your Choice</span>	12.5%	<div style="width: 12.5%;"></div>				
Group/Global Head of Sanctions	12.5%	<div style="width: 12.5%;"></div>				
Board of Directors/Board Committee	0%	<div style="width: 0%;"></div>				
Chief Executive Officer (CEO)	12.5%	<div style="width: 12.5%;"></div>				
Other	12.5%	<div style="width: 12.5%;"></div>				
<b>Total</b>	<b>100 %</b>					

How often is legal advice (using internal or external counsel) sought regarding Sanctions Compliance during the course of business-as-usual?



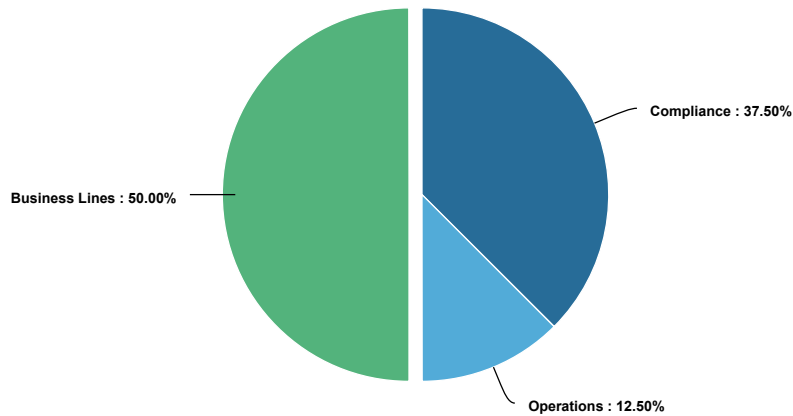
Answer	Percent	20%	40%	60%	80%	100%
Almost Never	25%	<div style="width: 25%;"></div>				
As Needed	25%	<div style="width: 25%;"></div>				
Regular Dialogue <span style="background-color: #007bff; color: white; padding: 2px;">Your Choice</span>	50%	<div style="width: 50%;"></div>				
<b>Total</b>	<b>100 %</b>					

Besides the Sanctions Department, what functions are involved with clearing first level Sanctions alerts? Please select all that apply:



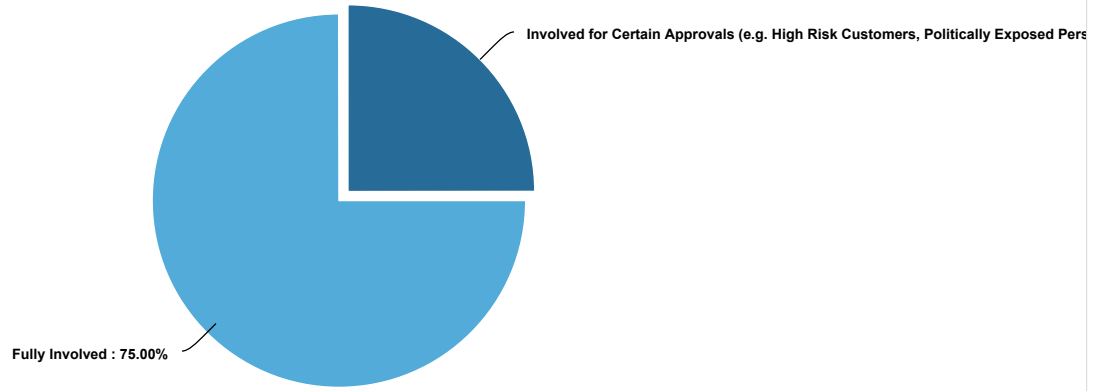
Answer	Percent	20%	40%	60%	80%	100%
None	30%	<div style="width: 30%;"></div>				
Wire Transfer/EFT Department <b>Your Choice</b>	40%	<div style="width: 40%;"></div>				
Trade Finance	20%	<div style="width: 20%;"></div>				
Retail	10%	<div style="width: 10%;"></div>				
Other	0%	<div style="width: 0%;"></div>				
<b>Total</b>	<b>100 %</b>					

Within your company, who ultimately owns and is accountable for the Know Your Customer (KYC) function?



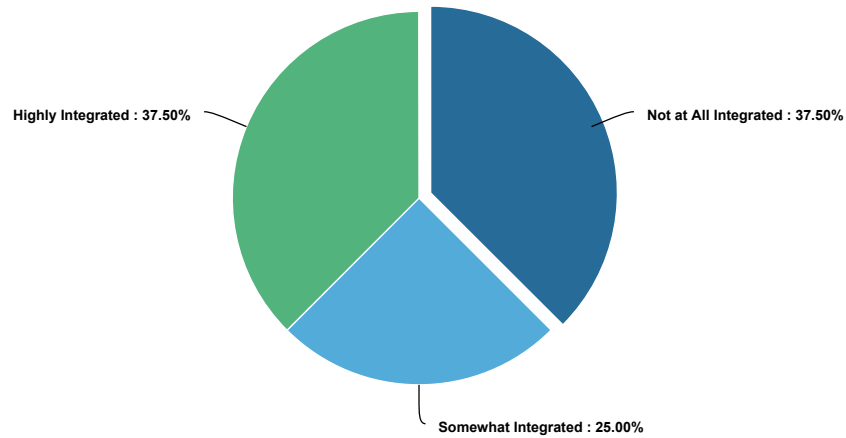
Answer	Percent	20%	40%	60%	80%	100%
Compliance	37.5%	<div style="width: 37.5%;"></div>				
Operations	12.5%	<div style="width: 12.5%;"></div>				
Business Lines <b>Your Choice</b>	50%	<div style="width: 50%;"></div>				
Other	0%	<div style="width: 0%;"></div>				
<b>Total</b>	<b>100 %</b>					

To what extent is the Compliance function involved in Know Your Customer (KYC) efforts?



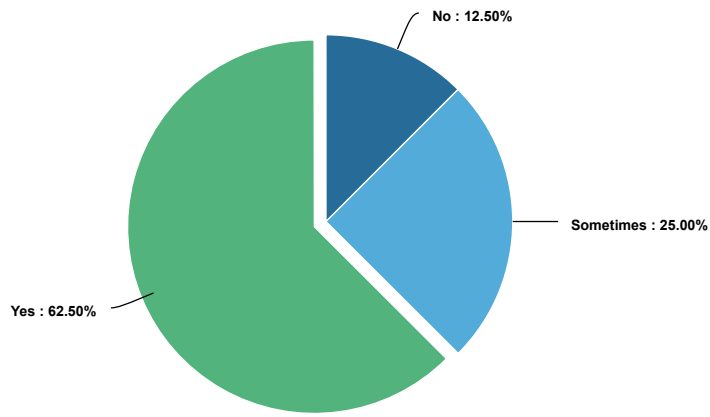
Answer	Percent	20%	40%	60%	80%	100%
Almost Never Involved	0%					
Involved for Certain Approvals (e.g. High Risk Customers, Politically Exposed Pers) <b>Your Choice</b>	25%					
Fully Involved	75%					
<b>Total</b>	<b>100 %</b>					

To what extent is your company's Customer/Account Profile Management system integrated with systems used by AML and Sanctions Compliance?



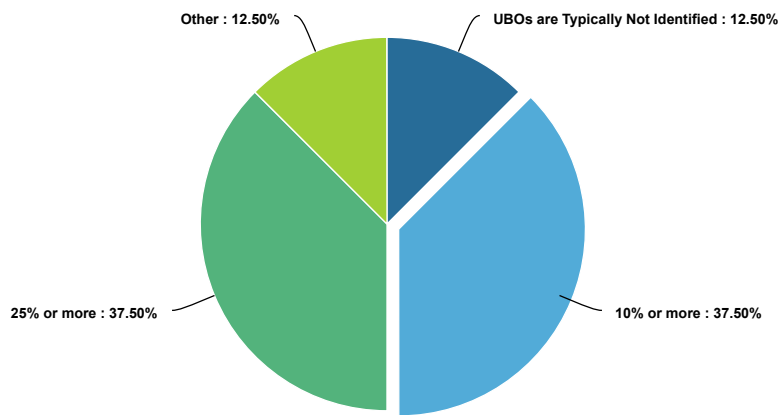
Answer	Percent	20%	40%	60%	80%	100%
Not at All Integrated	37.5%					
Somewhat Integrated	25%					
Highly Integrated <b>Your Choice</b>	37.5%					
<b>Total</b>	<b>100 %</b>					

Are domestic senior political figures (current or former) considered Politically Exposed Persons (PEPs) for KYC purposes?



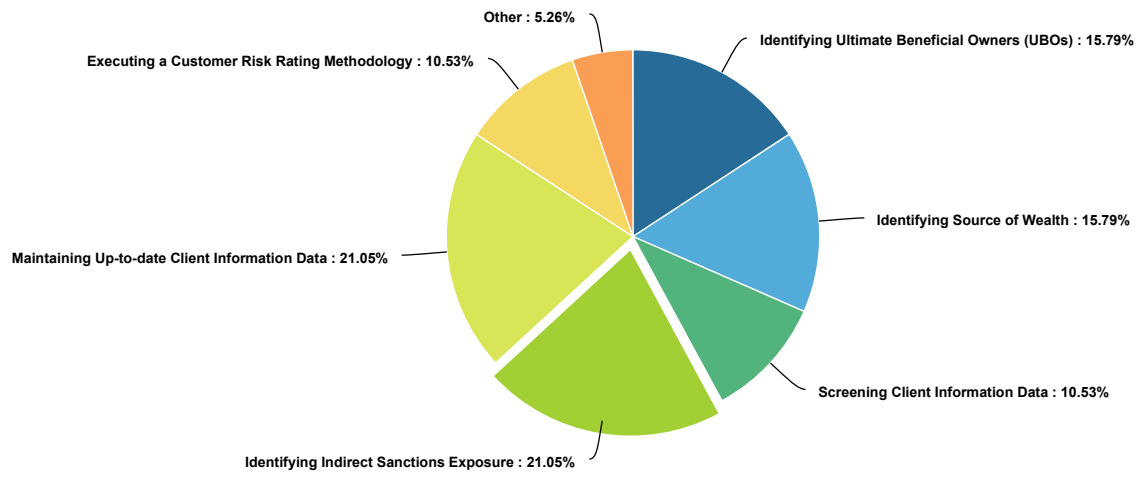
Answer	Percent	20%	40%	60%	80%	100%
No	12.5%	<div style="width: 12.5%;"></div>				
Sometimes <b>Your Choice</b>	25%	<div style="width: 25%;"></div>				
Yes	62.5%	<div style="width: 62.5%;"></div>				
<b>Total</b>	<b>100 %</b>					

Within your company, what percentage of ownership or control of an organization triggers identification of an Ultimate Beneficial Owner (UBO)?



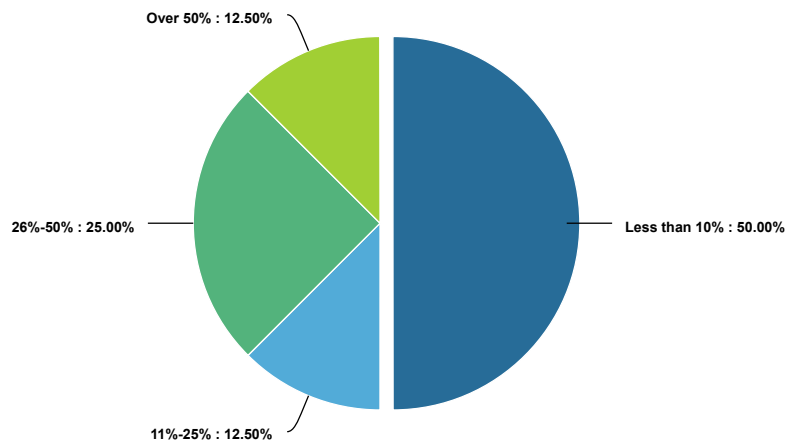
Answer	Percent	20%	40%	60%	80%	100%
UBOs are Typically Not Identified	12.5%	<div style="width: 12.5%;"></div>				
10% or more	37.5%	<div style="width: 37.5%;"></div>				
25% or more <b>Your Choice</b>	37.5%	<div style="width: 37.5%;"></div>				
50% or more	0%	<div style="width: 0%;"></div>				
Depends on Customer Risk	0%	<div style="width: 0%;"></div>				
Other	12.5%	<div style="width: 12.5%;"></div>				
<b>Total</b>	<b>100 %</b>					

What element of the KYC process is most challenging to execute at your company? Please select all that apply:



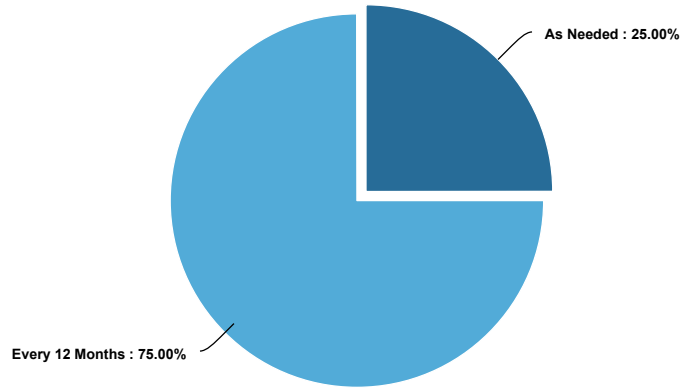
Answer	Percent	20%	40%	60%	80%	100%
Identifying Ultimate Beneficial Owners (UBOs)	15.79%	[Progress bar]				
Identifying Source of Wealth	15.79%	[Progress bar]				
Screening Client Information Data	10.53%	[Progress bar]				
Identifying Indirect Sanctions Exposure <b>Your Choice</b>	21.05%	[Progress bar]				
Maintaining Up-to-date Client Information Data <b>Your Choice</b>	21.05%	[Progress bar]				
Executing a Customer Risk Rating Methodology	10.53%	[Progress bar]				
Other	5.26%	[Progress bar]				
<b>Total</b>	<b>100 %</b>					

Approximately what percentage of your company's customer base is rated as high risk?



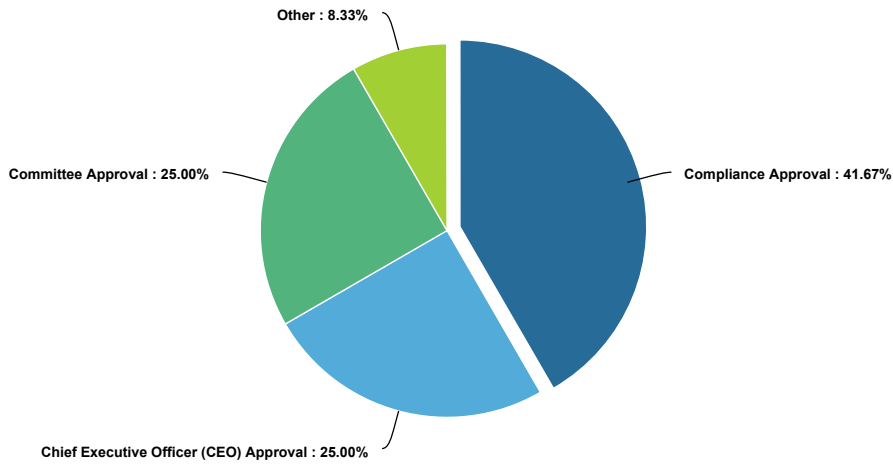
Answer	Percent	20%	40%	60%	80%	100%
Less than 10%	50%	[Progress bar]				
11%-25%	12.5%	[Progress bar]				
26%-50% <b>Your Choice</b>	25%	[Progress bar]				
Over 50%	12.5%	[Progress bar]				
<b>Total</b>	<b>100 %</b>					

How often are high risk customers' KYC files reviewed?



Answer	Percent	20%	40%	60%	80%	100%
Almost Never	0%					
As Needed	25%	[Progress bar to 25%]				
Every 12 Months <b>Your Choice</b>	75%	[Progress bar to 75%]				
Every 18-24 Months	0%					
Every 36 Months	0%					
Other	0%					
<b>Total</b>	<b>100 %</b>					

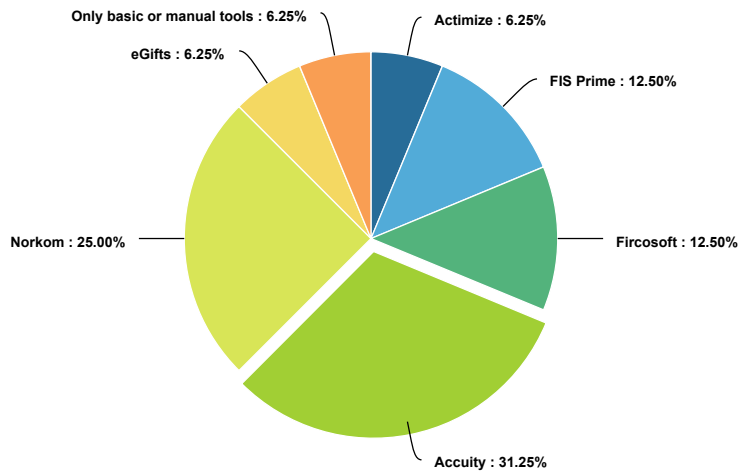
What acceptance measures are in place at your company for high-risk customers?



Answer	Percent	20%	40%	60%	80%	100%
Almost None	0%					
Compliance Approval	41.67%	[Progress bar to 41.67%]				
Chief Executive Officer (CEO) Approval <b>Your Choice</b>	25%	[Progress bar to 25%]				
Committee Approval <b>Your Choice</b>	25%	[Progress bar to 25%]				
Other	8.33%	[Progress bar to 8.33%]				
<b>Total</b>	<b>100 %</b>					

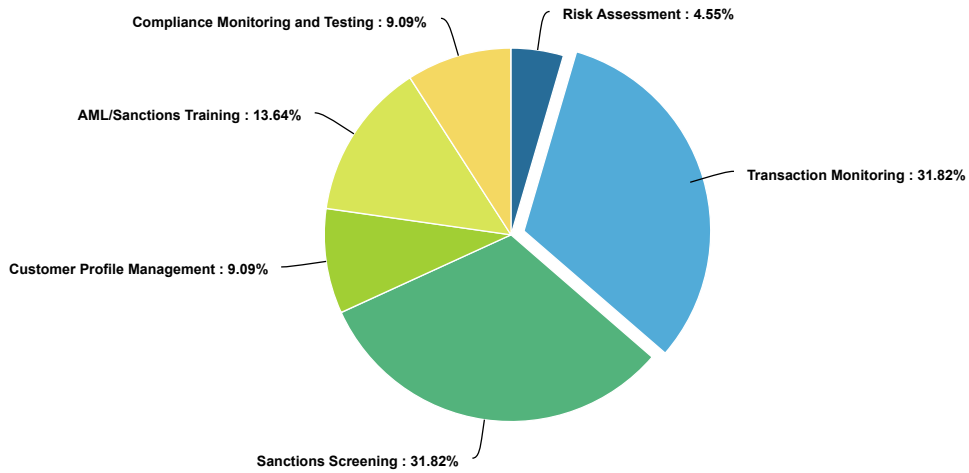
Which system vendors does your company use for your AML and Sanctions Compliance efforts? Please select all that apply:





Answer	Percent	20%	40%	60%	80%	100%
Actimize <b>Your Choice</b>	6.25%					
FIS Prime	12.5%					
Fircosoft <b>Your Choice</b>	12.5%					
Accuity	31.25%					
Norkom	25%					
eGifts	6.25%					
Only basic or manual tools	6.25%					
Other	0%					
<b>Total</b>	<b>100 %</b>					

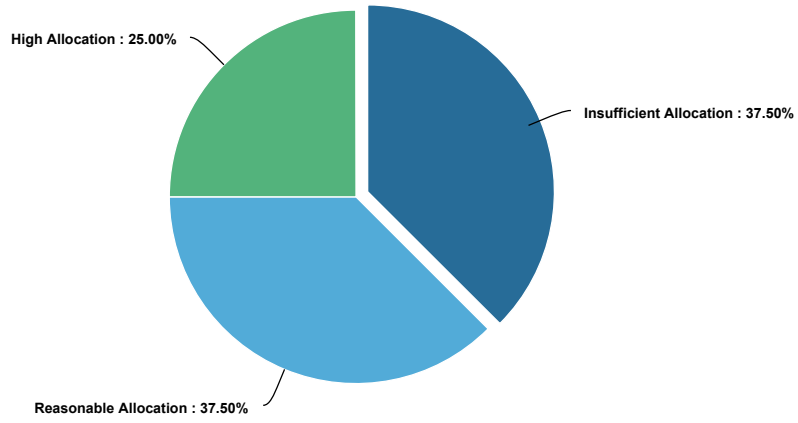
To what extent does your company use advanced systems (proprietary or vendor-developed) to support the following components of your AML/Sanctions Compliance Program? Please select all that apply:



Answer	Percent	20%	40%	60%	80%	100%
Risk Assessment	4.55%					
Customer Risk Assessment	0%					
Transaction Monitoring <b>Your Choice</b>	31.82%					
Sanctions Screening <b>Your Choice</b>	31.82%					
Customer Profile Management	9.09%					
AML/Sanctions Training	13.64%					
Compliance Monitoring and Testing	9.09%					
Remediation Action Management	0%					
Only Basic or Manual Tools	0%					
<b>Total</b>	<b>100 %</b>					

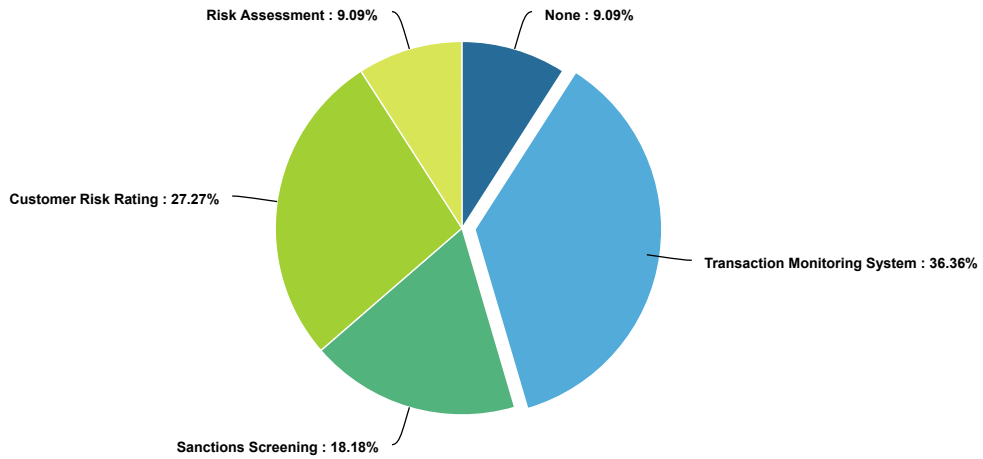
Does senior management at your company allocate sufficient technological resources for the execution of

AML and Sanctions Compliance controls?



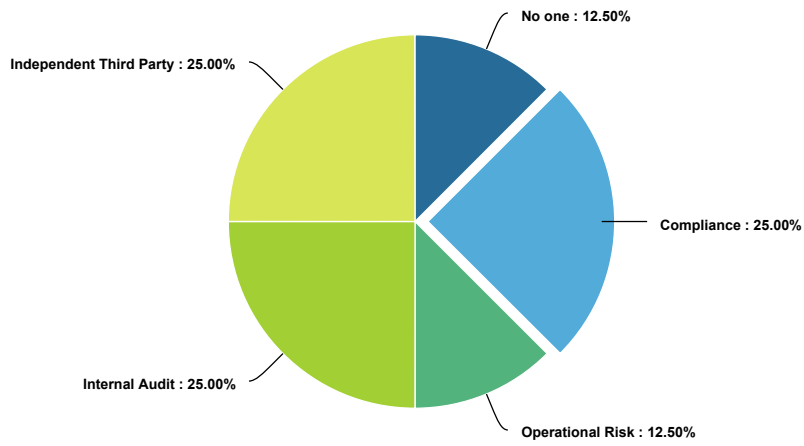
Answer	Percent	20%	40%	60%	80%	100%
Almost No Allocation	0%					
Insufficient Allocation	37.5%	[Progress bar to 37.5%]				
Reasonable Allocation <b>Your Choice</b>	37.5%	[Progress bar to 37.5%]				
High Allocation	25%	[Progress bar to 25%]				
<b>Total</b>	<b>100 %</b>					

For the purposes of model validation, what does your company consider a model? Please select all that apply:



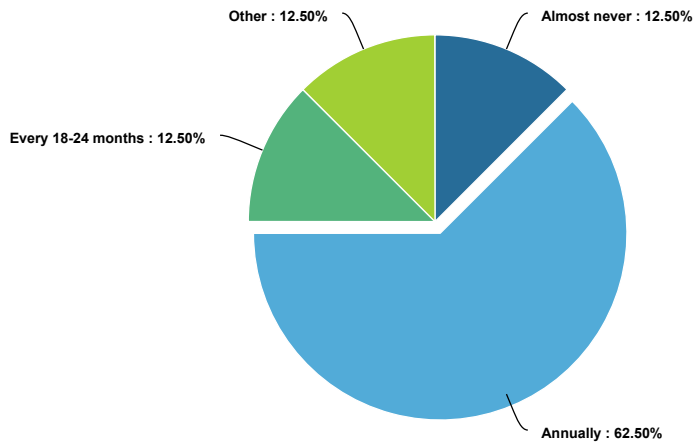
Answer	Percent	20%	40%	60%	80%	100%
None	9.09%	[Progress bar to 9.09%]				
Transaction Monitoring System	36.36%	[Progress bar to 36.36%]				
Sanctions Screening <b>Your Choice</b>	18.18%	[Progress bar to 18.18%]				
Customer Risk Rating <b>Your Choice</b>	27.27%	[Progress bar to 27.27%]				
Risk Assessment	9.09%	[Progress bar to 9.09%]				
Other	0%	[Progress bar to 0%]				
<b>Total</b>	<b>100 %</b>					

Who is responsible for the execution of model validation at your company?



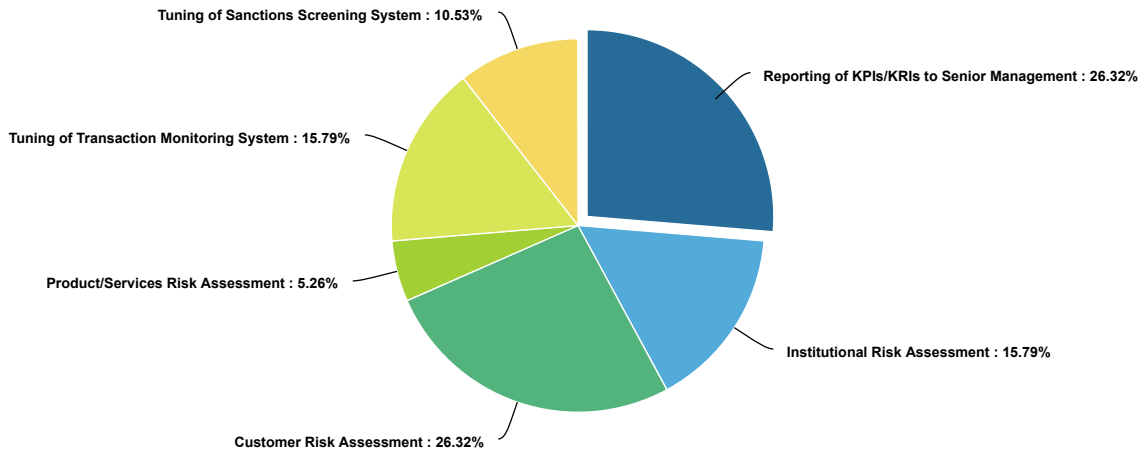
Answer	Percent	20%	40%	60%	80%	100%
No one	12.5%	[Progress bar: 12.5%]				
Compliance	25%	[Progress bar: 25%]				
Operational Risk <b>Your Choice</b>	12.5%	[Progress bar: 12.5%]				
Internal Audit	25%	[Progress bar: 25%]				
Independent Third Party	25%	[Progress bar: 25%]				
Other	0%	[Progress bar: 0%]				
<b>Total</b>	<b>100 %</b>					

How often is model validation performed for any given model?



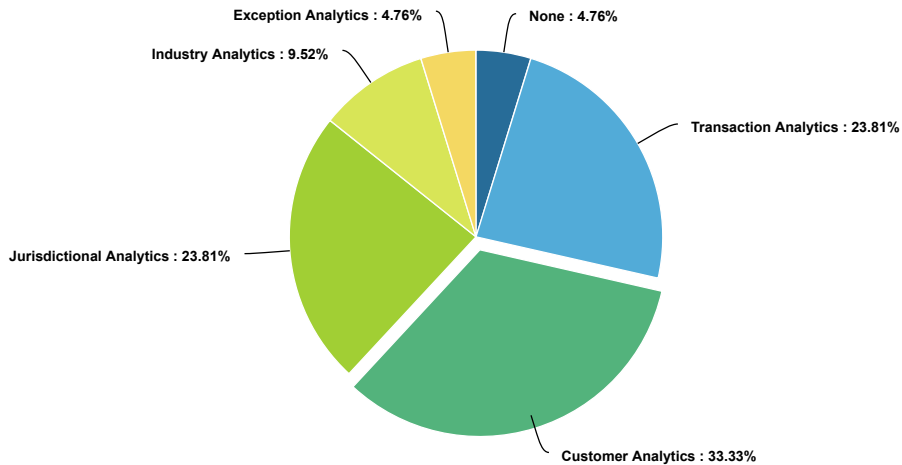
Answer	Percent	20%	40%	60%	80%	100%
Almost never	12.5%	[Progress bar: 12.5%]				
Annually <b>Your Choice</b>	62.5%	[Progress bar: 62.5%]				
Every 18-24 months	12.5%	[Progress bar: 12.5%]				
Other	12.5%	[Progress bar: 12.5%]				
<b>Total</b>	<b>100 %</b>					

At your company, which of the following are supported by data analytics? Please select all that apply:



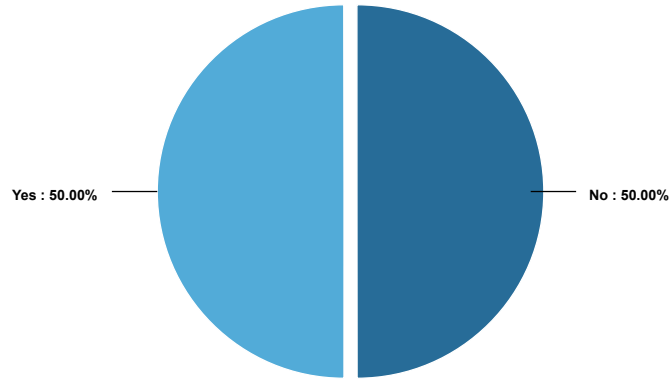
Answer	Percent	20%	40%	60%	80%	100%
None	0%					
Reporting of KPIs/KRIs to Senior Management	26.32%					
Institutional Risk Assessment <b>Your Choice</b>	15.79%					
Customer Risk Assessment <b>Your Choice</b>	26.32%					
Product/Services Risk Assessment	5.26%					
Tuning of Transaction Monitoring System	15.79%					
Tuning of Sanctions Screening System	10.53%					
Other	0%					
<b>Total</b>	<b>100 %</b>					

What types of data analytics are performed by your company to measure, assess and track AML and Sanctions risk? Please select all that apply:



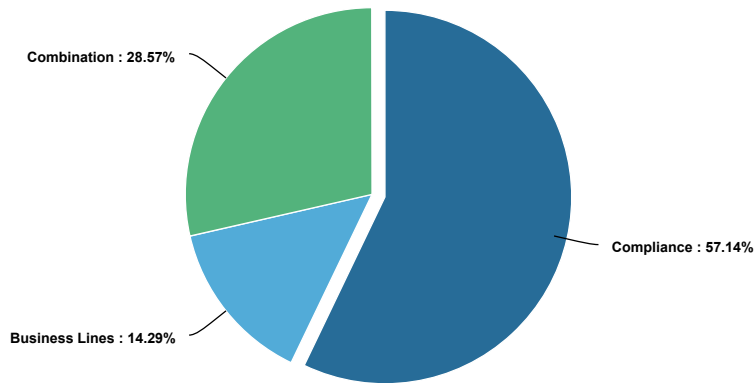
Answer	Percent	20%	40%	60%	80%	100%
None	4.76%					
Transaction Analytics <b>Your Choice</b>	23.81%					
Customer Analytics <b>Your Choice</b>	33.33%					
Jurisdictional Analytics	23.81%					
Industry Analytics	9.52%					
Exception Analytics	4.76%					
Other	0%					
<b>Total</b>	<b>100 %</b>					

Does your institution have a dedicated data analytics team to help measure, assess and track AML and Sanctions risk?



Answer	Percent	20%	40%	60%	80%	100%
No	50%	<div style="width: 50%;"></div>				
Yes <b>Your Choice</b>	50%	<div style="width: 50%;"></div>				
<b>Total</b>	<b>100 %</b>					

Yes, analysis is performed by: [check all that apply]



Answer	Percent	20%	40%	60%	80%	100%
IT	0%	<div style="width: 0%;"></div>				
Compliance <b>Your Choice</b>	57.14%	<div style="width: 57.14%;"></div>				
Business Lines	14.29%	<div style="width: 14.29%;"></div>				
Combination <b>Your Choice</b>	28.57%	<div style="width: 28.57%;"></div>				
Other	0%	<div style="width: 0%;"></div>				
<b>Total</b>	<b>100 %</b>					