

Interim Monitoring System Questionnaire

FOR ALL BANKS AND NON-BANKS

Instructions

In an effort to maintain a continuous assessment of the risk exposures of institutions, the Central Bank of Trinidad and Tobago is requesting management to complete the following questionnaire. All responses to the questionnaire should be based upon activity since the last quarterly submission/visit, or on-site evaluation commencing with quarter ended September 30, 2020.

Institution Name: [Enter here](#)

For Quarter Ended: [Enter effective quarter ending date](#)

1. Describe any significant changes made in the quarter or scheduled to occur during the next quarter and your assessment of the potential impact on the organization. e.g. changes in management/directorship/ownership rise/decrease in share prices, strategic direction, etc.

[Response to be inserted here](#)

2. Have there been any new risk exposures identified? If yes, what assessments have been done and what are the results?

[Response to be inserted here](#)

3. Describe any new products offered and the corresponding levels of activity.

[Response to be inserted here](#)

4. Describe any changes in your management information or IT system, data processors or service providers.

[Response to be inserted here](#)

5. Are there any proposed changes in the financial institution's structure (i.e., any branches to be opened, closed or relocated, mergers, acquisitions, etc.)?

[Response to be inserted here](#)

6. Have you received any consumer complaints and is there any pending litigation? If yes, provide details – number of complaints, action taken, status, potential liability (\$), etc

[Response to be inserted here](#)

7. Describe any compliance training efforts and the individuals or departments to whom the training was provided.

[Response to be inserted here](#)

8. Describe any audit reviews you have performed and any subsequent corrective actions proposed or implemented.

[Response to be inserted here](#)

9. Are there any outstanding matters from previous audit reviews? What are the items and what is being done to address these issues?

[Response to be inserted here](#)

10. Are there any other significant changes in the operations of your institution for the quarter? If so, please provide the information

[Response to be inserted here](#)