

Federal Deposit Insurance Corporation
LARGE-BANK DEPOSIT INSURANCE DETERMINATION MODERNIZATION
(12 CFR § 360.9)
PRE-COMPLIANCE REVIEW QUESTIONNAIRE

INSTRUCTIONS: This questionnaire must be completed in preparation for your upcoming FDIC Large-Bank Deposit Insurance Determination Modernization (12 CFR § 360.9) compliance review. Return the completed questionnaire to the FDIC no later than 45 days from the date of receipt.

SECTION I - GENERAL

1. Case Number	2. CI Submission Date
3. Bank Name	4. FDIC Certificate Number
5. City	6. State
7. Primary Federal Regulator	8. Date of Scheduled Review

9. Provide bank contacts (both general contact, as well as technical contact).

Name	Title	Email	Telephone	Notes

10. Provide bank contacts available to assist with compliance review tests.

Roles	Responsibility	Name	Email	Telephone

SECTION II - SYSTEMS

11. System and infrastructure information. List all following systems (e.g., deposit, loan, general ledger, credit card, and investment/trade systems), if applicable.

System 1	Response
System/application name	
Type of information hosted on the system (deposit/sweep/GL/trade/loan/etc.)	
Software version number	
Hardware information (e.g., Mainframe, Unix, etc.)	
Is it developed and maintained in-house?	<input type="radio"/> Yes <input type="radio"/> No
Is it developed by a vendor then customized and maintained in-house?	<input type="radio"/> Yes <input type="radio"/> No
Is it developed and maintained by a vendor?	<input type="radio"/> Yes <input type="radio"/> No
Does TSP provide full service bureau type of service?	<input type="radio"/> Yes <input type="radio"/> No
TSP contact information	
Production data center physical location	
Disaster recovery data center physical location	

Case Number:

System 2	Response
System/application name	
Type of information hosted on the system (<i>deposit/sweep/GL/trade/loan/etc.</i>)	
Software version number	
Hardware information (<i>e.g., Mainframe, Unix, etc.</i>)	
Is it developed and maintained in-house?	<input type="radio"/> Yes <input type="radio"/> No
Is it developed by a vendor then customized and maintained in-house?	<input type="radio"/> Yes <input type="radio"/> No
Is it developed and maintained by a vendor?	<input type="radio"/> Yes <input type="radio"/> No
Does TSP provide full service bureau type of service?	<input type="radio"/> Yes <input type="radio"/> No
TSP contact information	
Production data center physical location	
Disaster recovery data center physical location	
System 3	Response
System/application name	
Type of information hosted on the system (<i>deposit/sweep/GL/trade/loan/etc.</i>)	
Software version number	
Hardware information (<i>e.g., Mainframe, Unix, etc.</i>)	
Is it developed and maintained in-house?	<input type="radio"/> Yes <input type="radio"/> No
Is it developed by a vendor then customized and maintained in-house?	<input type="radio"/> Yes <input type="radio"/> No
Is it developed and maintained by a vendor?	<input type="radio"/> Yes <input type="radio"/> No
Does TSP provide full service bureau type of service?	<input type="radio"/> Yes <input type="radio"/> No
TSP contact information	
Production data center physical location	
Disaster recovery data center physical location	

Use Additional Information page if you have more than three platforms.

SECTION III - EXEMPTIONS

12. List all ancillary systems that have FDIC approved exemptions.

System Name	Date Exemption Approved	Nature of Exemption	Current Status		System Capability	
			Number of Accounts	Balance (\$)	Is it automated for provisional holds?	Can it create standardized data files?
					<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
					<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
					<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
					<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
					<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
					<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No

SECTION IV - TESTING INFORMATION

13. 12 CFR § 360.9 Compliance Status of Your Deposit System(s)		Response
13.1	Has the system been tested for automated provisional hold capability?	<input type="radio"/> Yes <input type="radio"/> No
13.2	Can the system create the standardized data extract files?	<input type="radio"/> Yes <input type="radio"/> No
13.3	What is the standardized data extract files "as-of" date?	
13.4	Can the system process FDIC inbound files (remove/add holds and debit/credit)?	<input type="radio"/> Yes <input type="radio"/> No
14. Self-assessment Test Information		Response
14.1	What was the result (Pass or Fail) and date of the last self-assessment?	
14.2	Is self-assessment document package available for review?	<input type="radio"/> Yes <input type="radio"/> No

15. Processing Time Information		Response
15.1	What is the processing time, in hours, to calculate and place provisional holds?	
15.2	What is the processing time, in hours, to create standard data extract files?	
15.3	What is the processing time, in hours, to prepare data extract files ready to send to the FDIC?	
16. Data Dictionary		Response
16.1	Do you have a data dictionary that provides mapping information for each and every data field in all five standard data extract files? Please provide.	
17. Standard Data Extract Files		Response
17.1	How many sets of data files will be sent to the FDIC?	
17.2	What is the delimiter used in data files, tab or pipe?	
17.3	What are the deposit account identifiers used?	
18. Secure File Transfer		Response
18.1	What is your preferred secure file transfer protocol to use for the compliance review?	<input type="checkbox"/> FDIC Secure Transfer Portal <input type="checkbox"/> Bank-specific SFTP Mech.
SECTION V - DEPOSIT INFORMATION		
19. Data Files		Response
19.1	Are the names and addresses in the files presented as parsed fields?	<input type="radio"/> Yes <input type="radio"/> No
19.2	If they are presented as unparsed data, does your system carry parsed information?	<input type="radio"/> Yes <input type="radio"/> No
20. IRA Accounts		Response
20.1	Are the IRA accounts identified within the deposit file by either code or part of the style of the account?	
20.2	If IRA accounts are not identifiable, provide a method to identify them.	
21. Beneficiaries		Response
21.1	Does your deposit system carry beneficiaries as part of the data or are they kept on a different system?	<input type="radio"/> Yes <input type="radio"/> No
21.2	Explain how Trust (Revocable and Irrevocable) accounts are treated.	
22. Health Savings Accounts (HSA)		Response
22.1	Does the institution have HSA products? If so, list and describe.	
22.2	On which of the deposit systems are the accounts maintained?	

23. CDs As Investment Instrument on Trade/investment System		Response
23.1	Does the institution have CDs as investment instrument on trade/investment system products? If so, list and describe.	
23.2	On which of the deposit systems are the accounts maintained?	
24. Student Scholarship Accounts		Response
24.1	Does the institution have Student Scholarship Accounts? If so, list and describe.	
24.2	On which of the deposit systems are the accounts maintained?	
25. Foreign Branches		Response
25.1	Does the institution have any deposits at foreign branches? If so, describe.	
25.2	On which of the deposit systems are the accounts maintained?	
25.3	Are these foreign deposits dually payable so that can be paid at either a U.S. or foreign branch office?	<input type="radio"/> Yes <input type="radio"/> No
26. International Banking Facility (IBF)		Response
26.1	Does the institution have International Banking Facility (IBF) products? If so, please list and describe.	
27. Foreign Currency Denominated Deposits		Response
27.1	Does the institution have foreign currency denominated deposits (foreign deposits or domestic deposits)?	<input type="radio"/> Yes <input type="radio"/> No
27.2	Are these reflected in your deposit system(s) as U.S. dollars?	<input type="radio"/> Yes <input type="radio"/> No
27.3	Are these reflected in the deposit file in U.S. dollars?	<input type="radio"/> Yes <input type="radio"/> No
28. Prepaid Cards and/or Gift Cards		Response
28.1	Does the institution issue prepaid cards? If so, list and describe the program managers and associated processors.	
28.2	Does the institution issue gift cards? If so, list and describe the program managers and associated processors.	
29. Credit Cards		Response
29.1	Does the institution issue or service credit cards? If so, detail/describe the volume.	
30. Mortgage T&I Escrow or Commercial Underwriting/Credit Enhancement Held Funds		Response
30.1	Does the institution have any loan customer funds where ownership detail resides on a loan system (e.g., mortgage T&I escrow or commercial underwriting/credit enhancement held funds)?	<input type="radio"/> Yes <input type="radio"/> No

Case Number:

30.2	If yes, what loan system(s) contain customer fund detail?	
30.3	Does the institution have GL-Only loan customer funds? If yes, describe.	
31. Agent-placed Deposits (e.g., Brokered, DTC, CDARS, Promontory, ICS, etc.)		Response
31.1	Does the institution have Agent-placed deposits (e.g., brokered, DTC, CDARS, Promontory, ICS, etc.)?	
31.2	Are these funds GL-Only or on the core deposit application? If so, describe.	
32. Sole Proprietorship/Doing-Business-As (DBA) Accounts		Response
32.1	Does the institution have any sole proprietorship/doing-business-as (DBA) accounts? If so, these accounts should be treated as consumer accounts.	<input type="radio"/> Yes <input type="radio"/> No
33. Charge-off Accounts		Response
33.1	Does the institution have charge-off accounts on the deposit system(s)?	<input type="radio"/> Yes <input type="radio"/> No
33.2	Are these accounts listed as open/active accounts?	<input type="radio"/> Yes <input type="radio"/> No
34. Other Deposits		Response
34.1	Does the institution have any other deposits that is not covered by the above?	
34.2	Does the CI partner with third-party entities that provide deposit account services exclusively online and mobile app, i.e., neo-bank?	

SECTION VI - ACCOUNT INFORMATION

35. Summary Information Sheet (Domestic Deposits)

System 1		Production System		Test Environment	
		As of Date:		As of Date:	
Account Type	System Name	Number of Accounts	TOTAL AMOUNT (\$)	Number of Accounts	TOTAL AMOUNT (\$)
Consumer DDA, NOW and MMDA					
Other Consumer Deposit Accounts					
Non-Consumer DDA, NOW and MMDA					
Other Non-Consumer Deposit Accounts					

Case Number:

System 2		Production System		Test Environment	
		As of Date:		As of Date:	
Account Type	System Name	Number of Accounts	TOTAL AMOUNT (\$)	Number of Accounts	TOTAL AMOUNT (\$)
Consumer DDA, NOW and MMDA					
Other Consumer Deposit Accounts					
Non-Consumer DDA, NOW and MMDA					
Other Non-Consumer Deposit Accounts					

System 3		Production System		Test Environment	
		As of Date:		As of Date:	
Account Type	System Name	Number of Accounts	TOTAL AMOUNT (\$)	Number of Accounts	TOTAL AMOUNT (\$)
Consumer DDA, NOW and MMDA					
Other Consumer Deposit Accounts					
Non-Consumer DDA, NOW and MMDA					
Other Non-Consumer Deposit Accounts					

Use Additional Information page if you have more than three platforms.

Case Number:

Additional Information

