

ONGOING CUSTOMER DUE DILIGENCE

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These items should be collected in order to maintain due diligence. This list is not comprehensive.

ITEM	COMPLETE?	DATE OF COMPLETION	NOTES
Changes in account activity			
Changes in business operations			
Changes in ownership			
Addition of beneficial owners			
Suspicious account activity			
Notification of any law enforcement inquiries or requests, such as criminal subpoenas, National Security Letters (NSL), and USA PATRIOT act section 314(a) requests			
Upswing in negative mention in the media or news			

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