



On-site, Independent AML Review of Agent

Agent # _____ Business Name _____

Location Address _____

Phone _____ Email _____

1. Is the authorized delegate required to register on his/her own? Yes No
2. Is the written AML Guide on-site? Yes No
3. Do all employees who sell money orders know the following terms? Yes No
BSA: Bank Secrecy Act
AML: Anti-Money Laundering
CTR: Currency Transaction Report for more than 10k
SAR: Suspicious Activity Report for 2k or more
Money Order 3k Transaction Log
4. Does the authorized delegate have a designated Compliance Officer? Yes No
Name of the Compliance Officer _____
5. Does the authorized delegate have an Independent Auditor? Yes No
Name of the Independent Auditor _____
6. Does the Compliance Officer and Independent Auditor certify the employees are fully trained? Yes No
7. Has the authorized delegate filed any CTR's or SAR's in the past five years? Yes No
If yes, provide a copy of each filing (must be kept for five years)
8. Does the authorized delegate and employees know it is a crime to share the SAR or CTR information with anyone except a law enforcement agents and Fidelity Express? Yes No
9. Does the authorized delegate properly display the sign with proper notification for complaints and authority as an authorized delegate to conduct business as an agent of Fidelity Express? Yes No
10. Does the agent adequately protect the private information received in the course of business as an authorized delegate of Fidelity Express? Yes No

Auditor Print _____ Sign _____

Agent Print _____ Sign _____

Date _____