

Annual Report Questionnaire

All entities licensed under the Money Transmitter Act (“MTA”), 7 P.S. §6101, *et. seq.* are required to complete this Annual Report Questionnaire in conjunction with the license renewal.

The completed Annual Report Questionnaire and supporting documentation must be submitted to the Department no later than April 15 of the new licensing year.

Mail to:

Pennsylvania Department of Banking and Securities
Bureau of Non-Depository Examinations
Attention: Tim Knopp
17 N Second Street
Suite 1300
Harrisburg, PA 17101

1. Submit the following or upload to NMLS as applicable:
 - a. The most recent audited financial statements of the licensee, including balance sheet, statement of income, statement of stockholder’s equity and statement of cash flow for the preceding year, and notes to the financial statements prepared by an independent certified public accountant.
Note: If the audited financial statements are not available by the April 15 due date, complete the rest of the questionnaire and advise the department as to when the audited financials will be completed. It is expected that these statements will be forwarded to the department within 30 days after receipt by the licensed company.
 - b. The most recent interim financial statements prepared for the licensee (Example: 1st quarter of the new licensing year). The interim statement must be attested to for accuracy by an authorized party for the licensee.
 - c. A written narrative of the financial performance for the past fiscal year. This narrative should be a brief summary of performance as it relates to revenue streams, expenses, change in business lines and extra-ordinary occurrences such as the sale and/or purchases of other companies. If your capital fell below \$500,000 at any time during the period, please provide the dates for which you were undercapitalized (date to date), and your current capitalization level.

- d. A listing any pending litigation which has the potential to impact 10% or more of your outstanding capitalization. Include an explanation along with the maximum potential loss for each.

2. Provide the following:

- a. The total dollar amount of the licensee’s outstanding instruments and transmissions in Pennsylvania only:
 - i. as of the date of the most recent audited financial statement from the previous licensing year submitted for item 1(a), and
 - ii. as of the date of the interim financial statement submitted for item 1(b).
- b. The total dollar amount of the licensee’s outstanding instruments and transmissions globally:
 - i. as of the date of the most recent audited financial statement for the previous licensing year submitted for item 1(a), and
 - ii. as of the date of the interim financial statement submitted for item 1(b).

3. Provide the number and dollar amount for each type of transaction in Pennsylvania and world-wide for the previous licensing year:

	Pennsylvania		World-wide	
	#	\$	#	\$
Money Orders				
Travelers Checks				
Currency transmissions				
Stored Value products				
Other transmittals				

4. Submit proof of surety required and/or a list of deposits and other obligations maintained in lieu of all or part of the corporate surety bond, as authorized by statute. For each deposit, please designate the amount of each deposit, the financial institution in Pennsylvania which is the depository, and the account number.

AFFIDAVIT OF AUTHENTICITY

I understand that by submitting this annual report questionnaire that I warrant and represent that I am duly authorized to execute and submit this annual report questionnaire on behalf of the licensee.

I also certify and understand that the information and statements contained within the annual report questionnaire and any attachments thereto are true to the best of my knowledge, information and belief and are made subject to the penalties of Title 18 Pa.C.S § 4904, relating to unsworn falsification to authorities.

Name and Title

Signature