

## ANNEX 1

### Origin of the suspicious activity reports made during the audited year

	Audited year
A] Total number of alerts generated by the transaction monitoring system	
A.1] Filed alerts	
A.2] Alerts that have resulted in a SAR	
B] Total number of internal suspicious communications reported by the employees of the entity to the Compliance Department, the Internal Control and Communication Body, or equivalent	
B.1] Filed internal suspicious communications	
B.2] Internal suspicious communications that have resulted in a SAR	
C] Total number of operations analysed by the Compliance Department or by Internal Control and Communication Body (besides the ones derived from the alerts generated by the monitoring system and the internal suspicious communications)	
C.1] Filed operations	
C.2] Operations that have resulted in a SAR	
<b>Total SARs reported to the UIFAND</b>	

## ANNEX 2

**Subsidiaries, branches or delegations located abroad**

**Table 2.1.** *General data*

	Entity name	Subsidiary, branch, delegation, or others, located abroad (specify)	Jurisdiction	Equivalent jurisdiction? (Yes/No)	Audited in terms of AML/CFT? (if affirmative, state the date of the last report)	Activity	% of the bank's participation
1							
2							
...							
N							

**Table 2.2.** *AML/CFT supervision and control*

[illegible]

## ANNEX 3

### Status of the recommendations issued by the auditor in relation to the analysis of previous audit reports.

	Audited exercise	Pending recommendations from previous reports	Current status of the recommendation	Comments - actions carried out or in course of implementation	Timeline for the implementation of the recommendation <sup>1</sup>
1			<input type="checkbox"/> Adopted <input type="checkbox"/> Partially adopted <input type="checkbox"/> Not adopted		
2			<input type="checkbox"/> Adopted <input type="checkbox"/> Partially adopted <input type="checkbox"/> Not adopted		
...			<input type="checkbox"/> Adopted <input type="checkbox"/> Partially adopted <input type="checkbox"/> Not adopted		
N			<input type="checkbox"/> Adopted <input type="checkbox"/> Partially adopted <input type="checkbox"/> Not adopted		

<sup>1</sup> Only applicable to recommendations that are “partially adopted” or “not adopted”.

## ANNEX 4

**Table 4.1. Status of the recommendations issued by the UIFAND in relation to the analysis of previous audit reports.**

	<b>Audited exercise</b>	<b>Pending recommendations from previous reports</b>	<b>Current status of the recommendation</b>	<b>Comments - actions carried out or in course of implementation</b>	<b>Timeline for the implementation of the recommendation<sup>1</sup></b>
<b>1</b>			<input type="checkbox"/> Adopted <input type="checkbox"/> Partially adopted <input type="checkbox"/> Not adopted		
<b>2</b>			<input type="checkbox"/> Adopted <input type="checkbox"/> Partially adopted <input type="checkbox"/> Not adopted		
<b>...</b>			<input type="checkbox"/> Adopted <input type="checkbox"/> Partially adopted <input type="checkbox"/> Not adopted		
<b>N</b>			<input type="checkbox"/> Adopted <input type="checkbox"/> Partially adopted <input type="checkbox"/> Not adopted		

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<sup>1</sup> Only applicable to recommendations that are “partially adopted” or “not adopted”.

**Table 4.2. Status of the recommendations made by the UIFAND following an on-site inspection.**

	Date of the on-site inspection report	Description of the recommendation	Current status of the recommendation	Comments - actions carried out or in course of implementation	Timeline for the implementation of the recommendation <sup>1</sup>
1			<input type="checkbox"/> Adopted <input type="checkbox"/> Partially adopted <input type="checkbox"/> Not adopted		
2			<input type="checkbox"/> Adopted <input type="checkbox"/> Partially adopted <input type="checkbox"/> Not adopted		
...			<input type="checkbox"/> Adopted <input type="checkbox"/> Partially adopted <input type="checkbox"/> Not adopted		
N			<input type="checkbox"/> Adopted <input type="checkbox"/> Partially adopted <input type="checkbox"/> Not adopted		

<sup>1</sup> Only applicable to the recommendations that are “partially adopted” or “not adopted”.