



# 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 \_\_\_\_\_