



Nonbank Financial Institution Questionnaire

Fill out this form to provide BECU information about the business operations of a Nonbank Financial Institution (NBFi). A business owner or authorized signer must complete this form.

NBFIs are institutions that offer various financial services but are not classified as banks or credit unions. An NBFi may be classified as a Money Services Business (MSB), but this determination depends on the types of financial services offered.

You typically need this form when you apply for a new business account, or if it becomes apparent that your business is an NBFi during our due diligence review.

Step 1. Business Information

Legal Business Name	Doing Business As (DBA) (if applicable)
Business TIN / EIN	

Step 2. Business Operations

Does the business involve any of the following?

Check all that apply.

- Casinos, card clubs, or gaming establishments (with annual revenues greater than \$1 million)
- Insurance
Is the business a state-regulated insurance company? Yes No
- Loans or finance
- Credit cards system operation
- Precious metals, stones, or jewels (with annual purchases or sales greater than \$50,000)
- Pawn brokerage
- Owning or operating ATM(s)
- Travel agency
- Telegraph company
- Vehicle sales (automobiles, airplanes, or boats)
Does the business provide financing? Yes No
- Real estate closing and settlement

Step 2. Business Operations (continued)

- Securities, futures commissions, or commodity trading. **Check all that apply.**
- Issuer of registered securities
 - Investment company registered with the Securities and Exchange Commission (SEC)
 - Investment adviser registered with the SEC
 - Registered exchange or clearing agency
 - Other organization registered with the SEC
 - Registered with the Commodity Futures Trading Commission (CFTC)
 - None of the above (describe below)
- Federal, state, or local government agency carrying out a duty or power of a business described above
- None of the above

Step 3. MSB Business Operations

Does the business involve any of the following? **Check all that apply.**

A principal is a company providing one or more of the following services. An agent is a company empowered to act on behalf of the principal to provide one or more of the following services.

- Foreign currency exchange
Do you act as a Principal or Agent? Principal Agent
- Issuer or seller of money orders
Do you act as a Principal or Agent? Principal Agent
- Transmit money electronically from one location to another on your customer's behalf
Do you act as a Principal or Agent? Principal Agent
- Provide or sell prepaid access to funds, such as gift cards or other devices used to transfer value
Do you act as a Principal or Agent? Principal Agent
- Administrator of virtual currency
- Dealer in foreign exchange
- Check cashing
Do you act as a Principal or Agent? Principal Agent
- Issuer or seller of traveler's checks
- U.S. Postal Service
- None of the above

Step 3. MSB Business Operations (continued)

Do you use other financial institutions outside of BECU for MSB operations?

- Yes, I have an account elsewhere for MSB activity.
 No, I do not have an account elsewhere for MSB activity.

If applicable, what financial institution(s) do you use for MSB operations?

Step 4. Business Registration

Is the business registered with the U.S. Financial Crimes Enforcement Network (FinCEN) as an MSB?

- Yes No

If yes, provide MSB registration number:

If yes, provide state registered in:

Is the business registered with the Department of Financial Institutions (DFI)?

- Yes No

If yes, provide your NMLS ID:

Is the business registered with Financial Industry Regulatory Authority (FINRA)?

- Yes No

If yes, provide your broker number:

Does the business have a documented Bank Secrecy Act / Anti-Money Laundering (BSA/AML) program?

- Yes No

Step 5. Loan/Finance

What kind of financing is offered?

- In-house Third party lender(s) N/A

What forms of payments are accepted?

- Cash Check Electronic Transfer Other _____

Step 6. Agreement

By signing below, you certify that you have personally verified and confirmed that all information provided and displayed in this form is accurate, complete, true, and submitted for the purpose selected above. You understand that BECU will rely on such information in BECU's dealings with you.

Name of Account Signer Completing Form

Signature of Account Signer Completing Form

Date

If not submitting through DocuSign, you may deliver the completed form to any BECU location, email to memberduediligence@becu.org, fax to 206-805-2259, or mail to the address below:

BECU, Attn: M/S 1062-1, P.O. Box 84707, Seattle, WA 98124-9750