

January 2006
Department of the
Treasury FinCEN

NOTICE for PURPOSES of SUBSECTION 314(b) of the USA PATRIOT ACT and 31 CFR 1010.540



▶ Please type or print. This is a fillable form
Previous editions will not be accepted after February 1, 2006

1 Check the box that applies: a Initial notice b Renewal

Part I Financial Institution or an Association of Financial Institutions (see instructions).

2 Financial institution's name (See instructions)		3 EIN	
4 Address	5 City	6 State	7 ZIP code
8 Indicate the financial institution's primary regulator by checking the appropriate box			
a <input type="checkbox"/> CFTC b <input type="checkbox"/> FDIC c <input type="checkbox"/> FRB d <input type="checkbox"/> NCUA e <input type="checkbox"/> OCC			
f <input type="checkbox"/> OTS g <input type="checkbox"/> IRS h <input type="checkbox"/> SEC i <input type="checkbox"/> Other (list) _____			
9 If filing as an association of financial institutions indicate the number of members in the box to the right.			

Part II Point of contact

The following person is the point of contact as authorized under subsection 314(b) of the USA PATRIOT Act and 31 CFR 1010.540		10 First and last name and title of person to contact	
11 Address	12 City	13 State	14 ZIP code
15 Telephone number () - -	16 Fax number () - -	17 e-mail address	
18 Name and title of approving official	19 Signature of approving official	20 Date of signature MM / DD / YYYY	

Part III Form completion instructions

The financial institution specified above is a "financial institution" as such term is defined in 31 CFR 1010.540(a)(1), or the association specified above is an "association of financial institutions" as such term is defined in 31 CFR 1010.540(a)(2).

The financial institution or association specified above intends, for a period of one (1) year beginning on the date of this notice, to engage in the sharing of information with other financial institutions or associations of financial institutions regarding individuals, entities, organizations, and countries, as permitted by subsection 314(b) of the USA Patriot Act of 2001 (Public Law 107-56) and the implementing regulations of the Department of the Treasury, Financial Crimes Enforcement Network (31 CFR 1010.540).

The financial institution or association of financial institutions specified above has established and will maintain adequate procedures to safeguard the security and confidentiality of such information.

Information received by the above named financial institution or association pursuant to section 314(b) and 31 CFR 1010.540 will not be used or disclosed for any purpose other than as permitted by 31 CFR 1010.540(b)(4).

Item 1 - Check appropriate box. If this notice is being submitted as a renewal (one year from initial notice or prior annual renewal), the notice must be received at FinCEN prior to the one-year expiration date.

PARTS I & II

Individual filers: Complete items 2 through 20. Enter "N/A" in item 9.

Association filers: The financial institution filing for the association will complete items 2 through 20. A list of the association's members must be attached to this notice.

The association list must include each member's name (item 2), and EIN (item 3).

Item 18 - This must be a senior official of the financial institution with the authority to obligate the financial institution or the association to this action.

PART III

1. For assistance in completing this notice or for questions regarding section 314(b), contact the FinCEN Regulatory Helpline's 314 Program Office at (811) HGI-HFI E

2. Mail the completed and signed notice, with the attached association list if applicable, to:

Department of the Treasury
Financial Crimes Enforcement Network
Mail Stop 100
P.O. Box 39
Vienna, VA 22183

The completed form and association list may also be sent by facsimile to 703-905-3660.