**Quarterly Interim Monitoring Report (QIMR)**

**FOR ALL LICENSEES UNDER THE FINANCIAL INSTITUTIONS ACT, 2008**

**Authority**

The QIMR is being issued pursuant to section 78 of the Financial Institutions Act, 2008 (FIA), which states inter alia that *“the Central Bank may require a licensee….to furnish such information in such form and within such period of time as the Central Bank may require.”*

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Instructions**

The QIMR facilitates a continuous assessment of the risk exposures of regulated financial institutions. The Central Bank of Trinidad and Tobago (CBTT) requires management to complete the following questionnaire. Licensees are advised that only actual activity which took place in the last quarter and scheduled activity for the next quarter should be included in the Report.

**Reporting Form**

**Institution Name**: **(Select from Dropdown Box)** Choose an item.

**Month Year**

**For Quarter Ended: (Select from Dropdown Boxes)** Choose an item.Choose an item.

1. Describe any significant events or changes made in the quarter or scheduled to occur during the next quarter and your assessment of the potential impact on the organization. e.g. changes in strategic direction, etc. Insert response here
2. Describe any material new or emerging risk exposures identified during the quarter (such as credit, market, operational, liquidity, cyber, AML, climate, legal or reputational risks). Please detail the nature and amount of each new or emerging material risk exposure(s) and implications for capital and/or liquidity. Also describe the measures in place, or to be put in place to manage the risk Insert response here
3. Describe any products or services introduced or amended over the quarter that were NOT considered new or materially different products and services. Insert response here
4. Describe, where applicable, any changes to your management information or IT system, data processors or service providers. Insert response here
5. Describe any planned changes to the financial institution’s corporate structure being considered by way of mergers, acquisitions, divestments, restructurings etc. Insert response here
6. Indicate the number and value of consumer complaints received in the last quarter. Is there any pending litigation? If yes, provide details – number of complaints, action taken, status, potential liability ($), etc. Insert response here
7. Describe any AML/CFT/CPF and compliance training conducted, and the number and category of individuals trained, during the last quarter. Insert response here
8. Provide a list of any audit reviews performed during the reporting period. Insert response here
9. Describe any outstanding matters from previous audit reviews and the actions being taken to address these matters? Insert response here
10. Describe any material new, or amendments to existing, third party agreements or contracts entered into during the last quarter? Insert response here

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:

Name of Officer / Designate:

**Official Stamp of the licensee**