

7. a) Does the personnel of the institution include an auditor? Yes No
 If so, is he directly responsible to the board of directors? Yes No
- b) Did the auditor participate in making this examination? Yes No
- c) Did any active officer or employee, other than members of the auditing department staff, assist the committee in making its examination? Yes No
 If so, did any such officer or employee prove or review work of any department which he supervises or in which he is normally engaged? Yes No
- d) Was an outside accounting firm or accountant employed to assist in making this examination? Yes No
 If so, state name of firm or accountant:
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8. Did this examination include:
- a) Physical count and evaluation of assets and collateral? Yes No
- b) Reconcilement of balances due from banking institutions? Yes No
- c) Proofs of asset and liability accounts? Yes No
9. Were all asset or collateral not in the physical possession of the institution appropriately accounted for at this examination? Yes No
10. Is the adequacy of insurance protection passed upon at least annually by the board of directors or the executive committee? Yes No
11. Has there been a defalcation of any nature since the previous directors' examination? Yes No
 If so, have the pertinent facts been reported to the Superintendent of Financial Services [if required under Superintendent's Regulations Part 300]? Yes No
12. Does the institution exercise trust functions pursuant to Section 100 of the Banking Law? Yes No
 If so, answer the questions on the [Trust Examination and Questionnaire](#) pages.