



**Financial Crimes Enforcement Network  
Department of the Treasury**

October 17, 2006

To update, change, add, or delete your financial institution's point of contact information on FinCEN's distribution list for receiving Section 314(a) Information Requests, you should contact your primary federal regulator or self regulatory organization. Financial Institutions subject to supervision by one of the five Federal "banking" regulators should also provide information for Section 314(a) points-of-contact on the institution's quarterly Call or Thrift Financial Report.

The following items must be provided to update or add your financial institution's POC information: **financial institution name and charter number or other identifier; point of contact name and title, mailing (street number, P.O. Box, city, state and zip code) and e-mail addresses; and telephone and facsimile numbers.**

Please find your institution's primary federal regulator or self regulatory organization in the below list and forward the above information to them.

**Board of Governors of the Federal Reserve System**

For Point of Contact Changes or Additions:

e-mail: [patriotact@frb.gov](mailto:patriotact@frb.gov) or

fax: (202) 736-5641

For Questions:

telephone: Laurie A. Bender, Senior Special Anti-Money Laundering Examiner at (202) 452-3794

**Commodity Futures Trading Commission**

Contact information:

E-mail: [AMLstaff@cftc.gov](mailto:AMLstaff@cftc.gov)

Fax: (202) 418-5528

Questions: Helene D. Schroeder, Special Counsel, Division of Clearing and Intermediary Oversight at (202) 418-5424

**Federal Deposit Insurance Corporation**

Contact information:

All changes must be made by the bank through the quarterly Call Report or by filing an amended Call Report

(800) 688-FDIC; (800)688-3342

E-mail: [insurance-research@fdic.gov](mailto:insurance-research@fdic.gov)

Fax: (202) 898-3627

Questions: Anti-Money Laundering Section at (202) 898-6783

E-mail: [fdicadvisory@fdic.gov](mailto:fdicadvisory@fdic.gov)

## **National Credit Union Administration**

### ***Contact information:***

All changes must be made through quarterly Call Report. Update your most recent Call Report and request it be loaded to the NCUA host system through normal channels. For federal credit unions - your NCUA district examiner. For state credit unions - your state regulator

### ***Questions - Federal Credit Unions:***

Contact your NCUA district examiner. If you cannot locate your examiner, contact the NCUA regional office that oversees your state. NCUA regional office contact information is posted on the NCUA web site, <http://www.ncua.gov/>. From the NCUA home page, select About NCUA, then select Directory, scroll to the bottom of the page. Email and telephone contact information is shown for each region. A direct link follows: [http://www.ncua.gov/AboutNCUA/ncua\\_directory.html](http://www.ncua.gov/AboutNCUA/ncua_directory.html)

If you are unsure which region supervises your state, click on the region's name and a list of supervised states will be shown.

### ***Questions - State Chartered Credit Unions:***

Contact your state regulator. Links to the web-sites of many state regulators are included on NCUA's web site, <http://www.ncua.gov/>. From the NCUA home page, select Other Resources at the bottom of the page. A direct link follows: <http://www.ncua.gov/OtherResources/financial.htm>

## **National Futures Association:**

### **Contact Information:**

E-mail: [AML@nfa.futures.org](mailto:AML@nfa.futures.org)

Fax: (312)781-1516

Questions: Valerie Kretschmer, Compliance Department at 312-658-6588

## **NASD**

### **Contact information:**

For changing POCs or adding a new name, NASD Members must go the NASD Contact at [https://regfiling.nasd.com/Contacts/NCS\\_Contacts.aspx](https://regfiling.nasd.com/Contacts/NCS_Contacts.aspx)

Fax: (202) 728-8341

Questions: Karin Marshall (202) 728-6954

## **New York Stock Exchange (NYSE)**

### **Contact Information:**

E-mail: [SKasprzak@NYSE.com](mailto:SKasprzak@NYSE.com)

Fax: (212) 656-2068

**Office of the Comptroller of the Currency**

All changes must be made through the quarterly Call Report or by filing an amended Call Report.

Fax: (202) 874-5301

Additional Information: OCC Alert 2004-6 (<http://www.occ.treas.gov/Alt1st04.htm>)

Questions: James F. Vivenzio, Special Assistant to the Deputy Chief Counsel at (202) 874-5200.

**Office of Thrift Supervision**

Contact information:

All FinCEN Point of Contact changes must be made using the EFS (the OTS Electronic Filing Software) by accessing the FinCEN "tab" from the system contacts drop down menu.

Additional Information: 314(a) Contact Updates

<http://www.ots.treas.gov/pagehtml.cfm?catNumber=272>

Questions: Philip D. Magathan, FCR, CFE, Federal Compliance Examiner at (202) 906-6012

E-mail: [usap.contact@ots.treas.gov](mailto:usap.contact@ots.treas.gov)

Fax: (202) 906-6518

**Financial Crimes Enforcement Network**

E-mail: [sys314a@fincen.treas.gov](mailto:sys314a@fincen.treas.gov)

Fax: (703) 905-3660

Questions: 314 Program Office at (800) 949-2732, Option 2