

**Financial Inspections Pre-inspection
Documentation Lists
(Foreign Bank Branch Version)**

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Financial Services Agency, Inspection Bureau**

SAMPLE ONLY

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General Guidelines

1. Basic Policy

With relation to the undertaking of financial inspections, documentation that inspectors require from financial institutions to be inspected can be broadly divided into two types: “pre-inspection documentation” as requested prior to the inspection (or immediately after inspector’s arrival at the site of inspection) and “supplemental documentation,” as may be required during the inspection process.

Recently, “Financial Inspection Basic Guidelines” were established, and the following series of rules have been adopted for practices surrounding both pre-inspection documentation and additional documentation. Principally, the following four rules apply:

- (1) As a general rule, utilize only existing documentation.
- (2) As long as documentation contains the necessary information there is no preferred format.
- (3) It is acceptable to submit documents on electronic media, or have existing documents ready for review at the inspection venue, if this does not interfere with progress of the inspection.
- (4) The submission deadline shall be set taking into consideration the capacity to comply and current workload of the financial institution.

Following these guidelines, this document lists the minimum standard pre-inspection documentation deemed to be absolutely necessary in accomplishing inspections of foreign bank branches.

Accordingly, this document should be viewed as no more than a standard guideline.

2. General Guidelines

- (1) This document outlines standard guidelines for pre-inspection documentation to be requested by the chief inspector prior to or soon after the commencement of the on-site inspection of a foreign bank branch.
- (2) The chief or deputy-chief inspector, taking into consideration the size and nature of the financial institution being inspected, may make changes to the pre-inspection documentation required (adding or deleting documents) or alter the time frame for delivery as deemed necessary.