Getting Started with SES

The following information and subsequent form are intended for State Regulatory Agencies to review and complete as part of their initial commitment to adopting the State Examination System. Financial Institutions who wish to express interest in the examination process with SES should contact their regulatory agencies directly.

Part 1: Contact Information

For follow-up purposes, please provide the following information for the individual at the Agency responsible for the adoption and implementation of SES

First Name	
Last Name	
Email	
Phone Number	
Title	
State Agency Name	
Role in the Supervision Process (if any)	

Part 2: Initial Supervisory Activity

**If your agency is interested in only using the Complaints function of SES, please skip to Part 3. If your agency is interested in using SES for both Supervisory Activity and Complaints, please continue on to Part 2.*

Thinking <u>in terms of the initial Supervisory Activity</u> the agency plans to conduct using SES, please answer the following questions.

Target Start Date for Initial Supervisory Activity (SA) in SES

Select Industry for SA (select all that apply) ☐ Consumer Finance ☐ Debt ☐ Mortgage ☐ Money Services

Plans to conduct a multi-state exam (check box if Yes) ☐

If yes, please list the other agencies participating

Part 3: Complaints Functionality

Agency Interest in Complaints Function ONLY (check box if Yes) ☐

Target Start Date for Complaints Activity in SES

Select business type(s) for Complaints Activity (select all that apply)

☐ Auction
☐ Credit Union
☐ Commercial Bank
☐ Consumer Finance
☐ Debt
☐ Money Service Business
☐ Mortgage Origination
☐ Mortgage Servicing
☐ Technology Service Provider
☐ Trust

Contact information for person at agency responsible for Complaints implementation if different from that listed in Section 1.

First Name

Last Name

Email

Phone Number

Part 4: Agency/Staff Training

Using the Agency User Roles Descriptions (include hyperlink to attached PDF), and again thinking in terms of the Supervisory Activity the agency plans to conduct in SES, please complete the following:

Estimated Staff Training Size for Account Admin (minimum of 2/maximum of 5)

Estimated Staff Training Size for Staff Director/Staff User

Estimate Staff Training Size for Examiner/Examiner in Charge/Examiner Reviewer

Once complete, select the File drop-down above and select "Save As", then add the name of your Agency on to the file name. Once saved, send the form by email to RUG@csbs.org.

Once submitted, the State Relations Team will schedule a follow up call to review the on-boarding project and discuss/ assign pre-onboarding tasks.

Questions or concerns? Contact the Regulatory User Group at RUG@csbs.org