

OTS considers the following applications to contain an issue of law or policy that require concurrent processing by the OTS Regional Office and OTS-Washington. Therefore, if an applicant files any of the application types listed below, the applicant should submit the appropriate number of copies of the filing to the applicable OTS Regional Office and the Applications Filing Room (AFR), Office of Thrift Supervision, 1700 G Street, N.W., Washington, D.C. 20552. Applications and/or notices not listed below may be processed solely by the Regional Office and do not need to be filed with the AFR. If OTS later deems any such filings to present such issues of law or policy, the Regional Office will notify the applicant that the submission must be concurrently processed by the OTS Washington Office and will direct the applicant to file the appropriate number of copies with the AFR.

The following applications must be filed in both the Region and with the AFR:

- A. Applications filed under the acquisition of control regulations, 12 C.F.R. Part 574, the Bank Merger Act, 12 U.S.C. § 1828(c), or the transfer of assets regulations, 12 C.F.R. § 563.22(c), as follows:
  - 1. Applications involving foreign acquirors that have not previously received OTS approval under Part 574;
  - 2. Applications by diversified companies, insurance companies, investment companies, pension funds, investment advisors, securities firms, and credit unions;
  - 3. Applications that involve hostile or contested acquisitions, opposition proxy solicitations or other potential acquisitions where there is a competing acquiror for a savings association;
  - 4. Applications for qualified stock issuances;
  - 5. Applications for approval of material waivers of the required provisions for standard rebuttal of control or action in concert filings;
  - 6. Applications raising significant competitive factor issues, including, but not limited to transactions in which the Department of Justice, Federal Trade Commission, or the Federal Reserve Board object to any aspect of the proposed transaction, or which otherwise result in significant post-transaction market concentrations;
- B. Applications for permission to organize a savings association;
- C. Applications by savings associations that have been approved to operate as limited purpose institutions to expand their activities beyond those previously approved;
- D. Applications for mutual holding company reorganizations and minority stock issuances filed under Part 575;
- E. Applications for mutual to stock conversions filed under Part 563b;
- F. Applications filed by a savings association under Part 559 for a subordinate organization to engage in an activity that is not preapproved under Part 559.4;
- G. Applications involving any foreign activity of a savings association or a subordinate organization of a savings association;

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- H. Applications requesting approval of waivers of statutes; regulations; OTS policy as set forth in bulletins; memorandums or handbooks; or significant application requirements;
  - I. Application for the modification or revocation of any condition of approval imposed on an application that was not approved on a delegated basis;
  - J. Applications for charter and bylaw amendments with nonroutine anti-takeover provisions, or nonstandard indemnification provisions;
  - K. Applications by or involving persons subject to a pending notice of charges or formal investigation;
  - L. Applications for Management Interlock exceptions under Part 563f;
  - M. Applications involving approval of non-cash contributions or leveraged buyouts; and
  - N. Unique or novel branch applications.