



FEDERAL HOUSING FINANCE BOARD

Membership Data Reporting Instructions

For the Federal Home Loan Banks

MEMBERSHIP DATA REPORTING INSTRUCTIONS

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MEMBERSHIP DATA REPORTING INSTRUCTIONS

General Instructions

A. Organization of these Instructions

These instructions apply to the data elements contained in the Membership System.

B. Overview of the Membership System and Database

The Membership System was developed to serve as a central repository for information collected by the Federal Housing Finance Board (Finance Board) from the Federal Home Loan Banks (Banks) about member financial institutions and housing associates. The Membership System should be used in conjunction with the rules and regulations governing the Bank System.

The Membership Database maintains general and financial information about each of the more than 8,000 members of the Bank System, including membership status and holdings of advances and Bank capital stock. The Membership Database also includes information about housing associates certified by a Bank. This information is collected each quarter for continuing members and housing associates. Information concerning members that join or leave a Bank or experience changes in membership status is reportable when the change takes place. Similar information is maintained for housing associates. Information in the Membership Database is used by Finance Board staff to regulate the Bank System and also is available to the Banks, Office of Finance, and occasionally to other Federal agencies.

The Membership System acts as the interface to the Membership Database and handles 3 basic functions:

- **Maintains Member profile information and status changes**

The Membership System tracks profile information including member name, address, membership type, district, and date the institution became a member. Similar information is maintained for housing associates. The Membership System also tracks status changes including information related to mergers, voluntary withdrawals, Principal Place of Business (PPB) changes, charter relocations, and charter conversions.

- **Provides for the assignment of FHFB IDs for new approvals**

Each member and housing associate in the Membership System has a unique Finance Board ID (FHFB ID) for tracking. All financial institutions approved by the Banks for membership must receive an FHFB ID before they can buy capital stock and officially become a member of a Bank. Housing Associates also must receive an FHFB ID before obtaining advances from a Bank.

- **Maintains the quarterly membership financial information reported by the Banks**

Financial information collected from the Banks includes details about member advances, commitments, and capital stock outstanding and housing associate advances.

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C. Data Elements and Frequency of Reporting

Required Elements

The elements that Banks are required to report and the Internet screen (if any) that would be used to report them to the Finance Board are found in Appendix Two to these instructions.

Quarterly Reporting

Quarterly submissions are due no later than 5 business days after the close of each quarter and should be submitted using the *Batch Load File Specification* provided in Appendix One to these instructions. The Bank user will receive an error message regarding any membership information that does not upload to the Membership System. Common errors include an incorrect FHFB ID and no membership date for new approvals.

If a member's status in the Bank System is terminated during the quarter (e.g., by a merger), the Bank is still required to include the terminated member in the quarterly detail batch submission. Terminated members are assigned a status of *inactive* and are reported in one of two ways: *inactive reporting* or *inactive non-reporting*. For *inactive reporting*, any advance holdings and capital stock outstanding should still be provided. A terminated member does not become *inactive non-reporting* until all its advances have been repaid and its capital stock repurchased by its Bank. At such time, advances and capital elements would be reported as zeros.

Note that until a Bank's capital plan is implemented, all capital stock should be reported under PreConversion Stock. After implementation, capital stock should be reported under Class A and/or Class B. In addition, the membership date is required for accepted new approvals with initial capital stock purchases. The Membership System will ignore membership dates provided on subsequent submissions.

Interim Reporting

Banks should update information in the Membership System whenever a change to the status of a member or housing associate takes place. Such updates must be completed by the earlier of the end of a quarter or 5 business days following any events that cause such changes, with the exception of New Approvals. New Approvals should be reported within 3 business days of any such request a Bank receives.

Interim reporting is accomplished by the use of various Internet screens/menu options provided by the Finance Board. *Each screen/menu option fulfills a specific function (e.g., New Approvals) and is listed below in conjunction with the function that requires it.* However, some options are not available to all users. Note that several of the screens are further subdivided into multiple screens. For instance, the New Approvals screen will appear somewhat different depending upon whether the entity is a credit union, bank, housing associate, insurance company, or savings association.

MEMBERSHIP DATA REPORTING INSTRUCTIONS

1. New Approvals (*NewApprovalIdentifyingInformation...*)

Within 3 business days of a decision by any Bank to approve a new member financial institution or certify a housing associate, the Bank must use this menu option to submit requests for an FHFB ID. In order for the process to advance, the Bank must correctly identify institution and charter type. If the institution's regulatory ID (*e.g.*, OTS Docket number for savings associations and Credit Union Charter Number for credit unions) is provided, the form will pre-populate with information from Plansmith's FIRE. However, all information (especially institution names, because the name input here will be used in all subsequent reports and view screens) should be edited as necessary to ensure consistency. (For example, Plansmith's FIRE abbreviates some names and leaves off the term "credit union" at the end of all credit unions). Once the Finance Board has accepted the new approval transaction, the Bank user will receive an email notification with the new FHFB ID.

In addition to the online submission, each Bank is required to fax the decision resolution to the Finance Board in order for membership approval to proceed. A Bank must also fax the certification for a new housing associate.

2. New Approval Withdrawal (*NewApprovalWithdrawal...*)

New Approval Withdrawal is used to terminate the FHFB ID of an accepted new approval if the member does not purchase the minimum required capital stock within 60 days of the new approval date.

3. Member/HA Edit (*Member-HAEdit...*)

Particular changes in information pertaining to a member such as name, holding company data, address within district, insurer, and community financial institution (CFI) status can be edited using this menu option. However, when submitting a name change, the Bank user must ensure that the change is only a change in name and not also a charter change. If a change in charter is involved (*e.g.*, State to Federal) the Bank must use the Submit Charter Conversion menu option instead.

4. Member Notes (*MemberNotes*)

This menu option allows a Bank user to enter any other relevant information regarding a member or housing associate.

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5. Merger and Liquidation (*Merger-LiquidationMemberSearch...*)

Using this menu option, Banks may terminate membership due to a merger or liquidation. By definition, the merger date is not when the Bank redeems capital stock but when either the member's charter terminates or the institution's regulator reports the merger. Information regarding the acquiring institution such as its FHFB ID (if a Member), name, institution type, and regulator ID is required.

6. Charter Conversion (*CharterConversion...*)

Banks may report the conversion of the charter of a member (such as from a savings bank to a commercial bank) using Charter Conversion. This menu option should also be used to report a conversion from a State or Federal charter. For example, when a credit union converts from a Federal to a State charter, it receives a new NCUA charter ID. Information regarding the new name, institution type, and regulator ID for the Member is required. Regardless of whether or not the regulator ID remains the same, all fields must be populated.

7. Charter Relocation (*CharterRelocation...*)

This menu option is used to relocate the charter of a member if the charter moves across the Bank district boundary. In order for the charter relocation transaction to be accepted by the Finance Board, the new (gaining) district must also submit a New Approval for the member.

8. Principal Place of Business (*PrincipalPlaceBusiness(PPB)...*)

This option is used to designate the Principal Place of Business (PPB) of a member or housing associate whether within the current district or out of district. However, Banks are still required to provide documentation in writing to the Finance Board regarding the PPB designation. If the PPB designation is out of district, the Finance Board will only accept the transaction if the new (gaining) district also submits a New Approval for the member or housing associate.

9. Voluntary Withdrawal (*VoluntaryWithdrawal...*)

A Bank can submit a voluntary withdrawal of a member from the system using this menu option. However, Banks are also required to notify and submit the voluntary withdrawal to the Finance Board in writing via mail or fax. Until a Bank's capital plan is implemented, the withdrawal date will be the earlier of six months from the date the Finance Board received notice or the date of implementation of the Bank's capital plan.

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10. Rescinded Voluntary Withdrawal (RescindedVoluntaryWithdrawal... / RescindedWithdrawal...)

This menu option is used to rescind a pending voluntary withdrawal. However, Banks are also required to notify and submit the notice of cancellation of withdrawal from membership to the Finance Board in writing via mail or fax.

11. Member/HA Detail

Each quarter, Banks are required to report to the nearest dollar advances, advance commitments, and capital stock outstanding of all members and, as applicable, housing associates. A Bank should generally submit such information via batch file format (see *Quarterly Data* section above and the *Batch Load File Specifications* found in Appendix One to these instructions). If necessary, information on an individual member may also be entered via the View Member/HA Detail. This option would most likely only be used if an already submitted batch was missing one or a few Member(s).

D. Preparation of Reports

Each Bank shall submit their Membership information in accordance with these instructions. The Banks shall also maintain records in a manner, and with sufficient scope and detail, as to ensure that the information submitted to the Finance Board is prepared and filed in accordance with these instructions and accurately reflects the status and financial condition of its members and housing associates. Inaccurate, incomplete, or incorrectly submitted files will not be considered as timely or accurate and must be corrected and resubmitted.

E. Declaration and Signatures

All information provided to the Finance Board shall be submitted by a senior officer or by a Bank employee to whom authority has been delegated by a senior officer. The act of submitting any and all membership information by such individuals is deemed by the Finance Board as an attestation that the submitted information is true and correct to the best of his or her knowledge and belief.

F. Submission of the Reports

Each Bank shall submit its membership information in its entirety and electronically. Quarterly information should be submitted using the batch load format provided in these instructions. Interim information concerning member and housing associate changes should be provided at the earlier of quarter end or within 5 business days of any events that cause such changes, except for information concerning New Approvals, which must be reported within 3 business days. Interim information should be submitted by using the Internet interface provided by the Finance Board.

MEMBERSHIP DATA REPORTING INSTRUCTIONS

APPENDIX ONE

BATCH LOAD FILE SPECIFICATION

General

The file format for batch uploads follows the Comma Separated Values (CSV) standard. In essence, each field of data is separated from the next by a comma. If the data itself contains one or more commas, then it is encapsulated in quotes. Furthermore, if the data itself contains any quotation marks (") each mark is converted to two quotation marks (""). The order of each row of data is not important. Negative values are simply shown with a minus sign, "-123.00".

Member Detail Batch Load Specification

Item	Field Name	Required	Datatype	Comments
1	FHFB ID	Yes	Integer	Unique identifier assigned by the FHFB for the member.
2	Advances	No	Money	In dollars (e.g. "123,456.02").
3	Capital Stock – Class A	No	Money	In dollars (e.g. "123,456.02").
4	Capital Stock – Class B	No	Money	In dollars (e.g. "123,456.02").
5	Capital Stock – Pre-Conversion	No	Money	In dollars (e.g. "123,456.02").
6	Capital Stock – Required Class A	No	Money	In dollars (e.g. "123,456.02").
7	Capital Stock – Required Class B	No	Money	In dollars (e.g. "123,456.02").
8	Capital Stock – Required Pre-Conversion	No	Money	In dollars (e.g. "123,456.02").
9	Commitments	No	Money	In dollars (e.g. "123,456.02").
10	Membership Date	No	Date	Effective date of membership. This is only supplied on the first Member Detail Transaction for each Member and is required. On this first submission, the total of all owned capital stock must be greater than zero. If these rules are not met on the first submission, the System will reject it. If Membership Date is provided on subsequent submissions, the System will ignore it.