

## FR Y-6 CHECKLIST

### Federal Reserve Bank of Dallas Banking Supervision Department

Use this checklist to ensure the FR Y-6 Report is complete and accurate. Each item requires a response, if not applicable, please indicate "none" or "n/a". This checklist is for your use only – you do not need to include this with your completed FR Y-6 report.

#### Cover Page

Please include all of the following:

- Signature of a senior official who is also a director or chairman of the board of the bank holding company, title, date of signature, and date of report
- Bank holding company legal name and address
- Status of Annual Report to Shareholders (check box)
- Request for confidentiality.** If confidentiality is requested, mark the sub-points and follow the confidentiality requirements in the report instructions <http://www.federalreserve.gov/reportforms>
- Contact name, phone number, fax number
- Contact email address
- Bank holding company or lead bank web page address

#### Tiered Bank Holding Company List

- Are all of the **lower-tiered BHCs** listed, if applicable? If none, this page does not need to be returned.
- Did you report only BHCs here, with the legal name, physical **and** mailing addresses?

#### Report Item 1 – Annual Report to Shareholders

- Is the annual report to shareholders included, if applicable?
- Were the appropriate boxes selected on the cover page regarding the annual report?

#### Report Item 2a – Organization Chart

- Does the organization chart include the legal name, physical address (city and state of the reporter), and all of its reportable "**active**" subsidiaries? Please include percentage of ownership by direct holder, intercompany ownership, and controlled relationships. (See Appendix A, SAMP-1, of the FR Y-6 Instructions.)
- If "inactive" companies are listed, did you note them as "inactive"?
- Does your organization chart match the Organization Hierarchy Report at the <http://www.ffiec.gov/nicpubweb/nicweb/nichome.aspx> website as of your **fiscal year-end**? If not, FR Y-10 report(s) may need to be filed.
- Provide a listing of the non-controlled investments greater than 5% but less than 25% owned by the bank holding company. Indicate for each investment, its legal name, city, and state.

#### Report Item 2b – Office/Branch Verification

- Send in a branch listing from <http://structurelists.federalreserve.gov>. Download the list by using the **BHC** RSSD ID or **BHC** name to pull branch data for each of your banks. Note any changes or mark "OK" for each record, as instructed on the web site. Each bank's main office is reflected as a "branch". Email completed report to [Structure.Verification@dal.frb.org](mailto:Structure.Verification@dal.frb.org) by March 30, 2012. Report any changes to branches on the FR-Y10 as detailed in the instructions.
- Did you try to open the excel spreadsheet before emailing it, to make sure it is in excel format?
- In the subject line of your email, did you include the BHC name, BHC RSSD ID, and "Branch Verification"?

**NOTE:** For Report Items 3 & 4, you may use the sample excel spreadsheets that can be located at <http://dallasfed.org/banking/nic.html>.

**Report Item 3 – Security Holders (Include for both the top tier and lower tier bank holding company. See Appendix A, SAMP-2, of the FR Y-6 Instructions.)**

- The FR Y-6 is a public document, therefore, **do not include** any personal or sensitive information such as street address, social security number, date of birth, or details of how shares are held.
- Include warrants issued through the TARP CPP program by the U.S. Treasury to purchase shares of common stock of bank holding companies
- 1. As of Fiscal Year End
  - 1.a. Name, city, state
  - 1.b. Country of citizenship
  - 1.c. Number & percentage of shares in BHC
- 2. During Fiscal Year\*
  - 2.a. Name, city, state
  - 2.b. Country of citizenship
  - 2.c. Number & percentage of shares in BHC

\* 2. Provide security holders & TARP warrants with 5% or more not listed in item 3(1) that controlled 5% or more during the year (“none” or “n/a” if applicable).

**Report Item 4 – Insiders (Include for both the top tier and lower tier bank holding company. See Appendix A, SAMP-3, of the FR Y-6 Instructions.)**

- The FR Y-6 is a public document, therefore, **do not include** any personal or sensitive information such as street address, social security number, date of birth, or details of how shares are held.
- 1. Name, city, state
- 2. Principal occupation
- 3.a. Title or position with bank holding company
- 3.b. Title or position with subsidiaries
- 3.c. Title or position with other businesses
- 4.a. Percentage of shares in bank holding company
- 4.b. Percentage of shares in subsidiaries
- 4.c. Percentage of shares in other businesses only if greater than 25%