FR Y-6 CHECKLIST  
(Updated May 2015) 

Federal Reserve Bank of Dallas  
Banking Supervision Department 

Use this checklist to ensure that your FR Y-6 Report is complete and accurate. Each item requires a response. If an item is not applicable to your organization, please type “N/A.” This checklist is for your use only. Do not include it with your FR Y-6 submission. 

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 holding company, title, date of signature, and date of report  
- Status of Annual Report to Shareholders (check box)  
- Legal Entity Identifier – If your institutions does not have a LEI, please type “N/A.”  
- Holding company legal name and address  
- Contact name, phone number, fax number  
- Contact email address  
- Holding company or lead bank web page address  
- Request for confidentiality. If confidentiality is requested, mark the sub-points and follow the confidentiality requirements in the report instructions, located at http://www.federalreserve.gov/reportforms.

Tiered Holding Company List 
- Are all of the lower-tiered HC’s listed, if applicable? If none, this page does not need to be returned.  
- Did you report only HC’s 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 state or country of incorporation for the holding company and all of its reportable subsidiaries? Please include percentage of ownership by direct holder (or in the case of partnerships and LLCs, if the direct holder is the managing/non managing member or general or limited partner), intercompany ownership, and controlled relationships (see Appendix A, SAMP-1, of the FR Y-6 Instructions).  
- Provide a listing of the non-controlled investments owned by the holding company (greater than 5% but less than 25% for BHCs and 25% or less for SLHCs). Provide the legal name, city, and state/country for each entity. 

Report Item 2b – Office/Branch Verification 
- Email a branch listing from http://structurelists.federalreserve.gov. Download the list by using the HC RSSD ID or HC 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 by March 30. 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 workbook format?
☐ In the subject line of your email, did you include the HC name, HC RSSD ID, and “Branch Verification”?

**Report Items 3 & 4**
For Report Items 3 & 4, you may use the sample excel spreadsheets that can be located at http://dallasted.org/banking/nic.cfm.

**Report Item 3 – Security Holders (Include for both the top tier and any lower tier holding companies. 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 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 HC

☐ 2. During Fiscal Year but not at fiscal year-end*
   ☐ 2.a. Name, city, state
   ☐ 2.b. Country of citizenship
   ☐ 2.c. Number & percentage of shares in HC

*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 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 holding company
☐ 3.b. Title or position with subsidiaries
☐ 3.c. Title or position with other businesses
☐ 4.a. Percentage of shares in holding company
☐ 4.b. Percentage of shares in subsidiaries
☐ 4.c. Percentage of shares in other businesses only if greater than 25%

**Useful Websites:**
<table>
<thead>
<tr>
<th>Website</th>
<th>URL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dallas NIC</td>
<td><a href="http://www.dallasfed.org/banking/nic.cfm">http://www.dallasfed.org/banking/nic.cfm</a></td>
</tr>
<tr>
<td>FR Y-10 Online</td>
<td><a href="https://y10online.federalreserve.gov/Y10Web/showY10Login.do">https://y10online.federalreserve.gov/Y10Web/showY10Login.do</a></td>
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