



## FEDERAL RESERVE BANK OF DALLAS

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National Information Center Coordinator

January 9, 2009

2200 N. PEARL ST.  
DALLAS, TX 75201-2272

### **To the Authorized Officials of Bank Holding Companies (BHCs) and Foreign Banking Organizations (FBOs):**

The Federal Reserve implemented changes to The Report of Changes in Organizational Structure (FR Y-10), the Annual Report of Bank Holding Companies (FR Y-6), and the Annual Report of Foreign Banking Organizations (FR Y-7), effective December 31, 2008. The Federal Reserve added a data item to the FR Y-10 to collect the tax identification number (Tax ID) on the Banking and Nonbanking Schedules. The Federal Reserve also added a certification requirement to the FR Y-6 and FR Y-7 reporting forms and made comparable changes to the instructions related to information regarding individuals contained in the submission.

These reporting changes were announced in the Federal Register on August 20, 2008 (73 FR 49204). The revised reporting forms and instructions may be accessed on the Board's public web site by selecting the "Forms by number" pull-down menu at: <http://www.federalreserve.gov/reportforms>.

#### ***FR Y-10***

As mentioned above, the Federal Reserve added a data item to collect the Tax ID on the Banking and Nonbanking Schedules of the FR Y-10 for entities located in the United States. There will be a one-time information collection to populate the Tax ID data as of December 31, 2008. Institutions are required to submit this initial collection of Tax ID data no later than March 31, 2009. Changes to the data that occur between January 1 and March 31, 2009, are required to be reported by April 30, 2009. Changes to the data that occur after March 31, 2009, should be reported within 30 calendar days of the event. The Federal Reserve has provided a means for institutions to provide their initial data in a format that is easier for respondents to submit. Please access the following web site for more information on this process <http://structurelists.federalreserve.gov>.

The FR Y-10 may be submitted using the FR Y-10 Online Internet application. Institutions that have not registered to use the FR Y-10 Online are encouraged to do so. A copy of the FR Y-10 user account request form is included. Please fax completed user account request forms to (214) 922-6301.

#### ***FR Y-6 and FR Y-7***

Also, as mentioned above, the Federal Reserve modified the FR Y-6 and FR Y-7 cover pages and instructions to highlight for reporters issues surrounding the submission of information on individuals. The Federal Reserve wants to avoid releases of sensitive personally identifying information regarding individuals as copies of the FR Y-6 and FR Y-7 filings are frequently requested by members of the public.

The FR Y-6 and FR Y-7 reporting forms collect details on individual shareholders and insiders of reporters. Reporters occasionally submit more information than is required (for example, personal home addresses, social security numbers, and extraneous commercial and financial information), and some of the details provided can be highly sensitive. Reporters rarely request confidential treatment for this information, even

where it appears that the information could and should be withheld from disclosure under the Freedom of Information Act (FOIA), 5 U.S.C. § 552.

Reporters ultimately should take appropriate measures to safeguard the confidentiality of information they provide to the Federal Reserve, including details regarding individuals. In this context, it is incumbent upon reporters to request confidential treatment for information that may be subject to withholding under one or more of the FOIA exemptions from disclosure, in accordance with the Board's Rules Regarding Availability of Information (the Board's Rules), 12 CFR Part 261. The Federal Reserve will assume, in the absence of a request for confidential treatment submitted in accordance with the Board's Rules, that the reporter and individual consent to public release of all details in the report concerning that individual.

The Federal Reserve expects reporters to ensure that they have the legal authority to provide information regarding individuals to the Federal Reserve and, on behalf of each individual, to consent or object to public release of the information. The method of obtaining an individual's consent and the adequacy of an individual's consent are legal issues to be resolved by the reporter. *The Federal Reserve presumes legally adequate consent exists unless the reporter expressly represents otherwise.*

***Filing Instructions***

The FR Y-6 must be received within 90 calendar days after the end of the bank holding company's fiscal year. For those with fiscal year-end of December 31, 2008, the report is due by 5:00 p.m. on March 31, 2009. Access the following web site and follow the instructions to retrieve and verify branches <http://structurelists.federalreserve.gov>. Once completed, please email the spreadsheet to [structure.verification@dal.frb.org](mailto:structure.verification@dal.frb.org) with the Entity name of the organization, RSSD ID, and Branch Verification in the subject line. Example: *Any Bancshares, RSSD 123456, Branch Verification*

The FR Y-10 one-time collection of Tax ID data as of December 31, 2008, must be received by March 31, 2009. Access the following web site and follow the instructions to retrieve a company listing and enter Tax ID numbers <http://structurelists.federalreserve.gov>. Once completed, please email the spreadsheet to [structure.verification@dal.frb.org](mailto:structure.verification@dal.frb.org) with the Entity name of the organization, RSSD ID, and Tax ID in the subject line. Example: *Any Bancshares, RSSD 123456, Tax ID*

For all questions regarding the report, or to request a hard copy be mailed to you, please contact Monique Wilson at (214) 922-6306 or you may use our toll free number (800) 333-4460, extension 26306. Please reference the FR Y-6 External Checklist included in this letter to assist in thoroughly completing the report. The FR Y-6 report cannot be submitted electronically. Please mail via USPS or Courier service one signed, completed, hardcopy FR Y-6 report by the deadline date, to:

**USPS:**

Federal Reserve Bank of Dallas  
Banking Supervision Department  
NIC Unit  
P. O. Box 655906  
Dallas, Texas 75265-5906

**COURIER:**

Federal Reserve Bank of Dallas  
Banking Supervision Department  
NIC Unit  
2200 North Pearl Street  
Dallas, Texas 75201-2272

Sincerely,

