

# FR Y-6 PREPARATION CHECKLIST

(Updated January 2019)

## Federal Reserve Bank of Dallas Statistics Department

This checklist is not meant to substitute the FR Y-6 report instructions, which should be read carefully. Each item requires a response; if an item is not applicable to your organization, type "N/A." Ensure that all report pages are in the correct order before submitting.

### Cover Page (Page 1)

Please include all of the following:

- Download updated cover page, instructions (<https://www.federalreserve.gov/apps/reportforms/default.aspx>)
- Signature of holding company (HC) officer who is also a director OR chairperson of board of directors
- Signer's title, date of signature, and date of report (should match title in Report Item 4)
- Status of Annual Report to Shareholders (check box)
- HC legal Entity Identifier – If HC does not have a LEI, type "N/A (note that obtainment of or changes to a LEI require FR Y-10 filing)"
- HC legal name and address
- Name, phone number, fax number, email address of person who can best answer questions about your FR Y-6
- HC website address. If none, type "N/A."
- Request for confidentiality.** Answer 1 or 0. If confidentiality is requested, mark only one sub-point and follow the confidentiality requirements in the report instructions.

### Tiered Holding Company List (if applicable)

- Are all **lower-tiered HCs** listed?
- Did you report only HCs here (not banks or nonbanks), with the legal name, physical **and** mailing addresses?

### Report Item 1 – Annual Report to Shareholders

- Is the annual report to shareholders (ARS) included (if applicable)? Audited financials and call reports are not substitutes for the ARS.
- Were the appropriate boxes selected on the cover page regarding the annual report?

### Report Item 2a – Organization Chart

The following is required for every reportable entity on the organization chart:

- Full legal name
- Legal entity identifier (LEI). If none, type "LEI: None (note that obtainment of or changes to a LEI require FR Y-10 filing)"
- Physical address (city and state of the reporter), and
- State or country of incorporation (not required for federally chartered entities)
- Intercompany ownership and control relationships (see Appendix A, SAMP-1, of the FR Y-6 Instructions)
- Percent ownership by direct holder in whole numbers (refer to rounding rule on pages 5-6 of report instructions) except for partnerships and LLCs (see below)
- For LLCs, rather than providing percent ownership, indicate whether the direct holder of the LLC is the managing

- member or non-managing member
- For partnerships, rather than providing percent ownership, indicate whether the direct holder of the partnership is the general partner or limited partner
- Listing of non-controlled investments owned by the HC (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 – Domestic Branch Listing

- Access listing at <http://structurelists.federalreserve.gov>. Download the list by entering the RSSD ID number or name of your HC. Carefully follow the instructions in the resulting spreadsheet to complete.
- See the yearly update letter on our web page for instructions on how to format the listing and submit (submission method depends on whether Y-6 is submitted via Reporting Central or hard copy)

### Report Items 3 & 4

For Report Items 3 & 4, we strongly suggest using the sample MS Excel spreadsheets that can be located on our web page, <http://dallasfed.org/banking/nic.cfm>.

### Report Item 3 – Securities Holders (See page SAMP-3 of the FR Y-6 Instructions)

- Separate lists for each HC, if applicable
- Any person/group/entity that owns 10% or more must also be listed in Report Item 4(4)(a)
- If a group owns 5% or more as a whole, each member must be listed separately under the group totals (see Y-6 report instructions for what constitutes a “family”)
- Do not** include any personal or sensitive information such as street address, social security number, dates of birth, or details of how shares are held.
- 1. As of Fiscal Year End                       2. During Fiscal Year but not at fiscal year-end
  - 1.a. Name, city, state                               2.a. Name, city, state
  - 1.b. Country of citizenship                       2.b. Country of citizenship
  - 1.c. Number and % of shares in HC       2.c. Number and % of shares in HC

### Report Item 4 – Insiders (See page SAMP-4 of the FR Y-6 Instructions)

- Separate lists for each HC, if applicable
- Do not** include any personal or sensitive information such as street address, social security number, dates of birth, or details of how shares are held.
- (1). Name, city, state
- (2). Principal occupation
- (3)(a). Title or position with HC
- (3)(b). Title or position with subsidiaries, including subsidiary name
- (3)(c). Title or position with other businesses, including business name
- (4)(a). Percentage of shares in HC
- Percentages listed in 4(4)(a) should match percentages in Report Item 3
- (4)(b). Percentage of shares in subsidiaries, including subsidiary name
- (4)(c). Percentage of shares in other businesses (including business name) if 25% or more

**\*\*Do not include this checklist with your FR Y-6 submission.**

#### Useful Websites:

Dallas NIC	<a href="http://www.dallasfed.org/banking/nic.cfm">http://www.dallasfed.org/banking/nic.cfm</a>
Branch verification	<a href="http://structurelists.federalreserve.gov/Default.aspx">http://structurelists.federalreserve.gov/Default.aspx</a>
Report Forms & Instructions	<a href="http://www.federalreserve.gov/apps/reportforms/default.aspx">http://www.federalreserve.gov/apps/reportforms/default.aspx</a>
National Information Center	<a href="http://www.ffiec.gov/nicpubweb/nicweb/nichome.aspx">http://www.ffiec.gov/nicpubweb/nicweb/nichome.aspx</a>
FR Y-10 Online	<a href="https://y10online.federalreserve.gov/Y10/login">https://y10online.federalreserve.gov/Y10/login</a>