

FR Y-6 PREPARATION LIST

(Updated January 2023)

This list is not meant to substitute the FR Y-6 report instructions. This list is intended to help with the completion of the FR Y-6 report as a supplement to the FR Y-6 report instructions. Remember that each item on the report requires a response; if an item is not applicable to your organization type “N/A”, “None”, or “Not Applicable” as appropriate. Do not include any personal or sensitive information (e.g., social security numbers and street addresses) as this is a public report.

Cover Page (Page 1)

- Download updated cover page and instructions (<https://www.federalreserve.gov/apps/reportforms/default.aspx>)
- Signature is of an officer of the top-tier holding company (HC) who is also a director OR chairperson of its board of directors (this individual should be included in Report Item 4)
- Signer’s title and date of signature
- HC Legal Entity Identifier (LEI), if applicable
Note: Obtainment of or changes to a LEI require a FR Y-10 filing
- HC legal name and address
Note: Only put a mailing address if it is different than the physical address
- Name, phone number, fax number, and email address of the person who can be contacted for questions
- HC website address, if applicable
Note: Only put a URL here if it directs you to the HC information, not the bank
- Request for confidentiality. If confidentiality is requested, also check one of the two boxes below
Note: Follow the confidentiality requirements in the report instructions for submission requirements

Checklist (Page 2)

- Status of Annual Report to Shareholders (complete check box)
Note: HCs do not need to create an ARS if such report is not normally created for shareholders
- Verify whether there have been changes to reportable items (complete check box)
- If “YES” was selected above, verify whether there have been changes to each reportable item

Tiered Holding Company List (if applicable)

- List all lower-tiered HCs with the correct legal name, physical and mailing addresses
Note: Neither banks nor nonbanks should be listed here. Only lower tiered HCs.

Report Item 1 – Annual Report to Shareholders (if applicable)

- Include Annual Report to Shareholders (ARS)
Note: Audited financials and call reports are not a substitute for the ARS

Report Item 2a – Organization Chart (if applicable)

The following is required for every reportable entity on the organization chart if changes occurred during the prior year and “YES” was selected on the Checklist (Page 2):

- Full legal name
- Legal Entity Identifier (LEI). If none, type “LEI: None”, “LEI: No”, or “LEI: Not Applicable”
Note: Obtainment of or changes to a LEI require a FR Y-10 filing
- City and state of the of the entity’s physical location
- State or country of incorporation
Note: State of incorporation is not applicable for foreign or 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, indicate whether the direct holder of the LLC is a managing member or non-managing member
- For partnerships, indicate whether the direct holder of the partnership is a general partner or limited partner
- Listing of non-controlled entities owned by the HC (ownership is greater than 5% but less than 25% for BHCs and 25% or less for SLHCs). Provide all the information requested above for each entity.
Note: These entities are not Y-10 reportable and should be marked as such on the report.

Report Item 2b – Domestic Branch Listing (if applicable)

The following is required if changes occurred during the prior year and “YES” was selected on the Checklist (Page 2):

- Access listing at <http://structurelists.federalreserve.gov>. Download the list by entering the RSSD ID number or name of your top tier HC. Carefully follow the instructions in the resulting spreadsheet.
- Include the Domestic Branch Listing with the FR Y-6 Report

Report Items 3 & 4 (if applicable)

- For Report Items 3 & 4, we suggest using the sample Excel spreadsheets 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)

The following is required if changes occurred during the prior year and “YES” was selected on the Checklist (Page 2):

- Provide a separate Report Item 3 for each HC, if applicable
- Any individual, group, or entity that owns 10% or more must also be listed in Report Item 4.
- If a group owns 5% or more, each member must be listed separately under the group totals (see Y-6 report instructions for what constitutes a “family”)
- 1. **As of Fiscal Year End**
 - 1.a. Name, city, state
 - 1.b. Country of citizenship
 - 1.c. Number and % 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 and % of shares in HC

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

The following is required if changes occurred during the prior year and “YES” was selected on the Checklist (Page 2):

- Provide a separate Report Item 4 for each HC, if applicable
- (1). Name, city, and state (or country if foreign) of each individual, group or entity considered an Insider
- (2). Principal occupation, if applicable
- (3)(a). Title or position with HC
- (3)(b). Title or position with subsidiaries, including subsidiary name, if applicable
- (3)(c). Title or position with other businesses (include business name), if applicable
- (4)(a). Percentage of voting securities owned, controlled, or held with the power to vote of HC
Note: Percentages listed in 4(4)(a) should match percentages in Report Item 3
- (4)(b). Percentage of shares in subsidiaries, including subsidiary name, if applicable
- (4)(c). Percentage of shares in other businesses (including business name) if 25% or more, if applicable

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

Useful Websites:

Dallas NIC	http://www.dallasfed.org/banking/nic.cfm
Branch verification	http://structurelists.federalreserve.gov/Default.aspx
Report Forms & Instructions	http://www.federalreserve.gov/apps/reportforms/default.aspx
National Information Center	http://www.ffiec.gov/nicpubweb/nicweb/nichome.aspx