



## FEDERAL RESERVE BANK OF MINNEAPOLIS

*Pursuing an economy that works for all of us*

**Paul E. Ljung**  
MANAGER, STATISTICAL &  
STRUCTURE REPORTING

January 13, 2023

To the Chief Executive Officer of the Holding Company:

It is time to file the FR Y-6, Annual Report of Holding Companies, for fiscal year-end **December 31, 2022**. **Be sure to access the new version of the FR Y-6 report form and instructions at [Federal Reserve Board - Reporting Forms](#). If you use the previously published FR Y-6 report form when filing your holding company's report for December 31, 2022, we will request a revised report using the new version.**

**\*\*\*\*\* FR Y-6 Report Form and Instruction Changes Effective December 31, 2022 \*\*\*\*\***

As published in the *Federal Register* on November 29, 2022, the Board of Governors of the Federal Reserve System adopted the proposal to extend for three years, with revision, the Structure Reporting and Recordkeeping Requirements for Domestic and Foreign Banking Organizations (FR Y-6, FR Y-7, FR Y-10, and FR Y-10E; OMB No. 7100-0297). We encourage you to review the details in this [Final Notice](#).

1. The most notable revision to the FR Y-6 report effective December 31, 2022, is the addition of “Yes/No” checkboxes for reporters to indicate whether the firm had changes to any reportable items from the prior year’s submission.
  - Holding companies that check “Yes” for having changes to any reportable items must also check “Yes” or “No” for the specific report item(s) 2, 3, and/or 4 that changed and submit this information as part of their FR Y-6 submission for the year.
  - Holding companies that check “No” for not having reportable changes would be required to submit the signed cover page, page 2, page 3 (as applicable to tiered holding companies), and a copy of their annual report to shareholders if they meet the reporting criteria for its submission.
2. Another significant revision is that we will no longer accept FR Y-6 reports via email.
  - For holding companies that submit in Reporting Central (RC), we thank you!
  - For those that do not, please prepare for electronic submission by enrolling in RC as soon as possible. Information on enrollment can be found at [Statistical and Structure Reports | Federal Reserve Bank of Minneapolis \(minneapolisfed.org\)](#)
3. The FR Y-6 form and instructions were revised with several other updates to reporting requirements and terminology as follows:
  - Cover page removed the legal entity identifier.
  - Cover page added page 2, which includes the new checkboxes.
  - Page GEN-2 added instructions for the checkboxes.
  - Page GEN-4 added recordkeeping requirement.
  - Page GEN-5 removed legal entity identifier instructions for the cover page.
  - Page GEN-7 clarified merchant banking investments for Financial Holding Companies engaged in merchant banking activities.
  - Page GEN-7 clarified instructions for reporters that advise or administer a mutual fund.
  - Page GEN-8 added instructions for the checkbox for item 3
  - Page GEN-10 added instructions for the checkbox for item 4

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Chief Executive Officer

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**Other Important Information:**

- ❖ Provide a response for each report item. Respond with "None" or "N/A" if applicable.
- ❖ The report must be signed by an individual who is both a senior official **and** director of the holding company.
- ❖ The FR Y-6 is a public document. Do not include personal information that may compromise the personal privacy interests of shareholders and insiders.
- ❖ Any request for confidential treatment of information must meet the requirements and procedures as outlined in the FR Y-6 instructions.
- ❖ For Item 2a Organization Chart, please retrieve your company's organization chart from last year at <https://www.minneapolisfed.org/banking/statistical-and-structure-reports/structure-reports/search-reports>. If there are any changes, provide an organization chart as of your fiscal year-end that includes all of the data elements as required in the report instructions with your FR Y-6 submission.
- ❖ Access the Branch Verification Report (Item 2b) at <https://structurelists.federalreserve.gov/>. If there are any changes from last year's report, provide a branch verification listing as of your holding company's fiscal year-end that includes all of the data elements as required in the report instructions with your FR Y-6 submission.
- ❖ The report submission deadline is **Friday, March 31, 2023**.

**Submission Options:**

- ❖ Electronic: The completed FR Y-6 may be submitted in Portable Document Format (PDF) using the [View/Enter a Report](#) option in the Reporting Central (RC) application. Be sure that Adobe's Optimized Character Recognition feature is turned on when creating the PDF file(s). Reporting Central submission information is attached and located on our Structure Reports page (see link above). If your holding company has not already enrolled for the FR Y-6 in RC, please submit the RC-1 form to [mpls.statistics@mpls.frb.org](mailto:mpls.statistics@mpls.frb.org) as soon as possible.
- ❖ Paper: Please mail the completed FR Y-6 to the address below by **March 28, 2023** (3 days prior to the deadline date of March 31, 2023) to be considered timely. Reports with USPS postmarks after March 28 and received after March 31 will be considered late. Express delivery through couriers or parcel shipping companies are also accepted.

Federal Reserve Bank of Minneapolis  
Division of Supervision, Regulation, & Credit  
ATTN: National Information Center  
P.O. Box 291  
Minneapolis, MN 55480-0291

- ❖ Be sure to retain a signed copy of the completed report for your files, regardless of filing method.

**Need Assistance?**

- ❖ Materials and helpful links can be found on our Structure Reports page at <https://www.minneapolisfed.org/banking/statistical-and-structure-reports/structure-reports>.
- ❖ If you have any questions on the FR Y-6, please contact a Statistical & Structure Reports analyst at (612) 204-6445, (888) 887-0926, or [mpls.statistics@mpls.frb.org](mailto:mpls.statistics@mpls.frb.org).

Sincerely,

/s/

Paul E. Ljung