



January 6, 2020

To the Chief Executive Officer of the Holding Company:

Enclosed is information for completing the following reports as of December 31, 2019. The forms and instructions are available on our www.federalreserve.gov/apps/reportforms/default.aspx website.

All Holding Companies (HCs) with consolidated total assets of less than \$3 billion **are required** to submit the Parent Company Only Financial Statements for Small Holding Companies (**FR Y-9SP**). HCs of this size that are also employee stock ownership plans **are required** to submit the Financial Statements for Employee Stock Ownership Plan Holding Companies (**FR Y-9ES**).

These HCs **may also be required** to submit the Holding Company Report of Insured Depository Institutions' Section 23A Transactions with Affiliates (**FR Y-8**), the Abbreviated Financial Statements of U.S. Nonbank Subsidiaries of U.S. Holding Companies (**FR Y-11S**), and/or the Consolidated Holding Company Report of Equity Investments in Nonfinancial Companies (**FR Y-12**). See the FR Y-8, FR Y-11S, and FR Y-12 report instructions to determine if your HC is required to complete and submit any of these reports.

Supplemental Materials

Supplemental instructions concerning current accounting and reporting matters are provided at www.federalreserve.gov/apps/reportforms/auxiliary.aspx?sOoYJ+5BzDal8cbqnRxZRg==. The December 2019 edition will be published and posted to this site in the near future.

Summary of Form and Instruction Changes

There were no changes to the FR Y-9SP, FR Y-9ES, FR Y-8, FR Y-11S, or FR Y-12 report forms or instructions. There were no changes to data edits this quarter.

Electronic Reporting

The Federal Reserve System has implemented Reporting Central (RC) for the electronic submission of reports by HCs. All respondents are required to perform validation checks as part of the electronic submission process. Guidelines for resolving edits and an FAQ document are at www.frb services.org/central-bank/reporting-central/index.html.

FR Y-8: If required to complete the FR Y-8 report, HCs are required to submit it electronically. The FR Y-8 report data can be entered directly into RC.

FR Y-9SP and FR Y-9ES: All HCs are required to submit the FR Y-9 reports electronically. HCs may enter the FR Y-9SP or FR Y-9ES data directly into RC, develop the appropriate software for electronic file transfer submission, or contract with a vendor that can provide the required software and services.

FR Y-11S and FR Y-12: HCs may submit the FR Y-11S and FR Y-12 reports electronically or in paper. This report can be entered directly into RC or submitted using the File Transfer option with either internally-developed or vendor-purchased software. For institutions that do not choose to file the FR Y-11S or FR Y-12 report electronically, the Federal Reserve will continue to accept paper copy submissions.

RC will perform validity edits that must be resolved before the data can be accepted. While explanations for quality edits for the reports can no longer be included with the submitted data, you may send edit explanations and other comments to mpls.statistics@mpls.frb.org or the assigned analyst. If there are any remaining data variances or quality issues, we will contact you.

HCs must maintain in their files a signed and attested printout of the data submitted. To fulfill this signature and attestation requirement, attach a signed copy of the cover page of each report form to the printout placed in your organization's files.

Additional information about [RC](#), including an online resource center, is available. This site also includes a list of vendors, further information about electronic submission, guidelines for resolving edits, and frequently asked questions.

An End User Authorization Contact at your organization must initiate changes to the roster of individuals authorized to submit reports electronically through RC. Please reach out to our Customer Contact Center at (888) 333-7010 for assistance with tokens and credentialing. Also, be sure to complete and send RC-1 forms to us at mpls.statistics@mpls.frb.org to process changes to the individuals who are responsible for submitting reports through RC.

Reporting Deadlines

Reports are due to the Federal Reserve Bank by the following dates. Extensions of time will not be granted. Not all reports are applicable to all HCs.

Thursday, January 30	-	FR Y-8 "Holding Company Report of Insured Depository Institutions' Section 23A Transactions with Affiliates"
Friday, February 14	-	FR Y-9SP "Parent Company Only Financial Statements for Small Holding Companies"
Friday, February 14	-	FR Y-12 "Consolidated Holding Company Report of Equity Investments in Nonfinancial Companies"
Monday, March 2*	-	FR Y-11S "Abbreviated Financial Statements of U.S. Nonbank Subsidiaries of U.S. Holding Companies"
Friday, July 31	-	FR Y-9ES "Financial Statements for Employee Stock Ownership Plan Holding Companies"

*Because the 60th calendar day of February 29 falls on a weekend, the deadline is moved to the next business day.

As always, if you complete the preparation, editing, and review of your reports before the submission deadlines, please file them immediately rather than waiting. Early submission provides additional time for your institution to become accustomed with the electronic submission process, and it aids the Reserve Bank in the review and analysis of the reports. If you later find that certain current-period information needs to be revised, please make the appropriate changes to your report and promptly submit the revised data.

Publication of Data

The Federal Reserve publishes FR Y-9 report submissions on a flow basis generally within 2 days following receipt (see www.ffiec.gov/NPW). Updates are run frequently to capture any revisions.

If you wish to request confidentiality, you will need to submit the request in writing to mpls.statistics@mpls.frb.org and to your reports analyst. You must submit the confidentiality request before you submit the FR Y-9 reports. For more information on confidentiality requests, please see the specific report General Instructions.

Data submitted in the FR Y-8 and FR Y-12 reports are not made available to the public.

Current- and Prior-Period Revisions

Any revisions to these reports must be made in the same method as the originally filed reports.

E-Mail Subscription Service

Ninth District HCs receive e-mail notifications of the quarterly reporting requirements. To make changes to the e-mail addresses or account contact information for your organization, e-mail us at mpls.statistics@mpls.frb.org, and we will make updates. The addresses and contacts you provide will be used solely for business purposes by this Reserve Bank.

Institutions may also subscribe to the [Federal Reserve Board e-mail notification service](#) to receive alerts regarding report form and instruction updates. These updates include changes related to proposed new and existing data collections and final reporting forms and instructions.

This letter and attachments are available at www.minneapolisfed.org/banking/statistical-and-structure-reports/supervisory-reports. Our website also includes information about what we do with your data and links to other useful sites. Please contact a Statistical and Structure Reporting analyst at (612) 204-6445 with questions about the contents of this letter. If you are calling from outside the Minneapolis/St. Paul metropolitan area, you may use our toll-free number, (888) 887-0926. You may also contact us by sending a message to mpls.statistics@mpls.frb.org.

Sincerely,

/s/

Paul E. Ljung
Manager
Statistical and Structure Reporting