CHECKLIST

Use this checklist to ensure the FR Y-6 Report is complete and accurate. Each item requires a response (“none” or “n/a” if applicable). We will contact you if the FR Y-6 is not complete or includes personal/sensitive information. This checklist is for your use only – you do not need to include this with your completed FR Y-6 report.

Cover Page

☐ Signature, date and report date – signature should be by senior official who is also director of holding company
☐ Enter top tier holding company’s Legal Entity Identifier (LEI) if applicable, otherwise "None" or "N/A"
☐ Holding company name and address
☐ Status of Annual Report to Shareholders (check box)
☐ Request for confidentiality. If confidentiality is requested, mark the sub-points and follow the confidentiality requirements in the report instructions.
☐ Contact name, phone number, fax number
☐ Contact email address
☐ Holding company’s web page address (“none” or “n/a” if applicable)

Report Item 2a – Organization Chart

☐ Return the provided organization chart (or include own organization chart) and note any changes or new information including the effective date. Send a FR Y-10, Report of Changes in Organizational Structure, if applicable.
☐ If including own organization chart, include full legal name, LEI, physical address (city, state/country), state or country (if foreign) of incorporation, percentage ownership for all entities.

Report Item 2b – Office/Branch Verification

☐ Send in a branch listing from http://structurelists.federalreserve.gov. Download the list for each depository institution, and note any changes or mark “ok” for each record. Each depository institution’s main office is reflected as a “branch”. Send a FR Y-10, Report of Changes in Organizational Structure, if applicable.

Report Item 3 – Securities Holders

Do not include any personal or sensitive information (street address, social security number, date of birth, details of how shares are held)

☐ 1.a. Name, city, state
☐ 1.b. Country of citizenship
☐ 1.c. Number and percentage of shares in holding company
☐ 2. List shareholders not listed in item 3(1) that controlled 5% or more during the year (“none” or “n/a”)

Report Item 4 – Insiders

Do not include any personal or sensitive information (street address, social security number, date of birth, less than 25% ownership in other businesses)

☐ 1. Name, city, state
☐ Be sure to include all principal shareholders (securities holders who own 10% or more)
☐ 2. Principal occupation
☐ 3.a. Title or position with holding company
☐ 3.b. Title or position with subsidiaries
☐ 3.c. Title or position with other businesses
☐ 4.a. Percentage of shares in holding company
☐ 4.b. Percentage of shares in subsidiaries
☐ 4.c. Percentage of shares in other businesses if greater than 25%