

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.
- Include response for Legal Entity Identifier (LEI) for all entities if they have one, otherwise "None" or "N/A".

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%