This checklist is not meant to substitute the FR Y-6 report instructions, which should be read carefully. Each item requires a response; if an item is not applicable to your organization, type “N/A.” Ensure that all report pages are in the correct order before submitting.

Cover Page (Page 1)
Please include all of the following:

- Download updated cover page, instructions (https://www.federalreserve.gov/apps/reportforms/default.aspx)
- Signature of holding company (HC) officer who is also a director OR chairperson of board of directors
- Signer’s title, date of signature, and date of report (should match title in Report Item 4)
- Status of Annual Report to Shareholders (check box)
- HC legal Entity Identifier – If HC does not have a LEI, type “N/A (note that obtainment of or changes to a LEI require FR Y-10 filing)”
- HC legal name and address
- Name, phone number, fax number, email address of person who can best answer questions about your FR Y-6
- HC website address. If none, type “N/A.”
- Request for confidentiality. Answer 1 or 0. If confidentiality is requested, mark only one sub-point and follow the confidentiality requirements in the report instructions.

Tiered Holding Company List (if applicable)

- Are all lower-tiered HCIs listed?
- Did you report only HCIs here (not banks or nonbanks), with the legal name, physical and mailing addresses?

Report Item 1 – Annual Report to Shareholders

- Is the annual report to shareholders (ARS) included (if applicable)? Audited financials and call reports are not substitutes for the ARS.
- Were the appropriate boxes selected on the cover page regarding the annual report?

Report Item 2a – Organization Chart
The following is required for every reportable entity on the organization chart:

- Full legal name
- Legal entity identifier (LEI). If none, type “LEI: None (note that obtainment of or changes to a LEI require FR Y-10 filing)”
- Physical address (city and state of the reporter), and
- State or country of incorporation (not required for 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, rather than providing percent ownership, indicate whether the direct holder of the LLC is the managing
member or non-managing member

☐ For partnerships, rather than providing percent ownership, indicate whether the direct holder of the partnership is the general partner or limited partner

☐ Listing of non-controlled investments owned by the HC (greater than 5% but less than 25% for BHCs and 25% or less for SLHCs). Provide the legal name, city, and state/country for each entity.

**Report Item 2b – Domestic Branch Listing**

☐ Access listing at [http://structurelists.federalreserve.gov](http://structurelists.federalreserve.gov). Download the list by entering the RSSD ID number or name of your HC. Carefully follow the instructions in the resulting spreadsheet to complete.

☐ See the yearly update letter on our web page for instructions on how to format the listing and submit (submission method depends on whether Y-6 is submitted via Reporting Central or hard copy)

**Report Items 3 & 4**

For Report Items 3 & 4, we strongly suggest using the sample MS Excel spreadsheets that can be located on our web page, [http://dallasfed.org/banking/nic.cfm](http://dallasfed.org/banking/nic.cfm).

**Report Item 3 – Securities Holders (See page SAMP-3 of the FR Y-6 Instructions)**

☐ Separate lists for each HC, if applicable

☐ Any person/group/entity that owns 10% or more must also be listed in Report Item 4(4)(a)

☐ If a group owns 5% or more as a whole, each member must be listed separately under the group totals (see Y-6 report instructions for what constitutes a “family”)

☐ Do not include any personal or sensitive information such as street address, social security number, dates of birth, or details of how shares are held.

☐ 1. As of Fiscal Year End  ☐ 2. During Fiscal Year but not at fiscal year-end

  1.a. Name, city, state  2.a. Name, city, state

  1.b. Country of citizenship  2.b. Country of citizenship

  1.c. Number and % of shares in HC  2.c. Number and % of shares in HC

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

☐ Separate lists for each HC, if applicable

☐ Do not include any personal or sensitive information such as street address, social security number, dates of birth, or details of how shares are held.

☐ (1). Name, city, state

☐ (2). Principal occupation

☐ (3)(a). Title or position with HC

☐ (3)(b). Title or position with subsidiaries, including subsidiary name

☐ (3)(c). Title or position with other businesses, including business name

☐ (4)(a). Percentage of shares in HC

☐ Percentages listed in 4(4)(a) should match percentages in Report Item 3

☐ (4)(b). Percentage of shares in subsidiaries, including subsidiary name

☐ (4)(c). Percentage of shares in other businesses (including business name) if 25% or more

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

**Useful Websites:**

| Dallas NIC | [http://www.dallasfed.org/banking/nic.cfm](http://www.dallasfed.org/banking/nic.cfm) |
| FR Y-10 Online | [https://y10online.federalreserve.gov/Y10/login](https://y10online.federalreserve.gov/Y10/login) |