

Tips for Accurate and Timely Reporting of the Annual Report of Holding Companies (FR Y-6)

The following are reminders to assist with the preparation of the FR Y-6 report and are not intended to replace the FR Y-6 instructions.

REPORTING DEADLINES

The completed FR Y-6 must be received by the Federal Reserve Bank of Richmond **no later than 90 calendars** days from the top-tier holding company's fiscal year end date. The report is due by 5:00 P.M. on the submission due date.

The reporting deadlines are as follows:

Fiscal year end **1231 (2022 report)** is due no later than **March 31, 2023**

Fiscal year end **0331 (2023 report)** is due no later than **June 29, 2023**

Fiscal year end **0630 (2023 report)** is due no later than **September 28, 2023**

Fiscal year end **0930 (2023 report)** is due no later than **December 29, 2023**

There are two options currently available for submitting the FR Y-6 (Reporting Central and Mail)

USPS Mail:

Federal Reserve Bank of Richmond
Attention: Phyllis Strum, 18th Floor, Statistics
P.O. Box 27622
Richmond VA 23261

Courier Items:

FRB Warehouse
Attention: Phyllis Strum, 18th Floor, Statistics
2050 Magnolia Street
Richmond VA 23223

Reporting Central:

- Current Reporting Central users who do not have FR Y-6 series access would only be required to complete a [RC1 Form](#). Allow 3-4 days for the FR Y-6 series access.
- **First time** users can find access information [Reporting Central Resource Center](#)

If you have questions or need assistance, please contact Phyllis Strum at: Phyllis.strum@rich.frb.org or 804-697-2794.

REPORTING TIPS

Each year retrieve the most current version of the FRY-6 report and instructions from Federal Reserve Bank of Richmond's [Reporting Resources](#) website

Cover Page, including Page 2 (new requirement)

Please ensure the cover page is included and is signed by an authorized person that is *both a director and senior official* of the top-tier holding company. If the top-tier holding company does not have an individual that is both a director and senior official, then the *chairman of the board* must sign the report. (See GEN 4 for ESOP and LLC signatures required)

Respond to all requested information and if not applicable indicate "N/A" or "None".

Respond to whether confidential treatment is requested for any portion of the submission.

If confidential treatment is requested, follow the steps outlined in the instructions on pages GEN 2 & 3.

Page 2 of the Cover Page

Item 1

A response is required by holding companies not registered with the SEC. In addition, a PDF of the Annual Report to Shareholders must be submitted. If this document is not prepared by your organization, please provide a PDF of comparative financial statements.

If your holding company is registered with the SEC, we do not need a copy of the 10K.

Checklist

All reporters must respond to the first question. If checked yes, complete the remaining checklist.

Appendices at the end of the Report Instructions provide an easy format for report items 2, 3, and 4.

Item 2a Organization Chart

This item should contain the full legal name for each entity under the Holding Company's organizational structure along with the city and state and state of incorporation.

As you prepare the organization chart, it may be helpful to review a current tier report for accuracy and completeness.

Tier reports are available via the [FR Y-10 Online](#) or by accessing the [National Information Center](#)

Most discrepancies that are discovered between the tier report and your institution's organizational structure should be corrected with the submission of a Report of Changes in Organizational Structure (FR Y-10). In some instances, there may be additional companies on a reporter's FR Y-6 organizational chart that are not reportable on a FR Y-10 report. *Refer to the instructions on page GEN-6 "Additional Companies Reportable on the FR Y-6" for more information.*

Item 2b Domestic Branch Listing

A list of domestic branches for each depository institution within your organization is available for download at [FR Y-6 Branch Verification](#)

****IMPORTANT** Only provide information that is requested in the instructions for report Items 3 & 4. Do not provide personally identifiable information such as street addresses or social security numbers.**

Item 3 Securities holders

Both Items 3.1 and 3.2 must be completed. If not applicable, provide a response of "N/A" or "None" in the appropriate section.

NOTE: If your organization has any shares held by a nominee or street name, you need to list the individual beneficial owners with 5% or more.

Below are options to obtain the list of beneficial owners at 5% or above:

- reach out to the brokerage firm for the information
- look through SEC filings 13 D, F and/or G

Item 4 Insiders

This section contains eight parts that must be completed. If not applicable, provide a response of "N/A" or "None".