FR Y-9SP Report Checklist

✓ <u>Dividends from Bank Subsidiary(s)</u>

The Parent's dividend income on the FR Y-9SP (SI-1.a) should generally equal the Bank subsidiary's dividend payments on the Call Report (RI-A8 and 9).

FR Y-9SP: SI-1A Should generally equal

Call Report: RI-A8 and RI-A9

✓ Equity in Undistributed Income of Bank Subsidiary(s)

The Parent's equity in undistributed income (losses) of the bank on the FR Y-9SP (SI-12a) should generally equal:

- the Bank subsidiary's Net Income (RI-12)
- less its dividends declared or paid on the Call Report (the sum of RI-A and 9)

FR Y-9SP: (SI-12a)

Should generally equal

Call Report: RI-12 less (RI-A8 and A9)

Legitimate Reason for Difference:	Result:
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Nesuit.
FR Y-9SP < Call Report
FR Y-9SP < Call Report
FR Y-9SP < Call Report
-

√

Equity Investment in Bank Subsidiary(s)

The Parent's equity investments in bank subsidiaries and associated banks on the FR Y-9SP (SC-4a) should generally equal the Bank subsidiary's total equity capital on the Call Report (RC-28).

FR Y-9SP: SC-4a

Should generally equal

Call Report: RC-28

BHC owns less than 100% of the subsidiary bank(s). The FR Y-9SP figure should reflect the BHC's portion of the corresponding Call Report figures, based on the BHC's percentage of ownership in the subsidiary bank(s).	FR Y-9SP < Call Report
Management Recognition Plan funded on bank side A. Cash bonuses B. Stock options	FR Y-9SP > Call Report
Stock options exercised	FR Y-9SP > Call Report
If the BHC acquired the bank during the current year and the bank had been open prior to the acquisition, the Call Report will reflect the bank's income/loss for the current year including the time before the acquisition.	FR Y-9SP <call report<="" td=""></call>

✓ Consolidated Total Assets

The Parent's total consolidated assets on the FR Y-9SP (SC-M1) should generally be greater than or equal to the Bank subsidiary's total assets on the Call Report (RC-12).

FR Y-9SP: SC- M1

Should generally be \geq

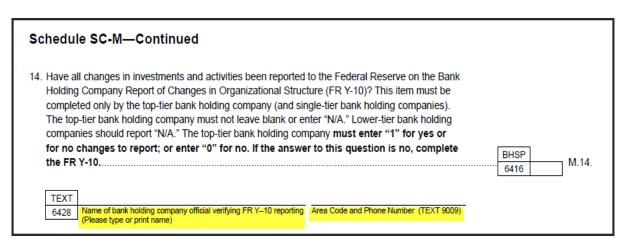
Call Report: RC-12 Total Assets

External Auditor Information (SC-M1 – 2b) This section must be completed for the December report.

Schedule SC—Continued	
MEMORANDA (to be completed annually only by top-tier and single-tier bank holding companies for the	December 31 report date)
	BHSP
Has the bank holding company engaged in a full-scope independent external audit at any time during the calender year (Enter "1" for yes, enter "0" for no)	C884
 If response to Memorandum item 1 is yes, indicate below the name and address of the bank holding compare independent external auditing firm (see instructions), and the name and e-mail address of the auditing firm's engagement partner.⁴ 	ny's
a. (1) Name of External Auditing Firm (TEXT C703) b. (1) Name of Engagement Partner (TEXT C703)	EXT C704)
(2) City (TEXT C708) (2) E-mail Address (TEXT C705)	
(3) State Abbrev. (TEXT C714) (4) Zip Code (TEXT C715)	

FR Y-10 Information (SC-M14)

This section must always be completed and should not be left blank. Please answer yes or no to the question and provide the FR Y-10 contact information as requested.



- Answer "No" only if the BHC has organizational structure changes AND has not yet filed the associated FR Y-10 with the Federal Reserve.
- If the BHC has **NO** organizational changes, answer "Yes".
- If the BHC had organizational changes, but has filed the associated FR Y-10, answer "Yes".