



Richmond • Baltimore • Charlotte

Post Office Box 27622 • Richmond, VA 23261
Phone (804) 697-8000 • www.richmondfed.org

January 10, 2017

To the Authorized Officials of Holding Companies (HCs), and Foreign Banking Organizations:

This letter is provided to inform you of the recent changes to the FR Y-6 and FR Y-7 reporting forms and instructions. There are no changes to the reporting form and instructions for the FR Y-10 report effective December 31, 2016.

FR Y-6 Reporting Revisions and Clarifications

The FR Y-6 revisions include adding U.S. intermediate holding companies (IHCs) to the reporting panel, providing the option of submitting the FR Y-6 report electronically as a Portable Document File (PDF) in an email attachment, adding a check box on the form for institutions to request confidential treatment for the data provided, clarifying signature requirements for employee stock ownership plans/employee share ownership trusts (ESOPs/ESOTs), and clarifying the report item instructions.

If your organization is interested in submitting the FR Y-6 report electronically as a PDF in an email attachment, please obtain additional information from Phyllis Strum as outlined below.

FR Y-7 Reporting Revisions

The FR Y-7 revisions include clarifying the instructions for FBOs with interests in an IHC are reportable on the FR Y-6 in Report Item 2, and adding a check box on the form for institutions to request confidential treatment for the data provided.

The final reporting forms and instructions are available on the Federal Reserve Board's website at www.federalreserve.gov under "Reporting Forms." A summary of updates to the reporting forms and instructions is provided in Attachment 1.

Institutions may subscribe to the Federal Reserve Board's email notification service to receive alerts regarding report forms and instructions updates at: <http://www.federalreserve.gov/reportforms/whats-new.htm>. These updates include changes related to proposed new and existing data collections and final reporting forms and instructions.

If you have any questions regarding these changes, please contact Phyllis Strum at Phyllis.Strum@rich.frb.org or 804-697-2794.

Sincerely,

A handwritten signature in black ink that reads "Hattie Barley". The signature is written in a cursive style with a large, looped "H" and "B".

Hattie Barley
Vice President

Statistics and Reserve Accounts Department

cc: FR Y-6 Report Contacts
Attachment

ATTACHMENT 1

Revisions to the FR Y-6 for December 2016

Report Form

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- (1) *Page 1.* Updated legal citations in the “This report is required by law” section.

 - (2) *Page 1.* Modified the confidentiality questions to align with recently approved confidentiality check-box proposal for the financial regulatory reports.

 - (3) *Page 1.* Clarified signature requirements for ESOPs/ESOTs.

Report Instructions

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- (1) *GEN-1.* Added IHCs to “Who Must Report” section to

 - (2) *GEN-2.* Revised “When to Submit the Report” to identify the two submission options: paper submission and electronic submission (via e-mail).

 - (3) *GEN-2.* Updated “Confidentiality.”

 - (4) *GEN-3.* Added instructions for the new confidentiality “Check Box.”

 - (5) *GEN-4.* Clarified signature requirements for ESOPs/ESOTs.

 - (6) *GEN-4* Changed references to “Cover Page” to “Page 1.”
and
GEN-5.

 - (7) *GEN-5.* Revised information on LEI.

 - (8) *GEN-5,* Renumbered footnotes.
GEN-6,
GEN-7,
GEN-9,
and
GEN-10.

 - (9) *GEN-6.* Clarified “Additional companies reportable on the FR Y-6.”

 - (10) *GEN-9.* Clarified ownership in “Report Item 3: Securities Holders.”

 - (11) *SAMP-1.* Clarified organization chart sample for BHCs.

 - (12) *SAMP-2.* Clarified organization chart sample for SLHCs.

Revisions to the FR Y-7 for December 2016

Report Form

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- (1) *Page 1.* Updated legal citations in the “This report is required by law” section.

 - (2) *Page 1.* Modified the confidentiality questions to align with recently approved confidentiality check-box proposal for the financial regulatory reports.

 - (3) *Page 1.* Clarified signature requirements for ESOPs/ESOTs.

Report Instructions

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- (1) *GEN-1,* Clarified interests in IHCs are reportable on the FR Y-6.
RI-2,
and
RI-3.

 - (2) *GEN-2.* Updated “Confidentiality.”

 - (3) *GEN-3.* Added instructions for the new confidentiality “Check Box.”

 - (4) *GEN-4.* Clarified signature requirements for ESOPs/ESOTs.

 - (5) *GEN-2,* Changed references to “Cover Page” to “Page 1.”
GEN-3,
GEN-4,
and
GEN-5.

 - (6) *GEN-5.* Revised information on LEI.

Revisions to the FR Y-10 for December 2016

Report Form

None

Report Instructions

None