



FEDERAL RESERVE BANK *of* ST. LOUIS
CENTRAL TO AMERICA'S ECONOMY®

P.O. Box 442
St. Louis, MO 63166

DATE: January 17, 2024
TO: Eighth District Holding Companies
SUBJECT: Tips for Successful FR Y-6 Report Filing

The Federal Reserve System requires the *Annual Report of Holding Companies* (FR Y-6) to be filed by all top-tier holding companies. For multi-tiered holding company organizations, only the top-tier holding company needs to submit the FR Y-6. However, Report Items 3 and 4 must be completed and submitted along with the FR Y-6 for **each** subsidiary holding company if there are any changes from the prior year. The data are used by supervision and regulation staff to monitor the activities of holding companies and to ensure that their activities are conducted in a safe and sound manner.

General Instructions of the FR Y-6 Report include:

- *Report Form and Instructions* – A slight revision has been made to the FR Y-6 report instructions. The FR Y-6 report form has an expiration date of November 30, 2025, which is located in the top right-hand corner of the report. **The most current form must be used when submitting the report.** All report submissions must include the signed cover page, checklist, tiering page (if applicable), and a copy of the annual report to shareholders (if it meets the reporting criteria.) Only submit report items 2, 3, or 4 if they have changed from the prior year's report submission. **We cannot accept report items that did not change.** New filers who have not filed the FR Y-6 previously must submit the entire report. Holding companies must follow the instructions for reporting each item it has indicated as having changes.
 - **Cover page:** Complete and submit.
 - **Report Item 1:** If a reporter is not registered with the SEC, complete the appropriate checkbox and submit the Annual Report to Shareholders, as needed.
 - **Checklist (Verification of Changes) page:** If a reporter checks “Yes” to changes in any of the report items from the prior year, also check the appropriate “Yes” or “No” response for each report item to indicate if there are changes from the prior year. If a reporter checks “No” to changes in any of the report items from the prior year, no other checkboxes need responses on the checklist. Submit completed checklist with report.
 - **For Use By Tiered Holding Companies page:** Complete **only** if applicable and submit.
 - **Report Item 2a:** If there were changes compared to the prior year, then submit the organization chart. If **no** changes, do **not** submit.

- **Report Item 2b:** Complete the branch verification. If there were changes compared to the prior year (branch addition(s)/deletion(s) or changes in branch information), then submit the domestic branch listing. If **no** changes, do **not** submit.
 - **Report Item 3:** If there were changes compared to the prior year, then submit the securities holders. If **no** changes, do **not** submit.
 - **Report Item 4:** If there were changes compared to the prior year, then submit the insiders. If **no** changes, do **not** submit.
- *How to Submit the Report* – A Reporter may submit the FR Y-6 report as a Portable Document Format (PDF) file in **Reporting Central**. For further details, please see the attached letter regarding electronic submission of the FR Y-6 report. **Only one complete report needs to be submitted; however, if you are requesting confidential treatment of the FR Y-6, a confidential version of the report and a public version of the report need to be submitted.**

Report Item 2(b), Domestic Branch Listing:

The Federal Reserve provides a website, <http://structurelists.federalreserve.gov> for respondents to download branch information in a spreadsheet format for review, verification and, if necessary, correction. An FR Y-10 report is also necessary to report branch changes. **A reporter is required to verify and reconcile the branch report(s) against the actual domestic branches of each depository institution, and a verification of the head office must be completed, if a depository institution does not have any branches. If a reporter checks the “Yes” checkbox for Report Item 2b, Domestic Branch Listing, the reporter must submit the domestic branch listing as specified in the Report Item 2b instructions.**

Note: A branch verification spreadsheet must accompany each FR Y-6 filing ONLY if changes need to be reported.

If you plan to submit the **branch verification for any changes** annotated on the listing via email, please use the appropriate address:

STLS.NIC1@stls.frb.org	(State of Arkansas)
STLS.NIC2@stls.frb.org	(States of Indiana and Missouri)
STLS.NIC3@stls.frb.org	(States of Kentucky and Tennessee)
STLS.NIC4@stls.frb.org	(States of Illinois and Mississippi)

Please indicate your institution’s name, city, and state in the subject line of your email. Also, please include a contact name and phone number in the email message for any questions we may have regarding your data.

**SPECIAL
INSTRUCTIONS:**

Please **do not include personal information with your FR Y-6 submission** unless it is specifically requested in the report form instructions. Examples of information that should **NOT** be disclosed in the FR Y-6, include: personal home

street addresses, telephone numbers, social security numbers, bank account numbers, or driver's license numbers.

DUE DATE: For both Reporting Central and mailed report submissions, the FR Y-6 report is due at this Reserve Bank no later than 5:00 p.m. on **Monday, April 1, 2024**. For a mailed report to be considered timely, it must enter the delivery system by the following dates:

First Class Mail:
Wednesday, March 27, 2024

Overnight Delivery:
Friday, March 29, 2024

Please submit your report to the following address:

First Class Mail:
Federal Reserve Bank of St. Louis
S&R Records Center
P.O. Box 442
St. Louis, MO 63166

Messenger or Overnight:
Federal Reserve Bank of St. Louis
S&R Records Center
1421 Dr. Martin Luther King Drive
St. Louis, MO 63106-3716

**FURTHER
INFORMATION:**

If you have any questions, please contact:
Jessica Noah-Gregory, (314) 444-0885 or email: Jessica.J.Noah-Gregory@stls.frb.org
Donna Ashrafzadeh, (314) 444-7463 or email: Donna.Ashrafzadeh@stls.frb.org

ENCLOSURES:

Reporting Central Information
Report Form
Instructions
Sample
Helpful Hints
Examples of Personally Identifiable Information (PII)