



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

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

**DATE:** May 25, 2021  
**TO:** Eighth District Holding Companies  
**SUBJECT:** Financial Statements for Employee Stock Ownership Plan Holding Companies (FR Y-9ES) as of December 31, 2020

The FR Y-9ES report form and instructions are available on the Federal Reserve Board's public web site at <https://www.federalreserve.gov/apps/reportforms>.

## **REPORTING CENTRAL**

Holding companies filing the FR Y-9ES reports are required to submit the report electronically. Holding companies must maintain in their files a manually signed and attested printout of the data submitted. The cover page of the Reserve Bank supplied report forms should be used to fulfill the signature and attestation requirement and this page should be attached to the printout placed in the bank holding company's files.

If you complete the preparation, editing, and review of your report before the submission deadline, please file the report immediately rather than waiting. Early submission provides for additional time for your institution to become accustomed with the new enhanced electronic submission process, and aids the Federal Reserve in the editing, review, and analysis of the reports. If you later find certain information needs to be revised, please make the appropriate changes to your report and promptly submit the revised data.

The Federal Reserve developed Reporting Central to enhance the overall reporting functionality of the Federal Reserve Banks' data collection and processing activities. These enhancements will allow for a more secure, technically advanced, and efficient system that will encompass a single point of entry for electronic submission and file uploads. Financial and nonfinancial institutions will access Reporting Central via the FedLine® Web Access Solutions site to submit reports and gain access to electronic reporting applications, report forms, and instructions. The [Reporting Central application](#) can be accessed for additional information including an online resource center. If you have any questions regarding Reporting Central, please contact one of the analysts listed below.

## **CONFIDENTIAL CHECKBOX**

FR Y-9ES reports are available to the public upon request on an individual basis. All data are published, with the exception of items deemed confidential per the report's instructions, unless the

individual holding company from which the data were collected has been granted confidential treatment or has a request pending. A holding company may request confidential treatment for the entire report or for specific items on the report. To better facilitate confidentiality requests and ensure the data are properly handled during the review of the request, the Federal Reserve strongly encourages institutions that are of the opinion that disclosure of certain commercial or financial information in the report would likely result in substantial harm to its (or its subsidiaries') competitive position or that disclosure of the submitted personal information would result in unwarranted invasion of personal privacy to:

- (1) Notify their Reserve Bank of their intent to request confidential treatment in advance of the written request and
- (2) Check the appropriate confidentiality checkbox on the FR Y-9ES report.

For more information on confidentiality requests, please see the FR Y-9ES General Instructions.

## **DUE DATE**

The completed form must be submitted in Reporting Central by **5:00 p.m. CDT on Monday, August 2, 2021**. ESOPs that have filed Form 5558 with the IRS for an extension must submit a copy of the form to this Reserve Bank by 5:00 p.m. CDT on August 2, 2021, to receive an extension to October 15, 2021.

## **ANALYSTS**

For any questions or issues, please contact one of the analysts listed below.

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