



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

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

DATE: May 27, 2020
TO: Eighth District Holding Companies
SUBJECT: Financial Statements for Employee Stock Ownership Plan Holding Companies (FR Y-9ES) as of December 31, 2019

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

All Employee Stock Ownership Plan holding companies must submit their FR Y-9ES report electronically using the Reporting Central data collection system.

The Reporting Central data collection system will subject the Holding Company's electronic data submission to validity edits that must be resolved before the data can be accepted. You are encouraged to provide quality edit explanations via email to any of the analysts listed below, or our Statistics shared inbox at stls.statandstructure@stls.frb.org. If you do not provide the edit explanations via email, Federal Reserve Bank staff will contact you regarding any edits.

The Federal Reserve developed Reporting Central to enhance the overall reporting functionality of the Federal Reserve Banks' data collection and processing activities. Additional information about the Reporting Central application, including an online resource center is available at: <https://www.frbervices.org/central-bank/reporting-central/index.html>.

CONFIDENTIAL TREATMENT

Generally the FR Y-9ES report is available to the public upon request on an individual basis. However, a holding company may request confidential treatment for the entire report or for specific items on the FR Y-9ES 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) send the confidentiality request in writing prior to data submission.

For more information on confidentiality requests, please see the FR Y-9ES General Instructions. Note: The information referenced above pertains to the existing manual process for submitting confidentiality requests. The final notice to add the confidentiality check box to the front page of the FR Y9-ES form has been published in the [Federal Register](#).¹ The implementation date for the new confidentiality check box procedures has not been determined. Institutions will be provided with ample notice so that they may prepare for submission of the new confidentiality check box requirements.

ADDITIONAL INFORMATION

There were no changes to the report form instructions. The expiration date for the report form has been extended through March 31, 2022.

DUE DATE

The completed form must be submitted in Reporting Central by **5:00 p.m. CDT on Friday, July 31, 2020**. 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 July 31, 2020, to receive an extension to October 15, 2020.

ANALYSTS

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

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¹ 80 FR **52282** (August 28, 2015)