

Quick Reference Guide For Filers

Electronic Applications ("E-Apps") enables the submission of documents associated with an application, notice or request ("filing") to the Board of Governors of the Federal Reserve System ("FRS").

Getting Access

To access E-Apps, you must obtain a digital certificate, which is a security measure that ensures only authenticated filers can access E-Apps. The certificate will reside on your computer and you will be the only person who can use it. You must be authorized by each institution for which you will submit filings. Information on how to obtain a certificate can be found at:

www.federalreserve.gov/bankinfo/eapps.htm

Questions about getting a certificate? – Call the Customer Contact Center at (888) 333-7010, (Option 1).

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Getting Started with E-Apps

Step 1: Access E-Apps through the FRS website at:

www.federalreserve.gov/bankinfo/eapps.htm

Upon a successful login to E-Apps, you will be directed to the welcome page. The links on the left and right of the screen contain information that will help you prepare and submit a filing, along with various legal information. Click on **Start the Filing Process!** to begin.

Step 2: At this stage, you can choose to create or modify a filing, or you can view summaries of pending filings. Links at the top and bottom of the screen provide additional information and are repeated on every page.

CAUTION: Filings must be completed and submitted in one session. For security reasons, E-Apps will time-out after 10 minutes of inactivity. Have all of your documentation handy before beginning the filing process.



Please select the type of filing process you would like to initiate.

- [Create New Initial Filing or Pre-Filing](#)
- [Modify Existing Filing](#)
 - Add Additional Documents or Re-submission
 - Amend Institutions/Notificants
- [Modify Pre-Filing](#)
 - Add Additional Documents or Re-submission to a Pre-Filing
 - Amend Institutions/Notificants
 - Update Pre-Filing to Filing
- [View Filing Summaries](#)

NOTE: The submission date for all filings submitted after 3:00 PM of the designated Local FRB time zone will be the following business day.

Create a New Initial Filing or Pre-filing

Step 1: Select the **Create New Initial Filing or Pre-filing** link.

Please select the type of filing process you would like to initiate.

- [Create New Initial Filing or Pre-Filing](#)
- [Modify Existing Filing](#)
Add Additional Documents or Re-submits on Amended Institutions/Notificants
- [Modify Pre-Filing](#)
Add Additional Documents or Re-submits on to a Pre-Filing Amended Institutions/Notificants Update Pre-Filing to Filing
- [View Filing Summaries](#)

NOTE: Draft filings are not accepted. However, advance Federal Register requests and biographical forms can be submitted prior to the submission of an initial filing.

Step 2: Select the institution(s) for the new filing by checking the select box.

Back

Back will go back one page.

Cancel

Cancel will delete any selections and return to home.

Select

☒
☒
☐
☐

Continue

Continue will move to the next step.

Only institutions you are authorized to act on behalf of will show up in the institution list. Click **Continue** after selecting the appropriate institution(s).

CAUTION: Do not use your browser buttons (Back, Refresh, Stop, etc.). Instead, use the buttons on the E-Apps pages (Back, Cancel, Continue).

Step 3: Confirm that the correct institution has been selected. Institutions added in error can be removed by selecting the box in the right-hand column and clicking the **Remove** button. Click **Continue**.

Remove

☒	☐
☐	☐
☐	☐

Remove

Step 4: Confirm that filer contact information is correct, and select the *District* to which you wish to submit the filing and *Filing Status*. Click **Continue**.

FRB District:

Filing Status:

Step 5: The document attachment page allows you to upload documents that are part of the filing and select metadata about them (confidentiality and document identifiers).

Document Profile Information

Add Attachment: File size limit: 50mb

Document Identifier I: Filing

The **Browse** button allows you to search your own computer for documents to attach.

CAUTION: A Confidentiality Determination must be made and at least one Document Identifier must be selected, or you will get an error message.

After you click **Complete Attachment**, the document is added to the table at the bottom of the screen. You may attach as many documents as necessary, but each document must be no larger than 50MB. Improperly added documents can be selected and removed. When finished, click **Continue**.

NOTE: Signature pages of cover forms, personal financial and biographical reports, and commitments must be provided in scanned documents.

Step 6: Legal Certification Page. You must check the box to accept the legal certification, and click **Accept & Submit Filing** to proceed.

☒ I accept the conditions of the Legal Certification and agree to its terms and conditions

Step 7: Confirmation. You will receive a confirmation number for the filing just submitted, along with a list of the documents included and a copy of the legal certification. You should make a note of the confirmation number for future reference. You can now log out or begin another submission.

Confirmation Of Submission

Confirmation Number: 6204

This confirms that documents were submitted to the Board of Governors of the Electronic Applications System (E-Apps) on behalf of

Test Bank One

by FRB Debbie L. Kaminski on March 03, 2008 01:43:40 PM Central. The (s):

Document Name	Submit Date
UAT Test File 1.doc	March 03, 2008 01:43:40 PM Central
UAT Test File 2.doc	March 03, 2008 01:43:40 PM Central

All regulatory filings submitted to the Federal Reserve must be true, correct

Modify Existing Filing

Step 1: From the External Filer Home Page select **Modify Existing Filing**.

Please select the type of filing process you would like to initiate.

- Create New Initial Filing or Pre-Filing
- **Modify Existing Filing**
Add Additional Documents or Re-submission
Amended Institutions/Notificants
- **Modify Pre Filing**
Add Additional Documents or Re-submission to a Pre-Filing
Amended Institutions/Notificants
Update Pre-Filing to Filing
- View Filing Summaries

Step 2: Select the institution associated with the filing that will be modified and click **Continue**.

Select

☐

Step 3: Select the specific filing to be modified and click **Continue**.

Select

☐

Step 4: You may also add or delete institutions from the filing. Click **Continue**.

State/Province	Country	Select
NC	United States	☒
TX	United States	☐
MA	United States	☐

Add

Select

☒

Remove

Step 5: You must add at least one document to the filing. Select the document identifier and confidentiality, and note whether it is a resubmission or new document. Click **Complete Attachment** and the document will show up in the table. Click **Continue** when finished.

Step 6: As with the initial filing process, when filing modification is completed, the Legal Certification page will appear. You must check the box to accept the legal certification, and click **Accept & Submit Filing** to proceed. The Confirmation of Submission page then appears and you will receive confirmation that the filing was modified, and a list of the new document(s) added.

Modify Pre-filing

Step 1: From the External Filer Home Page select **Modify Pre-Filing**.

Step 2: Select the institution associated with the pre-filing that will be modified and click **Continue**.

Select

☐

Step 3: Select the specific pre-filing to be modified and click **Continue**.

Select

☐

Step 4: You must indicate whether the status of the pre-filing should be changed to a final filing.

Change the status from pre-filing to final filing? ☒ Yes ☐ No

You may also add or remove institutions from the filing.

State/Province	Country	Select
NC	United States	☒
TX	United States	☐
MA	United States	☐

Add

Select

☒

Remove

Step 5: At least one document must be added. If the filing status has been changed to "Final Filing", Document Identifier 1 will be listed as **Filing** in the Document Table. Click **Continue**.

Document Identifier	Document
Pre-Filing Part 1 11/08/2007	Cover
Pre-Filing Part 2 11/08/2007	Biograph Report
doc Filing	Entire Submis

Step 6: Check the box to accept the legal certification, and click **Accept & Submit Filing** to proceed. The Confirmation of Submission page then appears and you will receive confirmation that the pre-filing has been modified.

View Filing Summaries

Step 1: From the External Filer Home Page select **View Filing Summaries**.

NOTE: You can only see summaries for institutions that have authorized you to act on their behalf.



Step 2: Select an institution associated with the filing you wish to view and click **Continue**.

Step 3: Select the specific filing you wish to view and click **Continue**.

Step 4: The summary will display the filing confirmation number, Federal Reserve District, filing stage and document name(s) for the filing selected. You can not view any of the documents attached to the filing.

Filing Information	
Confirmation Number:	6124
FRB District:	Boston
Filing Stage:	Initial Filing
Documents:	pdfarchiving.pdf UAT Test File 3.doc UAT Test File 4.doc

Frequently Asked Questions

Who do I contact with questions regarding E-Apps? E-Apps experts have been designated in each District to help you understand the system and how to use it. You may contact your local Reserve Bank Applications manager or analyst for more information.

Is technical support available for E-Apps?

Yes. If you encounter problems while using E-Apps, please contact your local E-Apps expert. Your local expert will work with you and technical staff to resolve the problem.

What file format should I use to submit my filing documents using E-Apps? The preferred formats for submitting filing documents are Microsoft® Word (.doc), Excel® (.xls), or Adobe Acrobat® (.pdf) files. Please note that documents requiring a signature must be scanned. Individual documents can not be larger than 50MB in size.

What if there is a virus in one of my files? E-Apps scans all documents before they are uploaded. If a document is contaminated, it will not be accepted and you will get an error message.

What should I name my files? You may name your files whatever you wish, however, we recommend using names that will be meaningful to the FRS staff who will be processing your filing.

Specifically, what documents must be scanned?

The signature pages of cover forms, personal financial and biographical reports, and commitments must be scanned. Other documents may be submitted in their native format (e.g., Microsoft Word, Microsoft Excel).

What if I make a mistake while submitting a filing? Your local expert will notify you of any issues with a submitted filing and you may be required to submit additional or revised information.

Can I submit filings 24 hours a day? Yes, except on Sundays from 12:00 a.m. until 1:00 p.m. CT. Filings received after 3:00 p.m. of the designated Federal Reserve Bank's local time zone will be deemed to be filed on the next business day.

How do I know that my filing was submitted?

You will receive both e-mail and on screen confirmation that your filing has been submitted. Authorized officials at the institution you are filing on behalf of also will receive e-mail confirmation that the filing has been submitted.

Who is my local E-Apps expert?

Boston	Laura Calderwood.....	617.973.4210
New York.....	Robin Whidbee	212.720.5786
Philadelphia.....	Judy Lynn	215.574.6171
Cleveland	Jim Terlop	216.579.2197
Richmond	Wayne Cox	804.697.8219
Atlanta	Julie Mizell	404.498.7299
Chicago	Lisa Smith	515.241.1477
St. Louis.....	Paul Lippold	314.444.8643
Minneapolis	Julie Randall	612.204.5202
Kansas City	Sally Payne	816.881.6826
Dallas.....	Robert Amsler	214.922.6087
San Francisco	Tania Luhde	415.974.3229

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