

INSTRUCTIONS FOR REQUESTING AN ELECTRONIC APPLICATIONS (E-APPS)[®] CERTIFICATE FOR FILING INSTITUTIONS

Requesting a certificate is as easy as...

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Step 1- Download the forms

E-Apps forms are posted on the Federal Reserve Board's E-Apps home page at the following URL:
(<http://www.federalreserve.gov/bankinfo/eapps/signup.htm>).

Forms also may be requested from the Federal Reserve's Customer Contact Center (CCC) at (800) 333-2690 or (816) 881-2690.

Step 2 – Fill out all necessary forms

All forms can be downloaded in PDF format for offline completion.

Authorizing Officer Form

Financial institutions that seek to submit application documents through E-Apps **must** appoint **at least one** Authorizing Officer for their organization.

Who can appoint an Authorizing Officer? The Authorizing Office may only be appointed by a senior executive at the filing organization who is authorized to file applications.

Who can be an Authorizing Officer? An Authorizing Office may be any officer at the filing organization who has responsibility for the oversight of applications. A senior executive who is authorized to file applications may appoint himself or herself as an Authorizing Officer.

Authorizing Officer Duties:

- Identify employees who are authorized to submit application documents to the Federal Reserve and/or designate a third party agent (such as a law firm or consulting agency) to file on behalf of the filing institution.
- Submit Filing Employee Designation and Credential Request Forms to the CCC for each Filing Employee.
- Communicate any changes concerning Filing Employees to the CCC.
- Ensure all Filing Employees comply with the terms and conditions of the Certification Practice Statement ("CPS") (<http://www.federalreserve.gov/pkicertificates/cpstatement.htm>) and applicable security procedures.

Letter to Appoint an Agent Firm

Your Authorizing Officer may designate an Agent Firm (such as a law firm or consulting group) to file on behalf of your institution by mailing a notarized letter to the CCC. A sample Agent Designation Letter can be downloaded from the forms page. The Agent Firm must review the instructions for requesting certificates for agent firms and complete all agent forms provided on the E-Apps home page.

Filing Employee Form

If your organization chooses to use an Agent Firm, you need only to appoint an Authorizing Officer; however, you may also choose to appoint Filing Employees within your institution in addition to appointing an Agent Firm. All financial institutions that seek to submit application filings through E-Apps (and do not designate a third party agent to file on their behalf) **must** appoint **at least one** Filing Employee for their organization. The Filing Employee is appointed by the Authorizing Officer and is responsible for accessing E-Apps and submitting application materials on behalf of a filing organization. An Authorizing Officer may not appoint himself or herself as a Filing Employee.

- The Authorizing Officer must complete a Filing Employee Designation and Credential Request Form for **each** employee authorized to act on behalf of the organization.
- Institutions are encouraged to appoint more than one Filing Employee to minimize the possibility of disruption or delay in the institution's access to E-Apps.
- The Filing Employee Form may be submitted with the Authorizing Officer Forms or at any time thereafter.

Step 3 – Mail forms to the CCC

<p>Customer Contact Center P.O. Box 219416 Kansas City, MO 64121-9416</p> <p>E-Mail: ccc coordinators@kc.frb.org</p> <p>Phone: (888) 333-7010 or (612) 204-7010, Option 2 Fax: 866-333-8076</p>
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What happens next?

Review Process

The CCC reviews all forms. If any of the forms are not complete or otherwise appear to be inaccurate, the CCC will contact the Authorizing Officer for clarification or to request additional information.

Certificate is Issued

The CCC issues the certificate(s) and e-mails will be generated to both the Authorizing Officer and the Filing Employee.

Download the Certificate!

Instructions for downloading the certificate are contained in the e-mails sent to the Authorizing Officer and Filing Employee. Personal assistance also is available from the CCC.

Helpful Tips on Using Your Certificate

- There is no charge to a filing organization for certificates.
- Certificates must be downloaded within 18 days after receiving the e-mails regarding the issuance of the certificates, or a new certificate must be issued.
- Certificates are valid for three years. Filing Employees and Authorizing Officers will be notified prior to the certificate's expiration date.
- A password must be created by the Filing Employee and cannot be reset; the Employee must keep the password confidential; if a password is forgotten, a new certificate must be issued.
- New certificates must be issued any time a Filing Employee's name changes. Other changes (i.e., new location, e-mail address, phone number) can be made without having a new certificate issued.
- The Authorizing Officer is obligated to report any compromised certificates or passwords and/or request that a certificate be revoked when a Filing Employee no longer requires access to E-Apps.