

Board of Governors of the Federal Reserve System



## Annual Report of Foreign Banking Organizations—FR Y-7

Section 5(c)(1) of the Bank Holding Company  
Act (12 U.S.C. § 1844(c)(1)) and sections

### Report at the close of business as of the end of

This report form is authorized by law: ~~Sections 8(a) and 13(a) of the International Banking Act (12 U.S.C. §§ 3106(a) and 3108(a)); sections 113, 165, 312, 618, 809 of the Dodd-Frank Act (12 U.S.C. §§ 5361, 5365, 5412, 1850a(c)(1), and 5468(b)(1))~~.

Return to the appropriate Federal Reserve Bank the original and number of copies of the completed report required by the Federal Reserve Bank. The Federal Reserve may not conduct or sponsor, and an organization (or a person) is not required to respond to, an information collection unless it displays a currently valid OMB control number.

NOTE: The *Annual Report of Foreign Banking Organizations* must be signed by an authorized official of the foreign banking organization.

I, \_\_\_\_\_  
Name of Foreign Banking Organization Authorized Official

Title of Foreign Banking Organization Authorized Official

attest that the *Annual Report of Foreign Banking Organizations* (including the supporting attachments) for this report date have been prepared in conformance with the instructions issued by the Federal Reserve System and are true and correct to the best of my knowledge and belief.

*With respect to information regarding individuals contained in this report, the Reporter certifies that it has the authority to provide this information to the Federal Reserve. The Reporter also certifies that it has the authority, on behalf of each individual, to consent or object to public release of information regarding that individual. The Federal Reserve may assume, in the absence of a request for confidential treatment submitted in accordance with the Board's "Rules Regarding Availability of Information," 12 C.F.R. Part 261, that the Reporter and individual consent to public release of all details in the report concerning that individual.*

Signature of Foreign Banking Organization Authorized Official

Date of Signature

Indicate status of Annual Report to Shareholders:

- is included with the FR Y-7 report
- will be sent under separate cover
- is not prepared

### For Federal Reserve Bank Use Only

RSSD ID \_\_\_\_\_  
C.I. \_\_\_\_\_

Address (URL) for the Foreign Banking Organization's web page

Is confidential treatment requested for any portion of this report submission? .....  0=No  1=Yes

In accordance with the General Instructions for this report (check only one),

1. a letter justifying this request is being provided along with the report .....
2. a letter justifying this request has been provided separately ...

NOTE: Information for which confidential treatment is being requested must be provided separately and labeled as "confidential."

## Checklist

The checklist below is provided to assist the reporting foreign banking organization in filing all the necessary responses to the various report items. Each report item should be checked and the appropriate blanks filled in. The completed checklist should be returned with the report.

Check the **Yes**, **No**, or **Not Applicable** box to indicate if the report item is included with the initial filing.

For report item 2, the top-tier FBO must verify and reconcile the organization structure information. See the FR Y-7 instructions on guidance for reporting item 2.

opriate, to indicate if the report item is included with the initial filing.

## Report Item 1: Financial Information Regarding the Foreign Banking Organization (FBO)

Yes  No 1(a) Response provided in Attachment(s) # \_\_\_\_\_

Yes 1(b) Response provided in Attachment(s) # \_\_\_\_\_

## Report Item 2: Organization Information for the FBO

Yes 2(a) Response provided in Attachment(s) # \_\_\_\_\_

Yes  N/A 2(b) Response provided in Attachment(s) # \_\_\_\_\_

### **Report Item 3: Shares and Shareholders**

Yes 3(a) Response provided on Report Page # \_\_\_\_\_ or in Attachment(s) # \_\_\_\_\_

Yes  No 3(b) Response provided on Report Page # \_\_\_\_\_ or in Attachment(s) # \_\_\_\_\_

Yes  No 3(c) Response provided on Report Page # \_\_\_\_\_ or in Attachment(s) # \_\_\_\_\_

#### **Report Item 4: Eligibility as a Qualified Foreign Banking Organization (QFBO)**

Yes  No Items 4(e) and 4(f) have been completed and provided on Report Page # \_\_\_\_\_ or in Attachment(s) # \_\_\_\_\_

Yes  N/A Items 4(j) and 4(k) have been completed and provided on Report Page # \_\_\_\_\_ or in Attachment(s) # \_\_\_\_\_

Yes  N/A Items 4(l) and 4(m) have been completed and provided on Report Page # \_\_\_\_\_ or in Attachment(s) # \_\_\_\_\_

## Report Item 5: Regulation YY Compliance for the FBO

Yes  No Items 5(a) through 5(e) have been completed and provided on Report Page #

## For Use by Tiered Foreign Banking Organizations

*Tiered foreign banking organizations must list the legal name, mailing address, and physical location of subsidiary foreign banking organizations below. Refer to Who Must Report in the general instructions for filing by tiered foreign banking organizations.*

A. For the fiscal year ending on

Month / Day / Year

Legal name of subsidiary foreign banking organization:

Mailing address of head office:

Street

City

Country

Physical location of principal office:  
(not mailing address)

Street

City

Country

Name and address of authorized official in the United States:

Name

Street

City

State

ZIP Code

Area Code / Phone Number

Area Code / FAX Number

E-mail Address

1.

Name

Title

*an authorized official of the company named above, certify that this Annual Report of Foreign Banking Organizations has been prepared in conformance with the report instructions.*

Signature of Authorized Official

Date

## For Use by Tiered Foreign Banking Organizations—Continued

*If the Foreign Banking Organization has more than two tiers, use additional pages as needed.*

**B. For the fiscal year ending on** \_\_\_\_\_  
Month / Day / Year

**Legal name of subsidiary foreign banking organization:** \_\_\_\_\_

**Mailing address of head office:** \_\_\_\_\_  
Street \_\_\_\_\_

City \_\_\_\_\_ Country \_\_\_\_\_

**Physical location of principal office:** \_\_\_\_\_  
(not mailing address) Street \_\_\_\_\_

City \_\_\_\_\_ Country \_\_\_\_\_

**Name and address of authorized official in the United States:** \_\_\_\_\_  
Name \_\_\_\_\_

Street \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

Area Code / Phone Number \_\_\_\_\_ Area Code / FAX Number \_\_\_\_\_

E-mail Address \_\_\_\_\_

**I,** \_\_\_\_\_  
Name \_\_\_\_\_ Title \_\_\_\_\_

**an authorized official of the company named above, certify that this Annual Report of Foreign Banking Organizations has been prepared in conformance with the report instructions.**

Signature of Authorized Official \_\_\_\_\_ Date \_\_\_\_\_