

#### **Board of Governors of the Federal Reserve System**



C.I.

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

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

This report form is authorized by law: Section 5(c)(1) of the Bank Holding Company Act (12 U.S.C. § 1844(c)(1)) and sections 8(a) Return to the appropriate Federal Reserve Bank the original and number of copies of the completed report required by the

and 13(a) of the International Banking Act (12 U.S.C. §§ 3106(a) and 3108(a)).	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	Date of Report (foreign ba	nking organization'	s fiscal year-end):		
organization.	Month / Day / Year				
I,	Reporter's Name, Street, a	nd Mailing Address			
Name of Foreign Banking Organization Authorized Official	Legal Name of Foreign Banking Org	anization (Top-tier if filing	as a tiered organization)		
Title of Foreign Banking Organization Authorized Official	0				
attest that the Annual Report of Foreign Banking Organizations (including the supporting attachments) for this report date have	Street Address of the Foreign Banl	king Organization			
been prepared in conformance with the instructions issued by the Federal Reserve System and are true and correct to the best of	City	Country			
my knowledge and belief.	Mailing Address of the Principal Office (If different from street address)				
With respect to information regarding individuals contained in this report, the Reporter certifies that it has the authority to provide this	City	Country			
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.	Person in the United States should be directed:	s to whom question	s about this report		
The Federal Reserve may assume, in the absence of a request for confidential treatment submitted in accordance with the Board's	Name	Title			
"Rules Regarding Availability of Information," 12 C.F.R. Part 261, that the Reporter <u>and</u> individual consent to public release of all details in the report concerning that individual.	Street				
•	City	State	Zip Code		
	Area Code / Phone Number	Area Code / FA	K Number		
Signature of Foreign Banking Organization Authorized Official	E-mail Address				
Date of Signature	Address (URL) for the Foreign Bar	nking Organization's web	page		
Indicate status of Annual Report to Shareholders:	Is confidential treatment requesting this report submission?				
is included with the FR Y-7 report	In accordance with the Gener				
will be sent under separate cover	(check only one),				
is not prepared	a letter justifying this rec with the report				
For Federal Reserve Bank Use Only	2. a letter justifying this red	quest has been provic	ed separately $\square$		
RSSD ID	NOTE: Information for which confidential treatment is being requested must be provided separately and labeled				

Public reporting burden for the information collection in the FR Y-7 is estimated to average 6 hours per response, including time to gather and maintain data in the required form and to review instructions and complete the information collection. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Secretary, Board of Governors of the Federal Reserve System, 20th and C Streets, NW, Washington, DC 20551, and to the Office of Management and Budget, Paperwork Reduction Project (7100-0297), Washington, DC 20503. 12/2022

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 N/A checkbox below, as appropriate, to indicate if the report item is included with the initial filling.

Report Ite	<b>m 1:</b> Financia	I Information Regarding the Foreign Ba	unking Organization (EBC	77	
Yes	□ <del>No</del>	1(a) Response provided in Attachmen		·)	
Yes		1(b) Response provided in Attachmen			
Report Ite	<b>m 2:</b> Organiz	ation Information for the FBO			
Yes		2(a) Response provided in Attachmen	<del>t(s) #</del>		
Yes	□ N/A	2(b) Response provided in Attachmen	t <del>(s) #</del>		
Report Ite	m 3: Shares	and Shareholders			
Yes		3(a) Response provided on Report Pa	<del>ge #</del>	or in Attachment(s) #	
Yes	□ No	3(b) Response provided on Report Pa	<del></del>	er in Attachment(s) #	
Yes	□ <del>No</del>	3(c) Response provided on Report Pa	<del>ge #</del>	or in Attachment(s) #	
Report Ite	m 4: Eligibilit	y as a Qualified Foreign Banking Orga	nization (QFBO)		
Yes	□ <del>No</del>	Items 4(e) and 4(f) have been comple on Report Page #	ted and provided		
Yes	□ N/A	Items 4(j) and 4(k) have been completed on Report Page #	ed and provided or in Attachment(s) #		
Yes	□ <del>N/A</del>	Items 4(I) and 4(m) have been completed on Report Page #	eted and provided or in Attachment(s) #		
Report Ite	<b>m 5:</b> Regulat	ion YY Compliance for the FBO			
Yes	□ <del>No</del>	Items 5(a) through 5(e) have been cor on Report Page #	mpleted and provided		



# 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.

Legal-name of subsidiary-foreign-banking organizations:    Mailing-address-of-head-office:   Street	A. For the fiscal year ending on			
Mailing address-of-head-office:   Street	-	Month / Day / Year		
Mailing address of head-office:   Street	Legal name of subsidiary foreign ba	nking organization:		
Street  City  Country  Physical-location of principal office: (not mailing address)  City  Country  Name and address of authorized official in the United States:  Street  City  Street  City  Street  City  Street  Final Address  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.				
Street  City  Country  Physical-location of principal office: (not mailing address)  City  Country  Name and address of authorized official in the United States:  Street  City  Street  City  Street  City  Street  Final Address  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.	Mailing address of head office:			
Physical location of principal office: (not mailing address)  Siteet  Gity  Name  Name  Size  City  State  City  State  ZIP-Code  Area Code / Phone Number  E-mail Address  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.	3	Street		
Physical location of principal office: (not mailing address)  Siteet  Gity  Name  Name  Size  City  State  City  State  ZIP-Code  Area Code / Phone Number  E-mail Address  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.				
Physical location of principal office: (not mailing address)  Street  Gity  Name  Street  Gity  Street  Gity  Street  Finali Address  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.		Gity	Country	
(not mailing-address)  Street  City  Name  Street  City  State  ZIP-Code  Area-Code-/-Phone-Number  E-mail Address  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:	Dh			
Name and address of authorized official in the United States:    Name   Name	(not mailing address)	Street		
Name   Street	(,			
Name   Street		City	Country	
Street   Street   State   ZtP-Code			Country	
Street  Gity  State  ZIP-Code  Area-Code /-Phone Number  Area-Code /-FAX.Number  E-mall Address  It	Name and address of authorized of			
City  State  Area-Code / Phone Number  Area-Code / FAX Number  E-mail-Address  Fille  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.		Name		
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			<del>Report of Foreign Banking Organization</del>	<del>is has been</del>
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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 bar	nking organization:			
Mailing address of head office:	<u>-</u>			
	Street			
	City	Coun	try	
Physical location of principal office:				
(not mailing address)	Street			
	City	Coun	try	
Name and address of authorized offi	icial in the United States:			
	Nar	<del>ne</del>		
	Street			
	City	State		ZIP Code
	Area Code / Phone Number	- A	Area Code / FAX Number	
	E-mail Address			
<del></del>				
Name		Title		
an authorized official of the company no	amed above, certify that this	Annual Report of Fore	eign Banking Organiza	tions has been
prepared in conformance with the report	t instructions.	•		
	Signature of Authorized Official		<del>Date</del>	

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

1.a.1. Have the financial statements been certified
by an independent public accountant?

- 1.a.2. Do the financial statements consolidate all material subsidiaries that are majority-owned financial companies?
- 1.a.3. Do the financial statements reflect any significant changes in accounting standards or policies used in preparing such statements since the last filing of the FRY-7?

0=No 1=Yes	MDRM #
0=No 1=Yes	MDRM #
0=No 1=Yes	MDRM #

1.a.4. If rep	orter responded "Yes" to item 1.a.3, please describe the	
changes.		 /IDRM#
•		

#### Report Item 1(b) Annual Report to Shareholders

Indicate the status of Annual Report to Shareholders for each MDRM FBO reported.

Annual Report to Shareholders is included with the FR Y-7 report.

Annual Report to Shareholders will be sent under separate cover.

Annual Report to Shareholders is not prepared.

Report Item 2(a)2. Additional entities reportable on the FR Y-7 Organization Chart. Report nonbanking companies the reporter directly or indirectly in aggregate controls more than 5%, but less than 25% of the outstanding shares of any class of voting securities. (MDRMs will be added to each item). ADD MDRMs

2(a)2(a). Legal Name MDRM	2(a)2(b) City MDRM	2(a)2(c) Country or State MDRM	2(a)2(d). Country or State of Incorporation MDRM	2(a)2(e). LEI MDRM	2(a)2(f) Direct Holder MDRM

Report Item 2(b): Foreign companies held pursuant to section 2(h)(2) of the BHC Act and Section 211.23(f)(5) of Regulation K, or Section 4(c)(9) of the BHC Act and Section 211.23(f)(5) of Regulation K.

Does the FBO have any additional foreign companies held pursuant to Section 2(h)(2) of the BHC Act and Section 211.23(f)(5) of Regulation K, or Section 4(c)(9) of the BHC Act and Section 211.23(f)(5) of Regulation K?  $0 = N_0$ 

0 = No 1 = Yes MDRM XXXX

	2(b)1(a)1. Legal Name MDRM XXXX	2(b)1(a)2. City MDRM XXXX	2(b)1(a)3. Country MDRM XXXX	2(b)1(b). Legal Entity Identifier (LEI) MDRM XXXX	Percentage of Class of Voting Shares Held MDRM XXXX	Percent of consolidated assets that are in the U.S.	Percent of gross revenues derived from	Is the foreign company a subsidiary? 0 = No, 1 = Yes MDRM XXXX	Are the U.S. activities the same/related to those	2(b)2(c). NAICS Code of U.S. activities MDRM XXXX
•										
2										
;	i.									

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

#### Name of FBO:

# Item 3(a) Number and Types of Shares

3(a)1. Type of Shares MDRM XXXX	3(a)2. Number of Shares Authorized, Issued or Held MDRM XXXX	3(a)3. Description of Voting Rights and any agreement that limit the voting of such shares MDRM XXXX

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#### **Item 3(b) Nonbearer Securities**

Does the FBO have nonbearer securities? MDRM XXXX No = 0 Yes = 1

If the response is "yes," list each known shareholder that directly or indirectly owns, controls, or holds with power to vote 5 percent or more of any class of nonbearer securities (see Regulation Y, Section 225.2(q)(3) (defining "class of voting shares")) of the FBO. Provide the following information for each.

3(b)1(a). Name MDRM XXXX	3(b)1(b). Street Address of Principal Residence for Individuals, or of head office for companies MDRM XXXX	3(b)1(c). City MDRM XXXX	3(b)2. Country of Citizenship or of organization MDRM XXXX	3(b)3(a). Number of each class of nonbearer securities (or their equivalent) owned, controlled, or held with power to vote MDRM XXXX	3(b)3(b). Percentage of each class of nonbearer securities (or their equivalent) owned, controlled, or held with power to vote MDRM XXXX
-					

#### INTERNAL FR/OFFICIAL USE // FRSONLY

#### **Item 3(c) Bearer Securities**

Does the FBO have bearer securities? Yes =1, No = 0

If the response is "yes," list each known shareholder that directly or indirectly owns, controls, or holds with power to vote 5 percent or more of any class of bearer securities (see Regulation Y, Section 225.2(q)(3) (defining "class of voting shares")) of the FBO. Provide the following information for each.

3(c)1(a). Name MDRM XXXX	3(c)1(b). Street Address of Principal Residence for Individuals, or of head office for companies MDRM XXXX	3(c)1(c). City MDRM XXXX	3(c)2. country of citizenship or of organization MDRM XXXX	3(c)3(a). Number of each class of bearer securities (or their equivalent) owned, controlled, or held with power to vote MDRM XXXX	3(c)3(b). Percentage of each class of bearer securities (or their equivalent) owned, controlled, or held with power to vote MDRM XXXX
	,				
		A			

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

Top-tier Foreign Banking Organization (FBO) should complete this report item 4 by responding to any of the two of the three indicated criteria (assets, revenues, net income) below.

(MDRM's needed for each item)

4(a) QFBO Test. Report amounts fo	r two of the three criteria below to illustrate eligibility by	top-tier FBO	
	Currency Am	ount Currency Type	
1. Assets:	a) total non-U.S. banking	ME	DRM
	b) total U.S. banking	ME	DRM
	c) total worldwide nonbanking	ME	DRM
2. Revenues derived from:	a) total non-U.S. banking	ME	DRM
	b) total U.S. banking	ME	DRM
	c) total worldwide nonbanking	ME	DRM
3. Net Income derived from:	a) total non-U.S. banking	ME	DRM
	b) total U.S. banking	ME	DRM
	c) total worldwide nonbanking	ME	DRM

Report Item 4(b): Eligibility Test for Limited Exemptions. Institutions should indicate in the checkbox below whether they are a top-tier or a subsidiary FBO.

Top-tier FBO should report item 4(b) only if it does not meet the requirements for eligibility as a QFBO in report item 4(a).

If the FBO claims the limited exemptions pursuant to Section 211.23(c) of Regulation K, then each foreign bank included within the FBO should report Item 4(b). Please see the General instructions for additional information on who must report. Use additional pages as needed.

Enter 0 for no	or 1 for yes to indicate whether the respon	dent is the top-tier	FBO or subsidiary:	
Top-tier FBO	Foreign Bank within the FBO			
Name of FBO:				
4(b) Limited Ex	emptions Test. Respond to any of the two of t	he three criteria for e	ligibility by reporting the applica	able amounts.

		Currency Amount	Currency Type	
1. Assets:	a) total non-U.S. banking			MDRM
	b) total U.S. banking			MDRM
	c) total worldwide nonbanking			MDRM
2. Revenues derived from:	a) total non-U.S. banking			MDRM
	b) total U.S. banking			MDRM
	c) total worldwide nonbanking			MDRM
3. Net Income derived from:	a) total non-U.S. banking			MDRM
	b) total U.S. banking			MDRM
	c) total worldwide nonbanking			MDRM

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

5(a) Satisfies the capital stress-testing standards set forth in 12 CFR 238.162 FSLHC with total consolidated assets of more than \$250 billion	0=No 1=Yes 2=N/A	MDRM #
5(b) Maintains a U.S. risk committee in compliance with the risk-committee requirements of 12 CFR 252.132(a) FBO with total consolidated assets of at least \$50 billion but less than \$100 billion	0=No 1=Yes 2=N/A	MDRM #
5(c) Maintains a U.S. risk committee in compliance with 12 CFR 252.144(a) FBO with total consolidated assets of \$100 billion or more but combined U.S. assets of less than \$100 billion	0=No 1=Yes 2=N/A	MDRM #
5(d) Satisfies the capital stress-testing standards set forth in 12 CFR 252.146(b) FBO with total consolidated assets of \$100 billion or more but combined U.S. assets of less than \$100 billion	0=No 1=Yes 2=N/A	MDRM #
5(e) Satisfies the capital stress-testing standards set forth in 12 CFR 252.158(b) FBO with combined U.S. assets of \$100 billion or more and combined U.S. assets of \$100 billion or more	 0=No 1=Yes 2=N/A	MDRM #