

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



**Bank Holding Company Report of Changes  
 In Investments and Activities—FR Y-6A**

Public reporting burden for the information collection is estimated to vary from .5 to 175 hours per response, with an average of 1 hour per response, including time to gather and maintain the data and complete the information collection. The Federal Reserve may not conduct or sponsor, and a person is not required to respond to an information collection unless it displays a currently valid OMB control number. Comments regarding this estimate or any other aspects of this information burden may be sent to Secretary, Board of Governors of the Federal Reserve System, Washington, D.C. 20551, and to the Office of Management and Budget, Washington, D.C. 20503.

**Report within 30 Days following a change  
 in the bank holding company's investments or activities**

This Report is required by law: Section 5(c) of the Bank Holding Company Act (12 U.S.C. 1844) and Section 225.5(b) of Regulation Y (12 CFR 225.5[b]).

FRB Use Only
ID_BHC_TYPE
ID_RSSD
STATE_CD(MAIL)
COUNTY_CD
STATE_CD
STATUS_CONF

Report Date

\_\_\_\_\_  
 Month / Day / Year

**Top Tier Bank Holding Company**

Legal Name

Physical Street Address

Physical City, County, State / (Country), Zip Code

Check here if address changed

Printed Name of Officer

Signature of Officer

Date of Signature

Mailing Street Address

Mailing City, State / (Country), Zip Code

Check here if address changed

Printed Name of Person to Contact

Phone Number of Contact

# Characteristics Schedule

This schedule should be used to report initial information on newly formed or acquired companies and changes to characteristics of previously reported companies.

## A) Name/Address Information

Current Information	Previous Information	
1) _____ Legal Name	_____	_____ Effective Date
2) _____ Physical Street Address (For BHCs Only)	_____	_____ Effective Date
3) _____ Physical City, County, State / (Country), Zip Code	_____	_____

FRB Use Only	
ID_RSSD	
Alt ID	
Alt Id Type	
COUNTY_CD	
STATE_CD	
COUNTRY_CD	
CHTR_TYPE_CD	
ORG_TYPE_CD	

## B) Other Characteristics Information

ITEM	NEW OR INITIAL VALUE	EFFECTIVE DATE (Changes Only)
1) Formation Date		
2) Charter Type		
Other, specify:		
3) Organization Type		
<b>Organization Types: 1=Corporation, 2=Partnership, 3=Limited Partnership, 4=Trust, 5=Sole Proprietorship, 6=Mutual, 9=Cooperative, 10=Limited Liability Partnership, 11=Limited Liability Corporation, 99=Other (Provide Explanation)</b>		

## Bank Holding Companies Only:

4) Fiscal Year End (MM/DD)		
5) SEC Reporting Status (Y/N)		
<b>SEC Reporting Status: Y=Reporting/Filing with SEC, N=Not Reporting/Filing with SEC</b>		

# Investments/Activities Schedule

Use this schedule to report initial organizational structure and activities and changes to the organizational structure and activities.

FRB Use Only	
E1	
E2	

Legal Name of the Direct Holder/Survivor	Physical Location (City, State/(Country))

Legal Name of the Subject Entity	Physical Location (City, State/(Country))

Transaction Types to Use for Investments: ADL, CMNC, DEC, INC, LIQ, MGR, NLR, OTH, SALE, TRF, TRT						
Transaction Type	Transaction Date	Basis of Relationship	Percent Equity	Control Indicator	DPC	Correction (Y, N)

If the transaction type is merger (MGR) involving banks, did this entity continue as a branch of the survivor? (Y, N) \_\_\_\_\_

**Accounting Method:** Circle One (Pooling of Interest, Purchase or Assumption)

**If subject entity was purchased from or sold to another bhc, please provide the following:** Circle One (Purchased, Sold)

Legal Name of the BHC	Physical Location (City, State)

Transaction Types to Use for Activities: CMNC, PRIM, TERM				
Transaction Type	Transaction Date	Regulatory Code	Activity Code	Correction (Y, N)

Description of the Activity