

# FEDERAL RESERVE BANK *of* NEW YORK

33 LIBERTY STREET, NEW YORK, NY 10045-0001

**PATRICIA SELVAGGI**  
ASSISTANT VICE PRESIDENT

February 10, 2017

**To: The FR Y-6 Contacts at the Addressed Holding Company:**

I am writing to you to make individuals responsible for preparing the Annual Report of Holding Companies (FR Y-6) aware that the Federal Reserve is offering the option of submitting the FR Y-6 electronically beginning with the December 31, 2016 as-of date. In lieu of mailing or hand delivering the completed FR Y-6 report, you may submit the FR Y-6 report as a Portable Document Format (PDF) file in an attachment to a secured email. The email address your institution can use to submit the FR Y-6 electronically is: [ny.frb.branchinformation@ny.frb.org](mailto:ny.frb.branchinformation@ny.frb.org). This is the same address available to submit Branch Verification Reports. Institutions that wish to submit paper reports can continue to do so.

As stated in the report instructions, dated December 21, 2016, if you intend to submit the FR Y-6 electronically, it should be submitted through a secure email channel. Institutions that submit through a non-secure email channel are accepting all risk of exposure. To ensure secure email transmission, respondents should use Zixmail or an established Transport Layer Security (TLS) connection. Reporters can access additional information regarding the use of ZixMail via the [FRSecure Message Center website](#). If Zixmail and a TLS connection are not available then a password protected version of Winzip can also be used to securely send an attachment.

## Report Formats

In order to submit the FR Y-6 through email, it must be submitted in a PDF format. The entire report (including the branch verification) must be submitted together (no portion can be mailed) and the file size must be less than 50MB. To expedite receipt of PDF files, respondents are encouraged to zip or compress their files whenever possible. The entire report will be accepted only as a single PDF file. Multiple PDFs will be required when requesting confidentiality for a portion of the report.

February 10, 2017

2

Subject Line and File Names

Reporters must utilize the following naming convention when submitting documents:

1. Subject Line: Respondent identifier specified in subject line and/or body of email (if applicable) matches respondent identifier and data included in the attachment(s) and/or file name
2. Report Name: FRY6.
3. Reporter RSSD ID: RSSD for the top tier holding company with no leading zeroes.
4. Type of File: Full or Partial.
5. Status of File: Initial or Revised.
6. Version of the File: Public or Confidential.
  - a. The use of Confidential should be applied to reports where the reporter is requesting confidential treatment. Confidential refers to the “request to be granted confidentiality” not “deemed to be confidential”. Confidentiality will be determined through local Reserve Bank policies and procedures.
7. As-Of Date of the File: 20161231 (as an example, but in the YYYYMMDD format going forward)
8. File Extension: PDF for all FR Y-6 reports. XLSX can be used for the Branch Verification Report
9. The Branch Verification Report file(s) must be similarly named.

Examples of appropriate file naming conventions are as follows:

- FRY6\_123456\_Full\_Initial\_Public\_20161231\_1 of 1
- FRY6\_123456\_Partial\_Initial\_Confidential\_20161231\_1 of 3
- FRY6\_123456\_Full\_Revised\_Public\_20160930\_1 of 1
- FRY6\_123456\_Partial\_Revised\_Confidential\_20160930\_2 of 3

February 10, 2017

3

### Branch Verification

The FR Y-6 report includes a requirement to review and reconcile branch information for your organization. To facilitate reporting, the Federal Reserve provides a website, <http://structurelists.federalreserve.gov> that can be used to download branch information in spreadsheet form for review and verification. Please refer to the instructions on the website to assist you in accessing your organization's information. All changes should be noted on the spreadsheet as specified in the instructions and separately reported on the Domestic Branch Schedule of the FR Y-10. The spreadsheet should be emailed as part of the PDF file, or emailed separately to [ny.frb.branchinformation@ny.frb.org](mailto:ny.frb.branchinformation@ny.frb.org) or sent in hardcopy to the address below.

Examples of appropriate file naming conventions are as follows:

- Branches\_123456\_Full\_Initial\_Public\_20161231\_1 of 1
- Branches\_123456\_Partial\_Initial\_Public\_20161231\_3 of 3

If you are unable to use the website and require a hardcopy listing of your branches for verification, please contact Jessy Etienne, Senior Financial Reports Analyst, Capital, Liquidity & Funding Department at [jessy.etienne@ny.frb.org](mailto:jessy.etienne@ny.frb.org) or (212) 720-6761 or Sheryl Ewen, Senior Financial Reports Analyst, Capital, Liquidity & Funding Department at [sheryl.ewen@ny.frb.org](mailto:sheryl.ewen@ny.frb.org) or (212) 720-6958.

In addition, we will be sending under a separate cover the following:

1. RSSD Tier Report for your organization to assist you with reviewing information and preparing the FR Y-6 report
2. The Guidance on how to review the Tier Report

The FR Y-6, including the submission of the branch listing, must be filed with the Federal Reserve Bank of New York no later than 90 calendar days after your holding company's fiscal year end. If you do not plan to submit the report through email, please submit one original report of the completed FR Y-6 report to:

Capital, Liquidity & Funding Departments  
Statistics Function, 4<sup>th</sup> Floor  
Federal Reserve Bank of New York  
33 Liberty Street  
New York, NY 10045

FEDERAL RESERVE BANK *of* NEW YORK

February 10, 2017

4

Questions regarding the submission of the FR Y-6 should be directed to either  
Kenneth Aberbach, Director at 212-720-8234, Sharon Swain, Staff Manager at 212-720-6202.

Sincerely,