

**Annual Report of Holding
Companies – FR Y-6
Securities Holders and Insiders
XLSX User Guide**

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Overview

The Federal Reserve System's Structure Central application allows a reporting entity to provide data for the Securities Holders and Insiders sections of the Annual Report of Holding Companies –FR Y-6 (FR Y-6) report as an XLSX file (among other valid formats).

This document describes the required format for creating the XLSX file for these two sections of the FR Y-6 report.

Securities Holders

The FR Y-6 report's Securities Holders (SH) section allows the User to indicate if there were changes to Item 3 SH from the prior year, download a template file in .XLSX or .XML format and/or upload the user's SH data file (.PDF, .XLSX, or .XML).

The template XLSX file (1) can be downloaded within Structure Central (see [Appendix A](#)) and should be filled out by the user. Once the user has prepared actual data based on the XLSX file format, the user can upload the actual XLSX file (2) as part of the report submission.

Create FR Y-6 Report

- 1 Cover Page
- 2 Confidentiality
- 3 Annual Report to Shareholders
- 4 Verification of Changes
- 5 Organization Chart
- 6 Domestic Branch Listing
- 7 Securities Holders

7 Securities Holders

Were there any changes to Item 3 Securities Holders from the prior year?

☐ No ☒ Yes

If there were changes, respondents must submit an updated Item 3 Securities Holders, utilizing one of the standard templates below.

Select downloadable standard template: **XLSX** XML

Attachments

Choose a file to upload or drag a file here. (.pdf, .xlsx, .xml)

No files currently selected

Next

Setting Up the XLSX Tabs

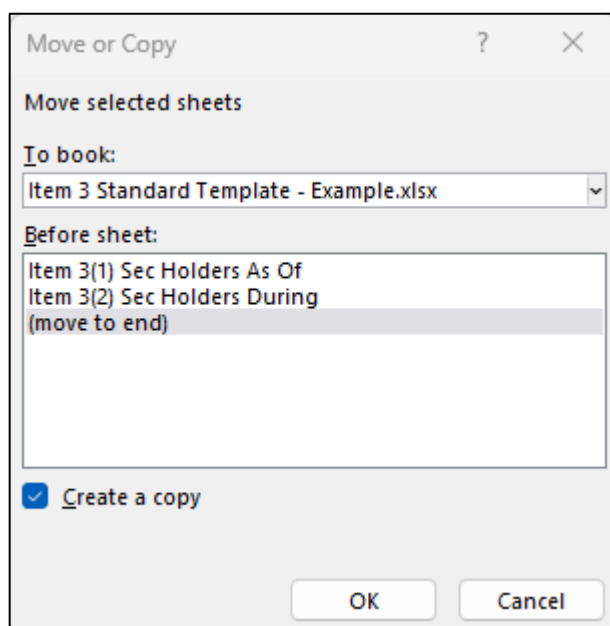
The XLSX template file is originally set up with two tabs:

- **Item 3(1) Sec Holders As Of** – use this tab to list each SH of record that directly or indirectly owns, controls or holds with power to vote 5 percent or more of any class of voting securities of the holding company as of the fiscal year end of the holding company. Please refer to the report instructions for further details.
- **Item 3(2) Sec Holders During** – use this tab to list each SH not listed in section 3(1) above that owned or controlled 5 percent or more of any class of voting securities in the holding company during the fiscal year for which the report is being filed. Please refer to the report instructions for further details.

Item 3(1) Sec Holders As Of Item 3(2) Sec Holders During

For each tab, the user is required to fill out the Legal Name of the Holding Company in cell B1.

In the case that the Reporter is part of a multi-tiered holding company organization, the user can copy these tabs for each tiered holding company, listing the proper Legal Name of the Holding Company in cell B1 in each of the newly copied tabs. To do this, right click on the tab(s) to be copied and select “Move or Copy...” > To book: Keep as-is > Before sheet: (move to end) > Check Create a copy > OK.



For example, if a Reporter has a 3-tiered holding company organization (Holding Company A, Holding Company B, and Holding Company C), the user's XLSX file should have 6 tabs:

1. *Item 3(1) Sec Holders As Of* – cell B1 = Holding Company A
2. *Item 3(2) Sec Holders During* – cell B1 = Holding Company A
3. *Item 3(1) Sec Holders As Of* (2) – cell B1 = Holding Company B
4. *Item 3(2) Sec Holders Durin* (2) – cell B1 = Holding Company B
5. *Item 3(1) Sec Holders As Of* (3) – cell B1 = Holding Company C
6. *Item 3(2) Sec Holders Durin* (3) – cell B1 = Holding Company C

For each holding company provided in the XLSX file, if there are no SH that meet the criteria for Item 3(2) reportability, do not delete the tab(s). Instead, the user is required to fill out the Legal Name of the Holding Company in cell B1 and in cell A7 fill out as N/A in each tab(s).

Scenario: Securities Holder is an Individual Person or Entity

If the SH is an Individual, they must be listed in an available row beginning with Row 7 in the spreadsheet. The following items are **not applicable and should read as N/A** for Individual SH:

- Item 3(1 or 2)(f) – Describe the provisions of the trust of plan
- Item 3(1 or 2)(g) – For individuals Acting in Concert, Identify Name of Individuals or Group Acting in Concert.
- Item 3(1 or 2)(h) – For Trusts, Identify each trustee or designated individual that has the power to vote

Scenario: Securities Holder is a Trust

If the SH is a Trust, it must be listed in an available row beginning with Row 7 in the spreadsheet. All items are **applicable**, and special attention should be paid to the following items if the SH is a Trust:

- Item 3(1 or 2)(f) – Describe the provisions of the trust of plan
- Item 3(1 or 2)(h) – For Trusts, Identify each trustee or designated individual that has the power to vote

Scenario: Securities Holders are Acting in Concert

If there are SH Acting in Concert, they must be listed in an available row beginning with Row 7 in the spreadsheet. All items are **applicable**, and special attention should be paid to the following items if the SH are Acting in Concert:

- Item 3(1 or 2)(g) – For individuals Acting in Concert, Identify Name of Individuals or Group Acting in Concert.
 - The user is free to name the Group Acting in Concert as they see appropriate, as long as it is easily identifiable and distinct from other Groups.
 - The user must include the full name of each individual Acting in Concert, if they decide not to name the SH as a Group.

See [Appendix B](#) for a Sample File for Item 3(1) and 3(2) Securities Holders.

Insiders

The FR Y-6 report's Insiders section allows the User to indicate if there were changes to Item 4 Insiders from the prior year, download a template file in .XLSX or .XML format and/or upload the user's Insiders data file (.PDF, .XLSX, or .XML).

The template XLSX file (1) can be downloaded within Structure Central (see [Appendix C](#)) and should be filled out by the user. Once the user has prepared actual data based on the XLSX file format, the user can upload the actual XLSX file (2) as part of the report submission.

8 Insiders

Were there any changes to Item 4 Insiders from the prior year?

☐ No ☒ Yes

If there were changes, respondents must submit an updated Item 4 Insiders, utilizing one of the standard templates below.

Select downloadable standard templates [.XLSX](#) [.XML](#)

Attachments

Choose a file to upload or drag a file here. (.pdf,.xlsx,.xml)

No files currently selected

Next

Setting Up the XLSX Tabs

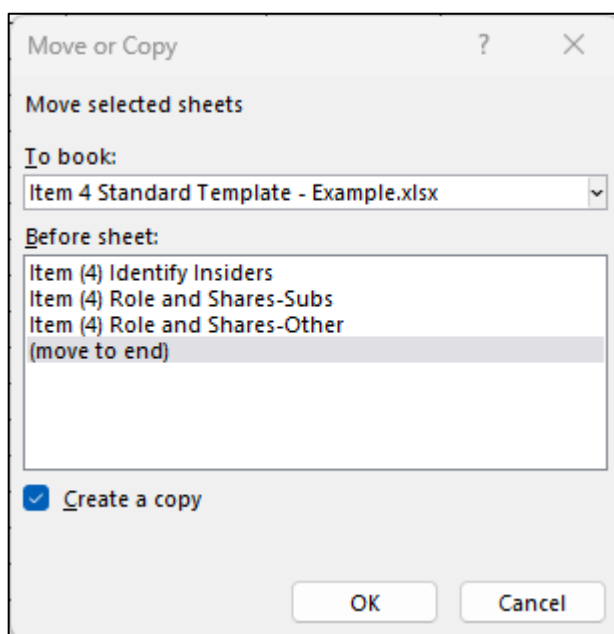
The XLSX template file is originally set up with three tabs:

- *Item (4) Identify Insiders* – use this tab to list each principal securities holder who owns, controls or has the power to vote 10 percent or more of any class of voting securities of a member bank or company, director, trustee, partner, executive officer, or person exercising similar functions of the holding company, regardless of title or compensation, as of the fiscal year end. Please refer to the report instructions for further details.
- *Item (4) Role and Shares-Subs* – use this tab to list each Insider from the first bullet above who has a title or position and/or voting securities owned, controlled or held with power to vote in subsidiaries of the holding company. Please refer to the report instructions for further details.
- *Item (4) Role and Shares-Other* - use this tab to list each Insider from the first bullet above who has a title or position and/or voting securities owned, controlled or held with power to vote in any other company. Please refer to the report instructions for further details.

<u>Item (4) Identify Insiders</u>	Item (4) Role and Shares-Subs	Item (4) Role and Shares-Other
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For each tab, the user is required to fill out the Legal Name of the Holding Company in cell B1.

In the case that the Reporter is part of a multi-tiered holding company organization, the user can copy these tabs for each tiered holding company, listing the proper Legal Name of the Holding Company in cell B1 in each of the newly copied tabs. To do this, right click on the tab(s) to be copied and select “Move or Copy...” > To book: Keep as-is > Before sheet: (move to end) > Check Create a copy > OK.



For example, if a Reporter has a 3-tiered holding company organization (Holding Company A, Holding Company B and Holding Company C), the user’s XLSX file should have 9 tabs:

1. *Item (4) Identify Insiders* – cell B1 = Holding Company A
2. *Item (4) Role and Shares-Subs* – cell B1 = Holding Company A
3. *Item (4) Role and Shares-Other* - cell B1 = Holding Company A
4. *Item (4) Identify Insiders (2)* – cell B1 = Holding Company B
5. *Item (4) Role and Shares-Su (2)* – cell B1 = Holding Company B
6. *Item (4) Role and Shares-Ot (2)* - cell B1 = Holding Company B
7. *Item (4) Identify Insiders (3)* – cell B1 = Holding Company C
8. *Item (4) Role and Shares-Su (3)* – cell B1 = Holding Company C
9. *Item (4) Role and Shares-Ot (3)* - cell B1 = Holding Company C

For each holding company provided in the XLSX file, if there are no Insiders that meet the criteria for reportability in subsidiaries or other companies, do not delete the tab(s). Instead, the user is required to fill out the Legal Name of the Holding Company in cell B1 and in cell A7 fill out as N/A in each tab(s).

Scenario: Insider does not hold a position with, nor owns any securities of, any Subsidiary or Other Company

If the Individual is only an Insider of the holding company, they must be listed in an available row beginning with Row 7 in the *Item (4) Identify Insiders* tab. The following tabs are **not applicable** to that individual and they should not be listed on the following tabs:

- Item (4) Role and Shares-Subs
- Item (4) Role and Shares-Other

Scenario: Insider owns multiple Other Companies or Subsidiaries

If the Individual owns voting securities in multiple Other Companies, the Individual must first be listed in an available row beginning with Row 7 in the *Item (4) Identify Insiders* tab. On the *Item (4) Role and Shares-Other* tab, the Insider should also be listed in multiple rows – one for each of the Other Companies.

For example, Insider 1 is the President and owns 100% of 3 Other Companies (Other Company A, Other Company B and Other C), the user's *Item (4) Role and Shares-Other* tab should have 3 rows dedicated to that Insider as follows:

Item 4(1)(a)	Item 4(5)(a)	Item 4(5)(b)	Item 4(5)(c)
Name	Title or Position with any other company in which the person is a director, trustee, partner, or executive officer.	Name of any other company in which the person is a director, trustee, partner, or executive officer, or owns, controls, or holds with power to vote 25% or more or its outstanding voting securities or proportionate in a partnership.	Percentage of each class of voting securities owned, controlled, or held with power to vote in any other company (including options, warrants or other securities or rights that can be converted into or exercised for voting securities), or proportionate interest held in a partnership, if 25% or more
FDHCPV99	FDHCPW09	FDHCPW10	FDHCPW11
Insider 1	President	Other Company A	100%
Insider 1	President	Other Company B	100%
Insider 1	President	Other Company C	100%

In a similar fashion, if the Individual owns voting securities in multiple Subsidiaries, the Individual must first be listed in an available row beginning with Row 7 in the *Item (4) Identify Insiders* tab. On the *Item (4) Role and Shares-Subs* tab, the Insider should also be listed in multiple rows – one for each of the Subsidiaries.

See [Appendix D](#) for a Sample File for Item 4 Insiders.

Appendix A: Template XLSX file for Securities Holders

The file below can be downloaded from Structure Central -> FR Y-6 Report -> Create New -> Step 7: Securities Holders

[FR Y-6 Template XLSX file for Securities Holders](#)

Appendix B: Sample XLSX file for Securities Holders

[FR Y-6 Sample XLSX file for Securities Holders](#)

Appendix C: Template XLSX file for Insiders

The file below can be downloaded from Structure Central -> FR Y-6 Report -> Create New -> Step 8: Insiders

[FR Y-6 Template XLSX file for Insiders](#)

Appendix D: Sample XLSX file for Insiders

[FR Y-6 Sample XLSX file for Insiders](#)