

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

Table of Contents

Overview	2
Securities Holders	2
Securities Holders: Visual layout	2
Securities Holders: Detailed Field Specifications	3
Securities Holders: XML File	4
Insiders	8
Insiders: Visual layout.....	9
Insiders: Detailed Field Specifications	10
Insiders: XML File.....	11
Appendix A: Sample XML file for Securities Holders	15
Appendix B: Sample XML file for Insiders.....	15

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) as an XML file (among other valid formats).

This document describes the required format for creating the XML 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 sample file in .XLSX or .XML format and/or upload the reporter's SH data file (.PDF, .XLSX, or .XML).

While the system allows the upload of multiple file formats, this document focuses on the XML file format. The sample XML file (1) should be used by the Reporter as a guide for the contents of the XML file to be uploaded. Once the reporter has prepared actual data based on the XML file format, the Reporter can upload the actual XML file (2).

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 (1)

Attachments

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

No files currently selected (2)

Next

Securities Holders: Visual layout

Item 3(1): Sec Holders As Of

Legal Name of Holding Company: FDHCPV71												
Item 3(1)(a) Name	Item 3(1)(b) City	Item 3(1)(c) State	Item 3(1)(d) Country	Item 3(1)(e) Country of Citizenship or Incorporation	Item 3(1)(f) Describe the provisions of the trust or plan	Item 3(1)(g) For Individuals Acting in Concert, Identify Name of Individuals or Group Acting in Concert.	Item 3(1)(h) For Trusts, Identify each trustee or designated individual that has the power to vote	Item 3(1)(i) Number of Securities - Common Stock	Item 3(1)(j) Number of Securities - Warrants	Item 3(1)(k) Number of Securities - Options	Item 3(1)(l) Number of Securities - Other	Item 3(1)(m) Percent of each class of voting securities owned, controlled, or held with power to vote in the holding company
FDHCPV72	FDHCPV73	FDHCPV74	FDHCPV75	FDHCPV76	FDHCPV77	FDHCPV78	FDHCPV79	FDHCPV80	FDHCPV81	FDHCPV82	FDHCPV83	FDHCPV84

Item 3(2): Sec Holders During

Legal Name of Holding Company: FDHCPV71												
Item 3(2)(a) Name	Item 3(2)(b) City	Item 3(2)(c) State	Item 3(2)(d) Country	Item 3(2)(e) Country of Citizenship or Incorporation	Item 3(2)(f) Describe the provisions of the trust or plan	Item 3(2)(g) For Individuals Acting in Concert, Identify Name of Individuals or Group Acting in Concert.	Item 3(2)(h) For Trusts, Identify each trustee or designated individual that has the power to vote	Item 3(2)(i) Number of Securities - Common Stock	Item 3(2)(j) Number of Securities - Warrants	Item 3(2)(k) Number of Securities - Options	Item 3(2)(l) Number of Securities - Other	Item 3(2)(m) Percent of each class of voting securities owned, controlled, or held with power to vote in the holding company
FDHCPV85	FDHCPV86	FDHCPV87	FDHCPV88	FDHCPV89	FDHCPV90	FDHCPV91	FDHCPV92	FDHCPV93	FDHCPV94	FDHCPV95	FDHCPV96	FDHCPV97

Securities Holders: Detailed Field Specifications

Item	Field	Data Type	Max Length	MDRM
Item 3(1) Sec Holders As Of				
	Legal Name of Holding Company	Text	120	FDHCPV71
Item 3(1)(a)	Name	Text	60	FDHCPV72
Item 3(1)(b)	City	Text	60	FDHCPV73
Item 3(1)(c)	State	Text	2	FDHCPV74
Item 3(1)(d)	Country	Text	60	FDHCPV75
Item 3(1)(e)	Country of Citizenship or Incorporation	Text	60	FDHCPV76
Item 3(1)(f)	Describe the provisions of the trust or plan	Text	120	FDHCPV77
Item 3(1)(g)	For individuals Acting in Concert, Identify Name of Individuals or Group Acting in Concert.	Text	120	FDHCPV78
Item 3(1)(h)	For Trusts, Identify each trustee or designated individual that has the power to vote	Text	120	FDHCPV79
Item 3(1)(i)	Number of Securities - Common Stock	Decimal	18.2	FDHCPV80
Item 3(1)(j)	Number of Securities – Warrants	Decimal	18.2	FDHCPV81
Item 3(1)(k)	Number of Securities - Options	Decimal	18.2	FDHCPV82
Item 3(1)(l)	Number of Securities - Other	Decimal	18.2	FDHCPV83
Item 3(1)(m)	Percent of each class of voting securities owned, controlled, or held with power to vote in the holding company	Text xxx.xx%	7	FDHCPV84
Item 3(2) Sec Holders During				
	Legal Name of Holding Company	Text	120	FDHCPV71
Item 3(2)(a)	Name	Text	60	FDHCPV85
Item 3(2)(b)	City	Text	60	FDHCPV86
Item 3(2)(c)	State	Text	60	FDHCPV87
Item 3(2)(d)	Country	Text	60	FDHCPV88
Item 3(2)(e)	Country of Citizenship or Incorporation	Text	60	FDHCPV89
Item 3(2)(f)	Describe the provisions of the trust or plan	Text	120	FDHCPV90
Item 3(2)(g)	For individuals Acting in Concert, Identify Name of Individuals or Group Acting in Concert.	Text	120	FDHCPV91
Item 3(2)(h)	For Trusts, Identify each trustee or designated individual that has the power to vote	Text	120	FDHCPV92
Item 3(2)(i)	Number of Securities - Common Stock	Decimal	18.2	FDHCPV93
Item 3(2)(j)	Number of Securities – Warrants	Decimal	18.2	FDHCPV94
Item 3(2)(k)	Number of Securities - Options	Decimal	18.2	FDHCPV95
Item 3(2)(l)	Number of Securities - Other	Decimal	18.2	FDHCPV96
Item 3(2)(m)	Percent of each class of voting securities owned, controlled, or held with power to vote in the holding company	Text xxx.xx%	7	FDHCPV97

Securities Holders: XML File

Each XML file contains the Securities Holders information for a reporting entity and report date. The field type and max length specification should follow the table above for each data value.

Below are the tags and attributes used in the XML file followed by sample XML data.

XML Tags and Attributes

Tag	Attribute	Description
<reportingFile>		A tag used to encapsulate all the data in the file.
	createTime	Time the file was created.
	createDate	Date the file was created.
	xmlns:xsi	Optional attribute which tells the schema-validator that all items used in the XML file are declared in the "http://www.w3.org/2001/XMLSchema-instance" namespace.
	xsi:noNamespaceSchemaLocation	Optional attribute that indicates the XML Schema document.
<report>		A tag used to encapsulate the reporting entity.
	series	Name of the reporting series. Value is "Y6".
	asOfDate	The report date.
<reportingEntity>		A tag used to encapsulate the item groups.
	mdrm	Identifier for the legalName reporting entity field.
	legalName	Legal Name of the reporting entity.
<itemGroup>		A tag used to encapsulate all the data items within the group.
	ref	Name of the item group. Value is "SecHolderAsOf" or "SecHolderDuring".
<itemData>		A tag used to indicate the data item and its value.
	mdrm	Identifier for the specific data item in the report.
	key	Presence of this attributes with a value of "yes" should be included for each <itemGroup> with a unique numeric value.
<value>		A tag used to indicate the value of the data item. Value of zero is indicated by: 0 Value of null is indicated by: <blank>

Sample XML file:

Below is an excerpt of the XML sample file.

The full XML sample file is included in **Appendix A: Sample XML file for Securities Holders**.

```
<?xml version="1.0" encoding="UTF-8"?>
<reportingFile createTime="12:39:00" createDate="2024-05-30"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xsi:noNamespaceSchemaLocation="Y6InputXML-Item3-1.0-20240603.xsd">
  <report series="Y6" asOfDate="2023-12-31" >
```

```

<reportingEntity mdrm="FDHCPV71" legalName="Smith Holding Company, Inc.">
  <itemGroup ref="SecHolderAsOf" >
    <itemData mdrm="mdrm" key="yes">
      <value>1</value>
    </itemData>
    <itemData mdrm="FDHCPV72">
      <value>John Smith</value>
    </itemData>
    <itemData mdrm="FDHCPV73">
      <value>Detroit</value>
    </itemData>
    <itemData mdrm="FDHCPV74">
      <value>MI</value>
    </itemData>
    <itemData mdrm="FDHCPV75">
      <value>USA</value>
    </itemData>
    <itemData mdrm="FDHCPV76">
      <value>USA</value>
    </itemData>
    <itemData mdrm="FDHCPV77">
      <value></value>
    </itemData>
    <itemData mdrm="FDHCPV78">
      <value>Smith Family</value>
    </itemData>
    <itemData mdrm="FDHCPV79">
      <value></value>
    </itemData>
    <itemData mdrm="FDHCPV80">
      <value>1.79</value>
    </itemData>
    <itemData mdrm="FDHCPV81">
      <value></value>
    </itemData>
    <itemData mdrm="FDHCPV82">
      <value></value>
    </itemData>
    <itemData mdrm="FDHCPV83">
      <value></value>
    </itemData>
    <itemData mdrm="FDHCPV84">
      <value>1.79%</value>
    </itemData>
  </itemGroup>
  <itemGroup ref="SecHolderAsOf" >
    <itemData mdrm="mdrm" key="yes">
      <value>2</value>
    </itemData>
  </itemGroup>

```

```

</itemData>
<itemData mdrm="FDHCPV72">
  <value>Joe Smith</value>
</itemData>
<itemData mdrm="FDHCPV73">
  <value>Carson</value>
</itemData>
<itemData mdrm="FDHCPV74">
  <value>CA</value>
</itemData>
<itemData mdrm="FDHCPV75">
  <value>USA</value>
</itemData>
<itemData mdrm="FDHCPV76">
  <value>USA</value>
</itemData>
<itemData mdrm="FDHCPV77">
  <value></value>
</itemData>
<itemData mdrm="FDHCPV78">
  <value>Smith Family</value>
</itemData>
<itemData mdrm="FDHCPV79">
  <value></value>
</itemData>
<itemData mdrm="FDHCPV80">
  <value>0.33</value>
</itemData>
<itemData mdrm="FDHCPV81">
  <value>0.12</value>
</itemData>
<itemData mdrm="FDHCPV82">
  <value></value>
</itemData>
<itemData mdrm="FDHCPV83">
  <value></value>
</itemData>
<itemData mdrm="FDHCPV84">
  <value>0.45%</value>
</itemData>
</itemGroup>
<itemGroup ref="SecHolderDuring" >
  <itemData mdrm="mdrm" key="yes">
    <value>1</value>
  </itemData>
  <itemData mdrm="FDHCPV85">
    <value>Jude Smith</value>
  </itemData>

```

```

        <itemData mdrm="FDHCPV86">
            <value>New Orleans</value>
        </itemData>
        <itemData mdrm="FDHCPV87">
            <value>LA</value>
        </itemData>
        <itemData mdrm="FDHCPV88">
            <value>USA</value>
        </itemData>
        <itemData mdrm="FDHCPV89">
            <value>USA</value>
        </itemData>
        <itemData mdrm="FDHCPV90">
            <value></value>
        </itemData>
        <itemData mdrm="FDHCPV91">
            <value>Smith Family</value>
        </itemData>
        <itemData mdrm="FDHCPV92">
            <value></value>
        </itemData>
        <itemData mdrm="FDHCPV93">
            <value>11.00</value>
        </itemData>
        <itemData mdrm="FDHCPV94">
            <value></value>
        </itemData>
        <itemData mdrm="FDHCPV95">
            <value></value>
        </itemData>
        <itemData mdrm="FDHCPV96">
            <value></value>
        </itemData>
        <itemData mdrm="FDHCPV97">
            <value>11.00%</value>
        </itemData>
    </itemGroup>
</reportingEntity>
</report>
</reportingFile>

```

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 sample file in .XLSX or .XML format and/or upload the reporter's Insiders data file (.PDF, .XLSX or .XML).

While the system allows the upload of multiple file formats, this document concentrates on the XML file format. The sample XML file (1) should be used by the Reporter as a guide for the contents of the XML file. Once the reporter has prepared actual data based on the XML file format, the Reporter can upload the actual XML file (2).

Edit Y6 Report

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

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 template: [.XLSX](#) [.XML](#) (1)

Attachments

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

No files currently selected (2)

[Submit](#) [Save As Draft](#)

Insiders: Visual layout

Item 4(1) – 4(3): Insiders

Legal Name of Holding Company: FDHCPV98						
Item 4(1)(a)	Item 4(1)(b)	Item 4(1)(c)	Item 4(1)(d)	Item 4(2)	Item 4(3)(a)	Item 4(3)(b)
Name	City	State	Country	Principal Occupation if other than with holding company	Title or Position with the Holding Company	Percentage of each class of voting securities owned, controlled, or held with power to vote in the holding company (including options, warrants or other securities or rights that can be converted into or exercised for voting securities)
FDHCPV99	FDHCPW00	FDHCPW01	FDHCPW02	FDHCPW03	FDHCPW04	FDHCPW05

Item 4(4): Insiders Role and Shares-Subs

Legal Name of Holding Company: FDHCPV98			
Item 4(1)(a)	Item 4(4)(a)	Item 4(4)(b)	Item 4(4)(c)
Name	Title or Position with direct and indirect subsidiaries	Name of direct and indirect subsidiaries in which Insider has a title or position or ownership in	Percentage of each class of voting securities owned, controlled, or held with power to vote in subsidiaries of the holding company (including options, warrants or other securities or rights that can be converted into or exercised for voting securities)
FDHCPV99	FDHCPW06	FDHCPW07	FDHCPW08

Item 4(5): Insiders Role and Shares-Other

Legal Name of Holding Company: FDHCPV98			
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 of 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

Insiders: Detailed Field Specifications

Item	Field	Data Type	Max Length	MDRM
Item 4(1) - 4(3): Insiders				
	Legal Name of Holding Company	Text	120	FDHCPV98
Item 4(1)(a)	Name	Text	120	FDHCPV99
Item 4(1)(b)	City	Text	60	FDHCPW00
Item 4(1)(c)	State	Text	2	FDHCPW01
Item 4(1)(d)	Country	Text	60	FDHCPW02
Item 4(2)	Principal Occupation if other than with holding company	Text	60	FDHCPW03
Item 4(3)(a)	Title or Position with the Holding Company	Text	60	FDHCPW04
Item 4(3)(b)	For individuals Acting in Concert, Identify Name of Individuals or Group Acting in Concert. Percentage of each class of voting securities owned, controlled, or held with power to vote in the holding company (including options, warrants or other securities or rights that can be converted into or exercised for voting securities)	Text ###.##%	7	FDHCPW05
Item 4(4): Insiders Role and Shares-Subs				
	Legal Name of Holding Company	Text	120	FDHCPV98
Item 4(1)(a)	Name	Text	120	FDHCPV99
Item 4(4)(a)	Title or Position with direct and indirect subsidiaries	Text	60	FDHCPW06
Item 4(4)(b)	Name of direct and indirect subsidiaries in which Insider has a title or position or ownership in	Text	120	FDHCPW07
Item 4(4)(c)	Percentage of each class of voting securities owned, controlled, or held with power to vote in subsidiaries of the holding company (including options, warrants or other securities or rights that can be converted into or exercised for voting securities)	Text ###.##%	7	FDHCPW08
Item 4(5): Insiders Role and Shares-Other				
	Legal Name of Holding Company	Text	120	FDHCPV98
Item 4(1)(a)	Name	Text	120	FDHCPV99
Item 4(5)(a)	Title or Position with any other company in which the person is a director, trustee, partner, or executive officer.	Text	60	FDHCPW09
Item 4(5)(b)	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.	Text	120	FDHCPW10
Item 4(5)(c)	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	Text ###.##%	7	FDHCPW11

Insiders: XML File

Each XML file contains the Insiders information for a reporting entity and report date. The field type and max length specification should follow the table above for each data value.

Below are the tags and attributes used in the XML file as well as sample XML data.

XML Tags and Attributes:

Tag	Attribute	Description
<reportingFile>		A tag used to encapsulate all the data in the file
	createTime	Time the file was created
	createDate	Date the file was created
	xmlns:xsi	Optional attribute which tells the schema-validator that all items used in the XML file are declared in the "http://www.w3.org/2001/XMLSchema-instance" namespace
	xsi:noNamespaceSchemaLocation	Optional attribute that indicates the XML Schema document
<report>		A tag used to encapsulate the reporting entity
	series	Name of the reporting series. Value is "Y6".
	asOfDate	The report date
<reportingEntity>		A tag used to encapsulate the item groups
	mdrm	Identifier for the legalName of the reporting entity.
	legalName	Legal Name of the reporting entity
<itemGroup>		A tag used to encapsulate all the data items within the group.
	ref	Name of the item group. Value is "Insider".
<itemData>		A tag used to indicate the data item and its value.
	mdrm	Identifier for the specific data item in the report.
	key	Presence of this attributes with a value of "yes" should be included for each <itemGroup> with a unique numeric value.
<value>		A tag used to indicate the value of the data item. Value of zero is indicated by: 0 Value of null is indicated by: <blank>
<itemGroup>		A tag used to encapsulate all the data items within the group.
	ref	Name of the item group. Value is "RoleSharesSubs" or "RoleSharesOther"
<itemData>	<see itemData tag above>	
<value>	<see value tag above>	

Sample XML file:

Below is an excerpt of the XML sample file.

The full XML sample file is included in **Appendix B: Sample XML file for Insiders**.

```
<?xml version="1.0" encoding="UTF-8"?>
<reportingFile createTime="12:39:00" createDate="2024-05-30"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xsi:noNamespaceSchemaLocation="Y6InputXML-Item4-1.0-20240603.xsd">
  <report series="Y6" asOfDate="2023-12-31" >
    <reportingEntity mdrm="FDHCPV98" legalName="Smith Holding Company, Inc.">
      <itemGroup ref="Insider" >
        <itemData mdrm="mdrm" key="yes">
          <value>1</value>
        </itemData>
        <itemData mdrm="FDHCPV99">
          <value>John Smith</value>
        </itemData>
        <itemData mdrm="FDHCPW00">
          <value>Detroit</value>
        </itemData>
        <itemData mdrm="FDHCPW01">
          <value>MI</value>
        </itemData>
        <itemData mdrm="FDHCPW02">
          <value>USA</value>
        </itemData>
        <itemData mdrm="FDHCPW03">
          <value>Dentist</value>
        </itemData>
        <itemData mdrm="FDHCPW04">
          <value>Director</value>
        </itemData>
        <itemData mdrm="FDHCPW05">
          <value>1.79%</value>
        </itemData>
      </itemGroup>
      <itemGroup ref="Insider" >
        <itemData mdrm="mdrm" key="yes">
          <value>2</value>
        </itemData>
        <itemData mdrm="FDHCPV99">
          <value>Joe Smith</value>
        </itemData>
        <itemData mdrm="FDHCPW00">
          <value>Carson</value>
        </itemData>
        <itemData mdrm="FDHCPW01">
```

```

        <value>CA</value>
    </itemData>
    <itemData mdrm="FDHCPW02">
        <value>USA</value>
    </itemData>
    <itemData mdrm="FDHCPW03">
        <value>Retired</value>
    </itemData>
    <itemData mdrm="FDHCPW04">
        <value>Director</value>
    </itemData>
    <itemData mdrm="FDHCPW05">
        <value>0.33%</value>
    </itemData>
    <itemGroup ref="RoleSharesSubs">
        <itemData mdrm="mdrm" key="yes">
            <value>1</value>
        </itemData>
        <itemData mdrm="FDHCPW06">
            <value>President & CEO</value>
        </itemData>
        <itemData mdrm="FDHCPW07">
            <value>Sub A</value>
        </itemData>
        <itemData mdrm="FDHCPW08">
            <value>N/A</value>
        </itemData>
    </itemGroup>
</itemGroup>
<itemGroup ref="Insider" >
    <itemData mdrm="mdrm" key="yes">
        <value>3</value>
    </itemData>
    <itemData mdrm="FDHCPV99">
        <value>Jack Smith</value>
    </itemData>
    <itemData mdrm="FDHCPW00">
        <value>Las Vegas</value>
    </itemData>
    <itemData mdrm="FDHCPW01">
        <value>NV</value>
    </itemData>
    <itemData mdrm="FDHCPW02">
        <value>USA</value>
    </itemData>
    <itemData mdrm="FDHCPW03">
        <value>Funeral Director</value>
    </itemData>

```

```

<itemData mdrm="FDHCPW04">
  <value>Director</value>
</itemData>
<itemData mdrm="FDHCPW05">
  <value>5.13%</value>
</itemData>
<itemGroup ref="RoleSharesOther">
  <itemData mdrm="mdrm" key="yes">
    <value>1</value>
  </itemData>
  <itemData mdrm="FDHCPW09">
    <value>CEO</value>
  </itemData>
  <itemData mdrm="FDHCPW10">
    <value>Company A</value>
  </itemData>
  <itemData mdrm="FDHCPW11">
    <value>10%</value>
  </itemData>
</itemGroup>
</itemGroup>
</reportingEntity>
</report>
</reportingFile>

```

Appendix A: Sample XML 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 Sample XML file for Securities Holders](#)

Appendix B: Sample XML file for Insiders

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

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