# **DFAST-14A Operational Risk Schedule Cover Sheet**

Institution Name:
RSSD ID:
או שנא איני
Submission Date (MM/DD/YYYY):
CERT:

#### **Covered Institution Operational Risk Historical Capital Worksheet**

## Basel II Mandatory or "Opt-In" Firms Only

- 1. If the covered institution is subject to the advanced approaches risk-based capital rules, the covered institution should fill out this worksheet and provide any supporting information in a separate document, cross-referencing the document to the respective item.
- 2. The firm should report the covered institution's operational risk capital by unit-of-measure (undiversified basis) from Q4 of the previous year to Q3 of the reporting year. The unit-of-measure is the level at which the covered institution's quantification model generates a separate distribution for estimating potential operational losses (e.g., organizational unit, operational loss event type, risk category, etc.).
- 3. Baseline scenario only.

Operational risk capital by covered institution unit-of measure (undiversified) - insert additional rows as necessary)

## \$Millions

Unit of Measure	Q4 2011	Q1 2012	Q2 2012	Q3 2012
Totals	-	-	-	-

#### Covered Institution Legal Reserves Reporting Worksheet

## Section 2 - Annual Reporting of Legal Reserves

a. For each year in the chart below, report the total dollar value of the institution's legal reserve balance, representing the total legal reserve balance that was included on the institution's financial statements as of September 30. The covered institution's initial submission should contain annual legal reserve balances from Q3 2008 through Q3 2012.

**Total Legal Reserves:** 

b. Legal Reserves Pertaining to Repurchase Litigation (Voluntary): For Q3 2012, on a voluntary basis, report the total dollar value of the institution's legal reserves pertaining to repurchase litigation which was included on the institution's financial statements as part of the total legal reserve on September 30.

Voluntary Reporting of Legal Reserves Pertaining to Repurchase Litigation:

Total Repurchase Litigation Reserve Balance				
Quarter	Year	\$ Balance (Millions)		
Q3	2012			