FR Y-14A Schedule E - Operational Risk

Institution Name:		
RSSD ID:		
Source:	ВНС	
Submission Date (MM/DD/YYYY):		

FR Y-14A Schedule	E.1 - BHC O _I	perational Ris	k Historical	Capital
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Basel II Mandatory or "Opt-In" Firms Only		
0		
0		
ВНС		
1/0/1900		

1. If the BHC is subject to the advanced approaches risk-based capital rules (12 CFR part 225, Appendix, G), the BHC should fill out this worksheet and provide any supporting information in a separate document, cross-referencing the document to the respective item.

BHC Operational Risk Historical Capital Worksheet

- 2. Insert BHC Name, RSSD, Source, and Submission Date in the space provided above.
- 3. The firm should report the BHC'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 BHC's quantification model generates a separate distribution for estimating potential operational losses (e.g., organizational unit, operational loss event type, risk category, etc.).
- 4. BHC Baseline scenario only.

Operational risk capital by BHC unit-of measure (undiversified) - Insert additional rows as necessary)

\$Millions

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Unit of Measure	HQ3*	HQ2	HQ1	As of Quarter
Totals	_	_	-	_
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^{*}HQ is Historical Quarter and represents the number of quarters prior to the as of quarter that should be reported

BHC Legal Reserves Reporting Worksheets		
BHC Name:	0	
RSSD:	0	
Source:	ВНС	
Submission Date	: 1/0/1900	
Section 2 - Annual Reporting of Legal Reserves		
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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 BHC's initial submission should contain annual legal reserve balances from Q3 of the as-of reporting quarter as well as Q3 from the prior four years.

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Total Legal Reserves:

Total Legal Reserve Balance			
Year	\$ Balance (Millions)		
As-of Q3			
Q3 - HY1			
Q3 - HY2			
Q3 - HY3			
Q3 - HY4			
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b. Legal Reserves Pertaining to Repurchase Litigation (Voluntary): For Q3 2013, 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. Also please report the subset of this amount which is related only to contractual Representation and Warranty (R&W) claims (excluding any amounts set aside for damages, penalties, etc).

Voluntary Reporting of Legal Reserves Pertaining to Repurchase Litigation:

			Repurchase Litigation Reserve	
	Total Repurchase Litigation Reserve Balance		Balance related only to	
			contractual R&W claims	
	As of Quarter	\$ Balance (Millions)	\$ Balance (Millions)	
	Q3			