

**Draft**

# **FFIEC 009a – Country Exposure Information Report**

**Proposed Revisions to the FFIEC 009a  
for September 30, 2016**

**The attached draft revised FFIEC 009a cover page and draft revised General Instructions section of the Instructions for the Preparation of the Country Exposure Information Report reflect the proposed revisions described in the federal banking agencies' final Paperwork Reduction Act Federal Register notice published in the Federal Register on July 20, 2016.**

**The Federal Register notice for these proposed Call Report revisions is available at [http://www.ffiec.gov/forms009\\_009a.htm](http://www.ffiec.gov/forms009_009a.htm).**

**NOTE: The agencies have not proposed any revisions to Part A or Part B of the FFIEC 009a reporting form or to the rest of the Instructions for the Preparation of the Country Exposure Information Report.**

**Draft as of July 20, 2016**

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Federal Financial Institutions Examination Council



# Country Exposure Information Report—FFIEC 009a

## Report at the close of business

Month / Day / Year

This report is required to be filed pursuant to authority contained in the following statutes: 12 U.S.C. §§ 161 and 1817 (national banks), 12 U.S.C. § 1464 (federal savings associations), 12 U.S.C. §§ 248(a), 1844(c), and 3906 (state member banks and bank holding companies); 12 U.S.C. §§ 1467a(b)(2) and 5412 (savings and loan holding companies); **12 U.S.C. 5365(a) (intermediate holding companies)**; and 12 U.S.C. §§ 1817 and 1820 (insured state nonmember commercial and savings banks and insured state savings associations).

All FFIEC 009a respondents must submit their completed report via the Federal Reserve System's Reporting Central application within 45 days of the reporting date for March 31, June 30, and September 30, and within 50 calendar days of the December 31 reporting date. Any FFIEC 009a respondent who needs guidance on Reporting Central is encouraged to visit the Federal Reserve System website, <http://www.frbervices.org/centralbank/reportingcentral/index.html>, for additional information.

Reporting Institution

Name, title, and phone number of the person to whom inquiries regarding this report may be directed:

City

State

Name

Title

Area Code / Phone Number

**Legal Entity Identifier (LEI) of the Reporting Institution (Report only if the reporting institution already has an LEI.)**

**A copy of this report will be made available to the public at <http://www.ffiec.gov/e16.htm>.**

Public reporting burden for this collection of information is estimated to average 6 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. A federal agency may not conduct or sponsor, and an organization (or a person) is not required to respond to a collection of information, unless it displays a currently valid OMB control number. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project, Washington, DC 20503, and to one of the following: Secretary, Board of Governors of the Federal Reserve System, 20th and C Streets, NW, Washington, DC 20551; Assistant Executive Secretary, Federal Deposit Insurance Corporation, Washington, DC 20429; and Legislative and Regulatory Analysis Division, Office of the Comptroller of the Currency, Washington, DC 20219.

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# **Instructions for the Preparation of the Country Exposure Information Report (FFIEC 009a)**

## **Draft Revised General Instructions**

### **General Instructions**

This report is a supplement to the Country Exposure Report (Form FFIEC 009) filed with the banking regulatory agencies for bank examination purposes. The purpose of the Country Exposure Information Report is to provide public disclosure of significant country exposures of U.S. banking institutions. Copies of the report are available to the public by accessing the following website <http://www.ffiec.gov/E16.htm>.

### **Who Must Report**

This report must be filed by every institution that submits Form FFIEC 009 and that has exposure meeting the reporting requirements for Form FFIEC 009a as defined in these instructions.

This supplemental disclosure report (Form FFIEC 009a) has two parts: Part A and Part B. Part A will be completed when exposure, as defined for Column 4, Part A, to a single country, excluding the United States, exceeds one percent of the banking institution's total assets or exceeds 20 percent of the banking institution's total capital, whichever is less. All columns included in Part A should only be completed for the countries that exceed these thresholds. Part B will be used to report the names of the countries where the amount of exposure exceeds 0.75 percent but does not exceed 1 percent of the banking institution's total assets or is between 15 percent and 20 percent of the banking institution's total capital, whichever is less. The banking institution must only list the names of the countries and the aggregate amount of exposure for all countries listed under Part B. For the purposes of meeting these criteria, exposure is defined as the amount of total claims computed in accordance with the instructions to Column 4, Part A.

Total assets of reporting banks are those submitted on the Report of Condition to the federal bank supervisors as of the same date. For bank holding companies total assets are those submitted on the most recent Form FR Y-9C.

Total capital is as defined in the agencies' guidelines on capital adequacy and consists of Tier 1 plus Tier 2 capital.

### **Public Release of Country Exposure Information Reports**

The individual FFIEC 009a reports are made publicly available.

A reporting institution may request confidential treatment for some or all of the portions of the FFIEC 009a if the institution is of the opinion that disclosure of specific commercial or financial information in the report would likely cause substantial harm to its competitive position. In certain limited circumstances, the reporting institution's primary federal supervisor may approve confidential treatment of some or all of the items for which such treatment has been requested if the institution has clearly provided a compelling justification for the request. A request for confidential treatment must be submitted in writing prior to the electronic submission of the report. The written request must identify the specific items for which confidential treatment is requested, provide justification for the confidential

treatment requested for the identified items, and demonstrate the specific nature of the harm that would result from public release of the information. Merely stating that competitive harm would result is not sufficient. Information for which confidential treatment is requested may subsequently be released by the reporting institution's primary federal supervisor in accordance with the terms of 12 CFR 4.16 (OCC), 12 CFR 261.16 (Board), 12 CFR 309.6 (FDIC), or as otherwise provided by law.

### **Filing of Reports**

The report is to be prepared quarterly, as of the last calendar day of March, June, September, and December. All respondents should submit their completed report, each quarter they meet the reporting requirements, to the Federal Reserve Bank of New York (FRBNY), via the Federal Reserve System's Reporting Central system, within 45 calendar days after the March 31, June 30, and September 30 as-of date. The submission deadline is 50 calendar days after the December 31 as-of date.

Any FFIEC 009a respondent who needs filing guidance is encouraged to visit the Federal Reserve System Website <http://www.frbservices.org/centralbank/index.html> for additional information on Reporting Central. The Website also includes a link that respondents may use to contact the Federal Reserve Bank of New York.

### **Rounding**

Round all amounts reported on this form to the nearest million dollars.

### **Legal Entity Identifier (LEI)**

The LEI is a 20-digit alpha-numeric code that uniquely identifies entities that engage in financial transactions. A reporting institution must provide its LEI on the cover page of this report only if it already has an LEI. The LEI must be a currently issued, maintained, and valid LEI, not an LEI that has lapsed. If a reporting institution does not have an LEI, it is not required to obtain one for purposes of reporting it on this report.