

Board of Governors of the Federal Reserve System



# Annual Report of Foreign Banking Organizations—FR Y-7

## Report at the close of business as of the end of fiscal year

This report form is authorized by law: Section 7 and 13(a) of the International Banking Act of 1978 (12 U.S.C. §§ 3106 and 3108 (a)). This report is to be filed by foreign banking organizations provided the organization meets the requirements of and is treated as a qualifying foreign banking organization under Section 211.23(a) of Regulation K or meets the requirements for limited exemption under Section 211.23(c) of Regulation K.

NOTE: The *Annual Report of Foreign Banking Organizations* must be signed by an authorized official of the foreign banking organization.

I, \_\_\_\_\_  
Name of Foreign Banking Organization Authorized Official

\_\_\_\_\_  
Title of Foreign Banking Organization Authorized Official

attest that the *Annual Report of Foreign Banking Organizations* (including the supporting attachments) for this report date have been prepared in conformance with the instructions issued by the Federal Reserve System and are true and correct to the best of my knowledge and belief.

*With respect to information regarding individuals contained in this report, the Reporter certifies that it has the authority to provide this information to the Federal Reserve. The Reporter also certifies that it has the authority, on behalf of each individual, to consent or object to public release of information regarding that individual. The Federal Reserve may assume, in the absence of a request for confidential treatment submitted in accordance with the Board's "Rules Regarding Availability of Information," 12 C.F.R. Part 261, that the Reporter and individual consent to public release of all details in the report concerning that individual.*

\_\_\_\_\_  
Signature of Foreign Banking Organization Authorized Official

\_\_\_\_\_  
Date of Signature

Indicate status of Annual Report to Shareholders:

- is included with the FR Y-7 report
- will be sent under separate cover
- is not prepared

### For Federal Reserve Bank Use Only

RSSD ID \_\_\_\_\_  
C.I. \_\_\_\_\_

Return to the appropriate Federal Reserve Bank the original and number of copies of the completed report required by the Federal Reserve Bank. The Federal Reserve may not conduct or sponsor, and an organization (or a person) is not required to respond to, an information collection unless it displays a currently valid OMB control number.

## Date of Report (foreign banking organization's fiscal year-end):

\_\_\_\_\_  
Month / Day / Year

\_\_\_\_\_  
Reporter's Legal Entity Identifier (LEI) (20-Character LEI Code)

## Reporter's Name, Street, and Mailing Address

\_\_\_\_\_  
Legal Name of Foreign Banking Organization (Top-tier if filing as a tiered organization)

\_\_\_\_\_  
Street Address of the Foreign Banking Organization

\_\_\_\_\_  
City Country

\_\_\_\_\_  
Mailing Address of the Principal Office (If different from street address)

\_\_\_\_\_  
City Country

## Person in the United States to whom questions about this report should be directed:

\_\_\_\_\_  
Name Title

\_\_\_\_\_  
Street

\_\_\_\_\_  
City State Zip Code

\_\_\_\_\_  
Area Code / Phone Number Area Code / FAX Number

\_\_\_\_\_  
E-mail Address

\_\_\_\_\_  
Address (URL) for the Foreign Banking Organization's web page

*Does the reporter request confidential treatment for any portion of this submission?*

Yes Please identify the report items to which this request applies:

- In accordance with the instructions on pages GEN-2 and 3, a letter justifying the request is being provided.
- The information for which confidential treatment is sought is being submitted separately labeled "Confidential."

No

# Checklist

The checklist below is provided to assist the reporting foreign banking organization in filing all the necessary responses to the various report items. Each report item should be checked and the appropriate blanks filled in. The completed checklist should be returned with the report.

Check the **Yes**, **No**, or **N/A** checkbox below, as appropriate, to indicate if the report item is included with the initial filing.

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## Report Item 1: Financial Information Regarding the Foreign Banking Organization (FBO)

- Yes     No    1(a) Response provided in Attachment(s) # \_\_\_\_\_
- Yes    1(b) Response provided in Attachment(s) # \_\_\_\_\_

## Report Item 2: Organization Information for the FBO

- Yes    2(a) Response provided in Attachment(s) # \_\_\_\_\_
- Yes     N/A    2(b) Response provided in Attachment(s) # \_\_\_\_\_

## Report Item 3: Shares and Shareholders

- Yes    3(a) Response provided on Report Page # \_\_\_\_\_ or in Attachment(s) # \_\_\_\_\_
- Yes     No    3(b) Response provided on Report Page # \_\_\_\_\_ or in Attachment(s) # \_\_\_\_\_
- Yes     No    3(c) Response provided on Report Page # \_\_\_\_\_ or in Attachment(s) # \_\_\_\_\_

## Report Item 4: Eligibility as a Qualified Foreign Banking Organization (QFBO)

- Yes     No    Items 4(e) and 4(f) have been completed and provided on Report Page # \_\_\_\_\_ or in Attachment(s) # \_\_\_\_\_
- Yes     N/A    Items 4(j) and 4(k) have been completed and provided on Report Page # \_\_\_\_\_ or in Attachment(s) # \_\_\_\_\_
- Yes     N/A    Items 4(l) and 4(m) have been completed and provided on Report Page # \_\_\_\_\_ or in Attachment(s) # \_\_\_\_\_

## For Use by Tiered Foreign Banking Organizations

Tiered foreign banking organizations must list the legal name, mailing address, and physical location of subsidiary foreign banking organizations below. Refer to *Who Must Report* in the general instructions for filing by tiered foreign banking organizations.

A. For the fiscal year ending on \_\_\_\_\_  
Month / Day / Year

Legal name of subsidiary foreign banking organization: \_\_\_\_\_

Mailing address of head office: \_\_\_\_\_  
Street

\_\_\_\_\_  
City Country

Physical location of principal office: \_\_\_\_\_  
(not mailing address) Street

\_\_\_\_\_  
City Country

Name and address of authorized official in the United States: \_\_\_\_\_  
Name

\_\_\_\_\_  
Street

\_\_\_\_\_  
City State ZIP Code

\_\_\_\_\_  
Area Code / Phone Number Area Code / FAX Number

\_\_\_\_\_  
E-mail Address

I, \_\_\_\_\_  
Name Title

an authorized official of the company named above, certify that this *Annual Report of Foreign Banking Organizations* has been prepared in conformance with the report instructions.

\_\_\_\_\_  
Signature of Authorized Official Date

## For Use by Tiered Foreign Banking Organizations—Continued

If the Foreign Banking Organization has more than two tiers, use additional pages as needed.

B. For the fiscal year ending on \_\_\_\_\_  
Month / Day / Year

Legal name of subsidiary foreign banking organization: \_\_\_\_\_

Mailing address of head office: \_\_\_\_\_  
Street

\_\_\_\_\_  
City Country

Physical location of principal office:  
(not mailing address) \_\_\_\_\_  
Street

\_\_\_\_\_  
City Country

Name and address of authorized official in the United States: \_\_\_\_\_  
Name

\_\_\_\_\_  
Street

\_\_\_\_\_  
City State ZIP Code

\_\_\_\_\_  
Area Code / Phone Number Area Code / FAX Number

\_\_\_\_\_  
E-mail Address

I, \_\_\_\_\_  
Name Title

an authorized official of the company named above, certify that this *Annual Report of Foreign Banking Organizations* has been prepared in conformance with the report instructions.

\_\_\_\_\_  
Signature of Authorized Official Date