

DFAST-14A OpsRisk Schedule Cover Sheet

In addition to providing the name, RSSD ID, and charter ID of your institution on this cover sheet, all firms are expected to complete the following ~~two~~ **three** tabs in this workbook: ~~OpRisk Historical Capital and Annual Legal Reserves~~, **Material Risk Identification, and Operational Risk Scenarios**.

Please see the *Dodd-Frank Act Stress Testing (DFAST) Reporting Instructions* for additional guidance on completing these worksheets.

Institution Name:

RSSD ID:

Submission Date (MM/DD/YYYY):

OCC Charter ID:

Basel II Mandatory

1. If the bank is subject to the advanced approaches risk-based capital rules, the bank
- separate document, cross-referencing the document to the respective item.
- reporting year. The unit of measure is the level at which the bank's quantification m
3. Baseline scenario only.

Operational risk capital by covered institution unit of mea

Unit of Measure
Totals

*HQ is Historical Quarter and represents the number of quarters prior to the as-of quarter that should

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 bank's legal reserve balance, representing the total legal reserve balance that was included on the institution's financial statements for the as-of quarter. The covered institution's initial submission should contain annual legal reserve balances from Q4 of the as-of reporting quarter as well as Q4 from the prior four years.

Total Legal Reserve Balance	
Year	\$ Balance (Millions)
As-of Q4	
Q4 - HY1	
Q4 - HY2	
Q4 - HY3	
Q4 - HY4	

Total Legal Reserves:

b. Legal Reserves Pertaining to Repurchase Litigation (Voluntary): For the as-of quarter, 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 for the as-of quarter. 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).

Total Repurchase Litigation Reserve Balance		Repurchase Litigation Reserve Balance related only to contractual R&W claims
As of Quarter	\$ Balance (Millions)	\$ Balance (Millions)
Q4		

Voluntary Reporting of Legal Reserves Pertaining to Repurchase Litigation:

List all material operational risks identified within the firm, the risk segments i
rows when necessary.

Material Risks

Material Risks included in the firm's loss projections:

...

Material Risks excluded from the firm's loss projections:

...

Material Risk Identification

n which each risk appears and the loss projection amount for each risk/risk segment coml

Risk Name	Risk Segment	Bank Baseline Projection Amount

Firm name:

Scenario Name
What percentage of the loss estimates were generated using scenarios?
Total number of scenarios used in loss projections

onal Risk Scenarios

Bank Baseline	Bank Stress	Methodology for Apply Scenario Results
0	0	
0	0	
0	0	
0	0	
0	0	
0	0	
0	0	
%	%	
0	0	