

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 tabs in this workbook: *OpRisk Historical Capital* and *Annual Legal Reserves*.

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:

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 if necessary.

Material Risk Number	Material Operational Risks
	<i>Material Operational Risks included in the firm's loss projections:</i>
1	
2	
3	
4	
5	
	<i>Material Operational Risks excluded from the firm's loss projections:</i>
1	
2	
3	
4	
5	

Material Risk Identification

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

Risk Name	Risk Segment	Bank Baseline Projection Amount - 9 quarter loss projection



Add additional rows when

Bank Stress Projection Amount - 9 quarter loss projection



Scenario Number
1
2
3
4
5
6
T1
T2

Firm name:

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

cenarios

Operational Risk Bank Baseline 9 Quarter Projection	Operational Risk Bank Stress 9 Quarter Projection	Methodology for Applying Operational Risk Scenario Results
0	0	
0	0	
0	0	
0	0	
0	0	
0	0	
0	0	