

Behind the ATM: Exploring the Structure of Bank Holding Companies | Lily Gordon and Lee Seltzer

Form	Filer Institution Types	Filer Requirements	Filer Location	Consolidation Basis	Filing Frequency	Links
FR Y-9C	Holding companies (including bank holding companies, financial holding companies, savings and loan holding companies, and intermediate holding companies).	1. Top-tier company only 2. Total consolidated assets ≥ \$3 billion	Domestic	Consolidated	Quarterly	Info
FR Y-9LP		Total consolidated assets ≥ \$3 billion		Unconsolidated	Quarterly	Info
FR Y-9SP		Total consolidated assets < \$3 billion		Unconsolidated	Semiannually (Jun. and Dec.)	Info
Call	Commercial banks (including national banks state member banks, insured state nonmember banks, and savings associations).	1. One of the following: a. Have foreign offices, or b. Have only domestic offices and total consolidated assets ≥ \$100 billion.	Domestic	Consolidated	Quarterly	Info
		1. Domestic offices only. 2. Total consolidated assets < \$100 billion.				Info
		Opt-in option if: 1. Domestic offices only. 2. Total consolidated assets < \$5 billion.				Info
FR Y-11	Nonbanks	1. Subsidiary of holding company that files FR Y-9C. 2. At least one of the following: a. Assets ≥ \$1 billion. b. Off-balance sheet activity ≥ \$5 billion. c. Equity capital ≥ 5% of top-tier holding company's equity, or d. Operating revenue ≥ 5% of top-tier holding company's revenue.	Domestic	Unconsolidated	Quarterly	Info
FR Y-11S		1. Subsidiary of holding company that files FR Y-9C. 2. Quarterly FR Y-11 requirements (a)-(d) do not apply. 3. \$500 million ≤ assets < \$1 billion.			Annually	
FR 2886b		Edge Act and agreement corporations			Total consolidated assets > \$50 million. Total consolidated assets ≤ \$50 million.	
FR 2314	Foreign subsidiaries	1. Subsidiary of one of the following: a. Holding company that files FR Y-9C, b. State-member bank, or c. Edge Act or agreement corporations with assets ≥ \$500 million. 2. At least one of the following: a. Assets ≥ \$1 billion, b. Off-balance sheet activity ≥ \$5 billion, c. Equity capital ≥ 5% of top-tier holding company's equity, or d. Operating revenue ≥ 5% of top-tier holding company's revenue.	Foreign	Unconsolidated	Quarterly	Info
FR 2314S		1. Subsidiary of one of the following: a. Holding company that files FR Y-9C, b. State-member bank, or c. Edge Act or agreement corporations with assets ≥ \$500 million. 2. Quarterly FR 2314 requirements (a)-(d) do not apply. 3. \$500 million ≤ assets < \$1 billion.			Annually	
FR 2314S		1. Subsidiary of one of the following: a. Holding company that files FR Y-9C, b. State-member bank, or c. Edge Act or agreement corporations with assets ≥ \$500 million. 2. Quarterly FR 2314 requirements (a)-(d) do not apply. 3. \$250 million ≤ assets < \$500 million.				
FFIEC 002	U.S. branches and agencies of foreign banks	All	Domestic	Unconsolidated	Quarterly	Info