



September 30, 2016

TO: The Individual Responsible for Preparing FFIEC 009 and 009a Country Exposure Reports

Forms and instructions for the quarterly Country Exposure Report (FFIEC 009) and its supplemental Country Exposure Information Report (FFIEC 009a) to be used for the September 30, 2016, report date can be found on the Federal Financial Institutions Examination Council's (FFIEC) public website at https://www.ffiec.gov/forms009_009a.htm. As reporting institutions were previously advised, the federal banking agencies are implementing the following changes to the FFIEC 009 and FFIEC 009a reports this quarter:

1. The collection of an institution's Legal Entity Identifier (LEI), only if it already has an LEI, on the cover page of the FFIEC 009 and FFIEC 009a report forms; and
2. An expansion of the scope of entities that must file the FFIEC 009 and FFIEC 009a reports to include U.S. Intermediate Holding Companies.

A set of frequently asked questions for the FFIEC 009 report, which was updated as of September 30, 2015, is available on the FFIEC's website at https://www.ffiec.gov/forms009_009a.htm.

Reporting institutions must use the Federal Reserve System's Reporting Central application to electronically submit their completed FFIEC 009 and FFIEC 009a reports to the Federal Reserve Bank of New York. The required file formats for submitting FFIEC 009 and FFIEC 009a data via Reporting Central are outlined in the Reporting Central User Guides, which can be found at https://www.frbservices.org/centralbank/reportingcentral/reportingcentral_userguides.html. If you have any questions regarding Reporting Central, please send an e-mail to nyreportingcentralcommunication@ny.frb.org.

Completed FFIEC 009 and FFIEC 009a reports for September 30, 2016, must be electronically submitted no later than Monday, November 14, 2016. Any reports received after November 14, 2016, will be considered late. In addition, the accuracy of the submitted reports will be monitored through the use of validity edits. A checklist of these edits, which can be used to validate the accuracy of the FFIEC 009 and FFIEC 009a reports before they are submitted, is available at https://www.newyorkfed.org/banking/reportingforms/FFIEC_009_9a.html.

Individual FFIEC 009 reports will be regarded as confidential. Neither the individual reports nor any aggregate data that may indicate the activities of individual institutions will be publicly disclosed. However, individual FFIEC 009a reports are published and made available on the FFIEC's public website at <https://www.ffiec.gov/E16.htm>.

All questions concerning the FFIEC 009 and FFIEC 009a reports should be addressed to Anthony Cirillo, Vice President, Statistics Function, Federal Reserve Bank of New York, at (212) 720-2211 or Anthony.Cirillo@ny.frb.org, or Alex Santana, Department Head of the Cross Border Data Department, at (212) 720-6357 or Alex.Santana@ny.frb.org.



Judith E. Dupré
Executive Secretary