

**BOARD OF GOVERNORS
OF THE
FEDERAL RESERVE SYSTEM**



**BULK DATA DOWNLOAD
DATA DICTIONARY AND REFERENCE GUIDE**

Document Version 1.1

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TABLE OF CONTENTS

SECTION I – GENERAL INFORMATION	1
SECTION II – HOW TO USE THE DATA DICTIONARY	2
SECTION III –TABLE ELEMENTS.....	3
SECTION IV – ATTRIBUTES TABLE DETAILS	4
SECTION V – RELATIONSHIPS TABLE DETAILS	31
SECTION VI – TRANSFORMATIONS TABLE DETAILS	40

SECTION I – GENERAL INFORMATION

BULK DATA DOWNLOAD

The Bulk Data Download feature was developed in response to growing demand from the public for data in bulk format. Data being provided are considered non-confidential, public data. As our first iteration of this feature, we are releasing the tables related to attributes, relationships, and transformations. Details of these tables can be found in the subsequent sections of this Data Dictionary.

Future developments of this feature are planned with the intent of expanding the available data provided on the NIC public website on an individual institution basis. In the interim, additional requests for data can be made via our [Freedom of Information Act Office](#). Additionally, we welcome feedback regarding the presentation of the data via our feedback [link](#).

SECTION II – HOW TO USE THE DATA DICTIONARY

DATA ELEMENTS

The Data Dictionary consists of data elements stored in tables that describe an entity, its structure, its relationships with other entities, and its existence over time. The tables in the Bulk Data Download are:

- **Attributes:** The data are broken down into three files based on the status of the institution or branch.
 - Active: Provides information describing the characteristics of open and active institutions.
 - Closed: Provides the last instance of closed / failed institutions.
 - Branches: Provides the last instance of branches whose head office is listed in either the Active or Closed Attributes tables.
- **Relationships:** Provides the history of ownership between two entities.
- **Transformations:** Provides information on mergers and failures.

While all entities have data in the Attributes category, records within other categories are initialized only when applicable.

LINKING TABLES

When linking the tables, please note the primary keys which should be used:

- **Attributes:** ID_RSSD, D_DT_START
- **Relationships:** ID_RSSD_PARENT, ID_RSSD_OFFSPRING, D_DT_START, RELN_LVL
- **Transformations:** ID_RSSD_PREDECESSOR, ID_RSSD_SUCCESSOR, D_DT_TRANS

SECTION III –TABLE ELEMENTS

ATTRIBUTES

ACT_PRIM_CD	DT_EXIST_CMNC	INSUR_PRI_CD
AUTH_REG_DIST_FRS	DT_EXIST_TERM	MBR_FHLBS_IND
BANK_CNT	DT_INSUR	MBR_FRS_IND
BHC_IND	DT_OPEN	MJR_OWN_MNRTY
BNK_TYPE_ANALYS_CD	DT_START	NM_LGL
D	ENTITY_TYPE	NM_SHORT
BROAD_REG_CD	EST_TYPE_CD	NM_SRCH_CD
CHTR_AUTH_CD	FBO_4C9_IND	ORG_TYPE_CD
CHTR_TYPE_CD	FHC_IND	PLACE_CD
CITY	FISC_YREND_MMDD	PRIM_FED_FEG
CNSRVTR_CD	FNCL_SUB_HOLDER	PROV_REGION
CNTRY_CD	FNCL_SUB_IND	REASON_TERM_CD
CNTRY_INC_CD	FUNC_REG	SEC_RPTG_STATUS
CNTRY_INC_NM	IBA_GRNDFTHR_IND	SLHC_IND
CNTRY_NM	IBF_IND	SLHC_TYPE_IND
COUNTY_CD	ID_ABA_PRIM	STATE_ABBR_NM
D_DT_END	ID_CUSIP	STATE_CD
D_DT_EXIST_CMNC	ID_FDIC_CERT	STATE_HOME_CD
D_DT_EXIST_TERM	ID_LEI	STATE_INC_ABBR_NM
D_DT_INSUR	ID_NCUA	STATE_INC_CD
D_DT_OPEN	ID_OCC	STREET_LINE1
D_DT_START	ID_RSSD	STREET_LINE2
DIST_FRS	ID_RSSD_HD_OFF	URL
DOMESTIC_IND	ID_TAX	ZIP_CD
DT_END	ID_THRIFT	
	ID_THRIFT_HC	

RELATIONSHIPS

CTRL_IND	FC_IND	PCT_EQUITY_FORMAT
D_DT_END	ID_RSSD_OFFSPRING	PCT_OTHER
D_DT_RELN_EST	ID_RSSD_PARENT	REASON_ROW_CRTD
D_DT_START	MB_COST	REASON_TERM_RELN
DT_END	OTHER_BASIS_IND	REG_IND
DT_RELN_EST	PCT_EQUITY	REGK_INV
DT_START	PCT_EQUITY_BRACKET	RELN_LVL
EQUITY_IND		

TRANSFORMATIONS

ACCT_METHOD	DT_TRANS	ID_RSSD_SUCESSOR
D_DT_TRANS	ID_RSSD_PRECESSOR	TRNSFM_CD

ATTRIBUTES TABLE

SECTION IV – ATTRIBUTES TABLE DETAILS

The data elements in the Attributes Table characterize an entity. Each entity has a unique identifier, the ID_RSSD. This table contains entity descriptors that define the legal and commonly used characteristics of an entity, e.g. the type of charter, the insurer, location, etc. These characteristics are consistently valid for the entity within the specified date range. Not all data items are required for each entity's Attributes rows. All entities must have an Attributes row in order to have any other structure or financial data associated with the entity stored on the database.

COLUMN: ACT_PRIM_CD
DATA TYPE: CHARACTER [6]
DESCRIPTION: PRIMARY ACTIVITY CODE

The Primary Activity Code is a five or six-digit North American Industry Classification System (NAICS) Code value that best describes the primary activity conducted by an entity. A full description of all NAICS codes may be found at the U.S. Census Bureau's website at <http://www.census.gov/eos/www/naics/>.

If the entity is inactive, this item should contain 0 (zero) except in the cases of Edge and Agreement Corporations and electric power companies (including co-generators) that report on FR 2009a/b/c.

0 = Not applicable (for branches), or inactive (with the exception of Edge and Agreement Corporations and electric power companies that are co-generators reporting on FR 2009a/b/c)

COLUMN: AUTH_REG_DIST_FRS (ARDF)
DATA TYPE: INTEGER
DESCRIPTION: FEDERAL RESERVE REGULATORY DISTRICT CODE

The Federal Reserve Regulatory District Code is a two-digit numeric code designating the Federal Reserve District of regulatory authority for institutions. Refer to the Attributes **DIST_FRS** column entry for code to district translations.

Entity types included are:

- Depository Institutions (e.g., Banks, Thrifts, Credit Unions, etc.)
- Bank Holding Companies
- Savings and Loan Holding Companies
- Foreign Banking Organizations
- Edge Corporations
- Agreement Corporations
- Sole foreign owners of a subsidiary Edge or Agreement Corporation

Changes in Regulations D and I, effective October 1, 1997, allow depository institutions to denote

ATTRIBUTES TABLE

a Federal Reserve office other than where the entity is physically located for purposes of Federal Reserve membership and/or reserve account maintenance. In these instances, AUTH_REG_DIST_FRS should be used to denote the district chosen by the institution.

COLUMN: BANK_CNT
DATA TYPE: INTEGER
DESCRIPTION: BANK COUNT

The Bank Count is a derived count of U.S. banking subsidiaries in the organizational structure of a bank holding company during the date range of the Attributes row. The bank holding company is defined as BHC_IND = 1 in the Attributes table, the banking subsidiary is defined as BROAD_REG_CD = 1 in the Attributes table, and all the relationships between the bank holding company and the banking subsidiary are controlled, defined as CTRL_IND = 1 in the Relationships table.

COLUMN: BHC_IND
DATA TYPE: INTEGER
DESCRIPTION: BANK HOLDING COMPANY INDICATOR

The Bank Holding Company (BHC) Indicator is an indicator of whether a head office entity is a Bank Holding Company (as defined in Section 2(a) of the Bank Holding Company Act (BHCA) including BHCs that may also be Foreign Banking Organizations (FBOs)) or non-BHC entities that control a grandfathered non-bank bank.

0 = Not applicable (for entities other than head offices and for head office entities other than BHCs or non-BHC entities that control a grandfathered non-bank bank)

1 = Entity is a BHC

2 = Entity is not a BHC but it directly or indirectly controls a grandfathered non-bank bank

COLUMN: BNK_TYPE_ANALYS_CD
DATA TYPE: INTEGER
DESCRIPTION: BANK TYPE ANALYSIS CODE

The Bank Type Analysis Code is a code to indicate certain entities are subject to special analysis.

0 = Not applicable

1 = A bankers bank that is subject to reserve requirements

2 = A bankers bank that is not subject to reserve requirements

3 = Grandfathered non-bank bank

ATTRIBUTES TABLE

- 4 = Entity is primarily conducting credit card activities**
- 5 = Wholesale bank** (with commercial bank charter)
- 6 = Standalone Internet Bank (SAIB).** Refers to a domestic head office depository entity only (no branches) with no physical location to which customers can go to obtain banking services. All transactions occur via the Internet.
- 7 = Workout entity** (problem-loan, spin-off, or collecting bank)
- 8 = Depository Institution National Bank (DINB)**
- 9 = Depository trust company**
- 10 = Bridge entity**
- 11 = Banking Edge or Agreement Corporation**
- 12 = Investment Edge or Agreement Corporation**
- 13 = Data processing services**
- 14 = Trust preferred securities subsidiary**
- 15 = Cash management banks**
- 16 = Farm credit system institution**
- 17 = 10L Election** – An election made by a state savings bank to be deemed a savings association under section 10(l) of the Home Owners' Loan Act.
- 18 = Grandfathered SLHC**
- 19 = Securities Holding Company**
- 20 = Designated Financial Market Utility**

COLUMN: BROAD_REG_CD
DATA TYPE: INTEGER
DESCRIPTION: BROAD REGULATORY CODE

The Broad Regulatory Code is a code intended to permit retrieval of major groups of entities based on their actual (not their potential) depository and legal status with regard to Regulation Y and the BHC Act.

- 0 = Not applicable** (branches and other non-head office entities)
- 1 = Denotes entities that are defined as banks in the Bank Holding Company Act, as amended and implemented in the Federal Reserve's Regulation Y.**
Note: The statutory language used in CEBA is not employed.

ATTRIBUTES TABLE

The term bank is defined as follows:

- (a) An institution organized under the laws of the United States (including the District of Columbia, any territory of the United States, Puerto Rico, Guam, American Samoa, or the Virgin Islands) that accepts demand deposits or deposits that the depositor may withdraw by check or similar means for payment to third parties or others and is engaged in the business of making commercial loans.
- (b) An institution that is defined as an insured bank in section 3(h) of the FDIC act, including state chartered savings banks; or,
- (c) An institution that meets either of the above two criteria and was a Savings Association and that has converted to a bank charter, even though it may continue as a member of the Savings Association Insurance Fund (SAIF).

The term bank does **NOT** include the following types of institutions:

- (a) A bank organized under the laws of a foreign country and resident outside the legal boundaries of the United States, even if the bank has a U.S. presence
- (b) An insured institution that is a savings association that is one of the following:
 - i. an industrial loan company, industrial bank or other similar institution;
 - ii. a subsidiary of the Great Western Financial Corporation of New York;
 - iii. a Qualified Thrift Lender (QLTF) as defined in the FIRREA of 1989; for example, savings and loan associations, cooperative banks, federal savings banks;
 - iv. an institution that does not directly or indirectly, through association with the Great Western Financial Corporation, engage in the sale or underwriting of insurance.
- (c) An organization that does no business in the United States except as a means to do its overseas business.
- (d) An institution that functions solely in a trust or fiduciary capacity, and meets all of the following criteria:
 - i. all, or substantially all, of the deposits are in trust funds and received in a bona fide fiduciary capacity
 - ii. no deposits of the institution are insured by the FDIC or affiliated with the FDIC in any way
 - iii. the institution does not accept demand deposits
 - iv. the institution does not obtain payment services from the Federal Reserve or exercise discount or borrowing privileges from the Federal Reserve.
- (e) Credit Card Banks with a limited charter and that have not been approved under Section 3 of the BHC Act by the Federal Reserve System
- (f) Private Banks
- (g) An institution that either accepts deposits or makes commercial loans but does not do both types of business
- (h) Edge and Agreement Corporations

ATTRIBUTES TABLE

(i) Credit Unions

Entities that **may** submit a Call Report but are generally not included in BROAD_REG_CD of 1 classification include: credit card banks, non-bank banks, cooperative banks, industrial banks, and federal savings banks.

2 = Other depository institution – An entity that accepts deposits, including entities of the types defined in the Federal Reserve Act, Section 19(b)(1)(A) and in Regulation D, Section 204.2 m, n, o, and p excluding those entities of the type defined in "1" above.

3 = Non-depository institution - All active entities not covered in 1 or 2

4 = Inactive institution

COLUMN: CHTR_AUTH_CD
DATA TYPE: INTEGER
DESCRIPTION: AUTHORITY CHARTER

The Authority Charter is a code indicating the chartering authority of the following entity types located in the United States or the U.S. territories (or possessions): banking type entities (charter types 200 and 250), thrifts (charter types 300, 310, 320 and 340), credit unions (charter type 330), and Edge corporations – which should always have federal charters, and agreement corporations, which should always have state charters (charter type 400). An Authority Charter is also required for U.S. branches or agencies of non-U.S. banks (where country code is not equal to 1007). In the case that the entity's charter type is a government agency, this field identifies the level of government.

0 = Not applicable (non-U.S. entities chartered by non-U.S. authorities, pseudo entities, or charter types other than U.S. banking)

1 = Federal (National)

2 = State (or equivalent)

COLUMN: CHTR_TYPE_CD
DATA TYPE: INTEGER
DESCRIPTION: CHARTER TYPE

The Charter Type is a code indicating the type of entity based on either

- The legal documents issued by the chartering or licensing authority or other documents of formation
- The generally accepted common name that summarizes the characteristics and business activities of the entity when a formal charter is not issued

ATTRIBUTES TABLE

- 0 = Not available or not applicable** (for branches)
- 110 = Government Agency** (other than the Overseeing Regulatory Body and the U.S. Central Bank of Liquidity Agency); Government Sponsored Enterprise, [GSE], (e.g., farm credit banks)
- 200 = Commercial Bank** (including depository trust companies, credit card companies with commercial bank charters, private banks, development banks, limited charter banks [BNK_TYPE_ANALYS_CD = 4, 5], and foreign banks)
- 250 = Non-deposit Trust Company**
- 300 = Savings Bank**
- 310 = Savings & Loan Association**
- 320 = Cooperative Bank**
- 330 = Credit Union** (excluding Corporate Credit Union)
- 340 = Industrial Bank** (includes industrial loan companies and Morris Plan banks)
- 400 = Edge or Agreement Corporation**
- 500 = Holding Company only, not itself any other charter type** (not necessarily a BHC)
- 550 = Insurance Broker or Agent and/or Insurance Company** (includes insurance underwriting)
- 610 = Employee Stock Ownership Plan/Trust** (ESOP or ESOT)
- 700 = Securities Broker and/or Dealer** (includes securities underwriting)
- 710 = Utility Company or Electric Power Co-generator**
- 720 = Other Non-Depository Institution** (including credit card companies without commercial bank charters)

COLUMN: CITY
DATA TYPE: CHARACTER [25]
DESCRIPTION: CITY/TOWN TEXT NAME

The City/Town Text Name field is the name of the city or town in which the entity is physically located.

COLUMN: CNSRVTR_CD
DATA TYPE: INTEGER
DESCRIPTION: CONSERVATORSHIP CODE

ATTRIBUTES TABLE

The Conservatorship Code is a code identifying entities for which the federal or state government has intervened and possibly provided financial assistance.

0 = Not applicable

1 = In conservatorship - RTC (not valid after 19951231)

2 = In conservatorship - OCC

3 = In conservatorship - FDIC

4 = In conservatorship - STATE

5 = In conservatorship - NCUA

COLUMN: CENTRY_CD
DATA TYPE: DECIMAL [5]
DESCRIPTION: COUNTRY CODE

The County Code is the numeric code assigned to the country, dependency, or area of special sovereignty in which the entity is physically located.

Source: Geographical Classification, the Department of the Treasury.

Note: In the current version of the Department of Treasury's Geographical Classification, countries of the United Kingdom, including England, Scotland, Wales, Northern Ireland, Channel Islands, Hebrides, Isle of Man, Orkney, and Shetland Islands, are included under the country code of the United Kingdom. However, at the request of the Federal Reserve Bank of New York, separate codes were assigned to England, Scotland, Wales, Northern Ireland, and Channel Islands.

Additionally, the Treasury has given the Federal Reserve System separate codes for the United States, American Samoa, Guam, Marshall Islands, Northern Mariana Islands, Palau, Puerto Rico, U.S. Minor Outlying Islands, the U.S. Virgin Islands, and Federated States of Micronesia.

COLUMN: CENTRY_INC_CD
DATA TYPE: INTEGER
DESCRIPTION: COUNTRY INCORPORATION CODE

The Country Incorporation Code is the numeric code assigned to the country, dependency, or area of special sovereignty in which the entity is incorporated.

COLUMN: CENTRY_INC_NM
DATA TYPE: CHARACTER [40]
DESCRIPTION: COUNTRY INCORPORATION NAME

ATTRIBUTES TABLE

The Country Incorporation Name is the name of the country of incorporation.

COLUMN: CNTRY_NM
DATA TYPE: CHARACTER [40]
DESCRIPTION: COUNTRY NAME

The Country Name is the alpha name text of a country.

COLUMN: COUNTY_CD
DATA TYPE: INTEGER
DESCRIPTION: COUNTY CODE

The Country Code is the numeric code assigned to the county within the state in which the entity is physically located. This code only has meaning when used in conjunction with state code. Source: FIPS 6-4.

0 = **Not applicable** (non-U.S. domiciled entities)

COLUMN: D_DT_END
DATA TYPE: DATETIME
DESCRIPTION: DATE END

The Date End is the value of DT_END converted to a DB2 date format. For querying, the format is 'YYYY-MM-DD HH:MM:SS' and must be enclosed in quotes.

COLUMN: D_DT_EXIST_CMNC
DATA TYPE: DATE
DESCRIPTION: COMMENCEMENT OF EXISTENCE

The date on which the entity came into existence, e.g., the date on its papers of incorporation or formation document, or the date on which it was granted a license.

COLUMN: D_DT_EXIST_TERM
DATA TYPE: DATETIME
DESCRIPTION: FINAL DAY OF EXISTENCE

The Final Day of Existence is the value of DT_EXIST_TERM converted to a DB2 date format. For querying, the format is 'YYYY-MM-DD HH:MM:SS' and must be enclosed in quotes.

COLUMN: D_DT_INSUR

ATTRIBUTES TABLE

DATA TYPE: DATETIME
DESCRIPTION: DATE INSURED

The Date Insured is the value of DT_INSUR converted to a DB2 date format. For querying, the format is 'YYYY- MM-DD HH:MM:SS' and must be enclosed in quotes.

COLUMN: D_DT_OPEN
DATA TYPE: DATE
DESCRIPTION: DATE OF OPENING

The date on which the entity's general ledger was opened for the first time and/or the date on which the entity became active. Format is YYYYMMDD.

0 = Not applicable (individuals and pseudo entities)

COLUMN: D_DT_START
DATA TYPE: DATETIME
DESCRIPTION: DATE START

The Date Start is the value of DT_START converted to a DB2 date format. For querying, the format is 'YYYY- MM-DD HH:MM:SS' and must be enclosed in quotes.

COLUMN: DIST_FRS
DATA TYPE: INTEGER
DESCRIPTION: FEDERAL RESERVE DISTRICT CODE

The Federal Reserve District Code is the two-digit numeric code assigned to the Federal Reserve District that denotes the physical location of the entity. The value for this field is derived from the state and county.

0 = Not applicable (non-U.S. domiciled entities)

- 01 = Boston**
- 02 = New York**
- 03 = Philadelphia**
- 04 = Cleveland**
- 05 = Richmond**
- 06 = Atlanta**
- 07 = Chicago**
- 08 = St. Louis**
- 09 = Minneapolis**
- 10 = Kansas City**
- 11 = Dallas**

ATTRIBUTES TABLE

12 = San Francisco

COLUMN: DOMESTIC_IND
DATA TYPE: CHARACTER [1]
DESCRIPTION: DOMESTIC INDICATOR

The Domestic Indicator is a flag indicating whether the country of physical location is the United States (including its territories and possessions.) (Derived from COUNTRY_CD).

N = Not U.S.

Y = U.S.

COLUMN: DT_END
DATA TYPE: INTEGER
DESCRIPTION: DATE END

The Date End is the last date for which the information in the record was known to be valid. Format is YYYYMMDD.

99991231 = Non-terminated record

COLUMN: DT_EXIST_CMNC
DATA TYPE: INTEGER
DESCRIPTION: COMMENCEMENT OF EXISTENCE

The Commencement of Existence is the date on which the entity came into existence, e.g., the date on its papers of incorporation or formation document, or the date on which it was granted a license. Format is YYYYMMDD.

0 = Not applicable

COLUMN: DT_EXIST_TERM
DATA TYPE: INTEGER
DESCRIPTION: FINAL DAY OF EXISTENCE

The Final Day of Existence is the last full day that the entity existed. Format is YYYYMMDD.

99991231 = Non-terminated entities

COLUMN: DT_INSUR
DATA TYPE: INTEGER
DESCRIPTION: DATE INSURED

The Date Insured is the date on which insurance became effective. Format is YYYYMMDD.

ATTRIBUTES TABLE

0 = Not applicable

COLUMN: DT_OPEN
DATA TYPE: INTEGER
DESCRIPTION: DATE OF OPENING

The Date of Opening is the date on which the entity's general ledger was opened for the first time and/or the date on which the entity became active. Format is YYYYMMDD.

COLUMN: DT_START
DATA TYPE: INTEGER
DESCRIPTION: DATE START

The Date Start is the first date for which the information in the record is known to be valid. Format is YYYYMMDD.

COLUMN: ENTITY_TYPE
DATA TYPE: CHARACTER [4]
DESCRIPTION: ENTITY TYPE

The Entity Type field is derived from other fields. The entity types listed below are in alphabetic sequence by entity code.

AGB	Agreement Corporation - Banking
AGI	Agreement Corporation - Investment
BHC	Bank Holding Company
CPB	Cooperative Bank
DBR	Domestic Branch of a Domestic Bank
DEO	Domestic Entity Other
DPS	Data Processing Servicer
EBR	Edge Corporation - Domestic Branch
EDB	Edge Corporation - Banking
EDI	Edge Corporation - Investment
FBH	Foreign Banking Organization as a BHC
FBK	Foreign Bank
FBO	Foreign Banking Organization

ATTRIBUTES TABLE

FCU	Federal Credit Union
FEO	Foreign Entity Other
FHD	Financial Holding Company / BHC (Note: Can be a domestic or foreign-domiciled holding company)
FHF	Financial Holding Company / FBO
FNC	Finance Company
FSB	Federal Savings Bank
IBK	International Bank of a U.S. Depository - Edge or Trust Co.
IBR	Foreign Branch of a U.S. Bank
IFB	Insured Federal Branch of an FBO
INB	International Non-bank Subs of Domestic Entities
ISB	Insured State Branch of an FBO
MTC	Non-deposit Trust Company - Member
NAT	National Bank
NMB	Non-member Bank
NTC	Non-deposit Trust Company - Non-member
NYI	New York Investment Company
PST	Non-U.S. Branch managed by a U.S. Branch/Agency of a Foreign Bank for 002's reporting - Pseudo Twig
REP	Representative Office
SAL	Savings & Loan Association
SBD	Securities Broker / Dealer
SCU	State Credit Union
SLHC	Savings and Loan Holding Company
SMB	State Member Bank
SSB	State Savings Bank
SLHC	Savings and Loan Holding Company
TWG	Non-U.S. Branch managed by a U.S. Branch/Agency of a Foreign Bank - TWIG
UFA	Uninsured Federal Agency of an FBO
UFB	Uninsured Federal Branch of an FBO

ATTRIBUTES TABLE

USA **Uninsured State Agency of an FBO**
USB **Uninsured State Branch of an FBO**

COLUMN: **EST_TYPE_CD**
DATA TYPE: **INTEGER**
DESCRIPTION: **ESTABLISHMENT TYPE CODE**

The Establishment Type Code is the type of physical establishment of an institution identifying the scope and limitations under which this entity is permitted to operate

- 1 = Headquarters** (head office)
- 2 = Full service branch or regional office of regulatory agency**, excluding 8 and 9
- 3 = Limited service branch**, excluding 8 and 9
- 5 = Agency**, excluding 8 and 9
- 6 = Back office money operation** -- location to which funds are delivered for distribution to offices of banks (non-deposit-taking office)
- 7 = Military facility**
- 8 = Super agency** -- State licensed agency acting as a full service branch under the IBA, excluding 2, 3, 5 and 9; may service both domestic (U.S.) and international business, e.g., sell large denomination CDs.
- 9 = Limited super agency** -- State licensed agency acting as a limited branch under the IBA excluding 2, 3, 5 and 8; may service only international business, e.g., sell large denomination CDs to foreigners only.
- 11 = Check processing center, regional or otherwise** (non-deposit-taking office)
- 12 = Other branch or non-independent facility** (non-deposit-taking office)
- 13 = Loan production office**
- 14 = Representative office of a foreign bank**
- 15 = Non-U.S. branch that is managed or controlled by a U.S. branch or agency of a foreign bank**
- 16 = Non-U.S. branch that is managed or controlled by more than one U.S. branch or agency of a foreign bank**; the entity is set up for FFIEC 002s reporting purposes only, is considered a pseudo branch, and will have '002s Reporter' as a suffix to its legal name.

ATTRIBUTES TABLE

- 17 = Office, division or branch of a non-bank entity** (e.g., subdivisions of data processing servicers (DPS) non-bank head offices)
- 18 = Trust** -- An office that only conducts trust activities and does not accept deposits
- 19 = Electronic Banking** -- A facility with a phone, PC, and/or website services through which customers can open accounts, apply for loans, make fund transfers into accounts, and other types of electronic transactions from a remote location.

COLUMN: FBO_4C9_IND
DATA TYPE: INTEGER
DESCRIPTION: FBO/4C9 QUALIFICATION INDICATOR

The FBO/4C9 Qualification Indicator is an indicator of whether a Foreign Banking Organization (FBO) is exempt from non-bank activity restrictions under Section 4(c) 9 of the Bank Holding Company Act or Section 211.23 of Regulation K.

An FBO is eligible for exemption if, disregarding its U.S. banking business, more than half of its worldwide business is banking and more than half of its banking business is outside the U.S.

An FBO is eligible for exemption if, disregarding its U.S. banking business, more than half of its worldwide business is banking and more than half of its banking business is outside the U.S.

COLUMN: FHC_IND
DATA TYPE: INTEGER
DESCRIPTION: FINANCIAL HOLDING COMPANY INDICATOR

The Financial Holding Company Indicator is an indicator of whether a Bank Holding Company or Foreign Banking entity has been designated a Financial Holding Company as defined in the GLB Act and Section 4(k) of the Bank Holding Company Act.

- 0 = Not applicable** (for non-head office, and head office entities that are not designated as FHCs)
- 1 = Entity is an FHC**
- 2 = Entity is an SLHC which has been designated an FHC**

COLUMN: FISC_YREND_MMDD
DATA TYPE: DECIMAL [4]
DESCRIPTION: DATE OF FISCAL YEAR END

ATTRIBUTES TABLE

The Date of Fiscal Year End is the date the fiscal year ends for the Bank Holding Company, Savings and Loan Holding Company, Foreign Banking Organization or other FR Y-7 filer. Format is MMDD.

0 = Not applicable (entity is not a BHC, FBO, or other F.R. Y-7 filer)

COLUMN: FNCL_SUB_HOLDER
DATA TYPE: INTEGER
DESCRIPTION: FINANCIAL SUBSIDIARY HOLDER

The Financial Subsidiary Holder field is a field to indicate whether a bank conducts expanded financial activities through its direct or indirect ownership and control of an approved “financial subsidiary” as defined in the GLB Act, and in Section 4(k) of the Bank Holding Company Act. This field is only applicable to banks (BROAD_REG_CD = 1) and effective when the bank, through a financial subsidiary, conducts expanded financial activities.

0 = Not applicable
1 = Holds one or more financial subsidiaries
2 = Other

COLUMN: FNCL_SUB_IND
DATA TYPE: INTEGER
DESCRIPTION: FINANCIAL SUBSIDIARY INDICATOR

The Financial Subsidiary Indicator field indicates whether a non-bank subsidiary of a state or nationally chartered bank, after providing notice to its primary federal regulator, engages in activities that are “financial in nature” pursuant to section 4(k)4 of the BHC Act. Financial subsidiaries cannot have a start date prior to March 13, 2000, and cannot engage in most insurance underwriting activities, real estate development or real estate investment, or merchant bank/insurance company investment activities.

0 = Not applicable
1 = Conducting expanded activities that are financial in nature
2 = Other

COLUMN: FUNC_REG
DATA TYPE: INTEGER
DESCRIPTION: FUNCTIONAL REGULATOR

The Functional Regulator field indicates the functional regulator of financial subsidiaries of unaffiliated state member banks; regulated financial subsidiaries of commercial banks (i.e., part of

ATTRIBUTES TABLE

a BHC or FHC); and regulated U.S. non-bank subsidiaries of financial holding companies, bank holding companies and foreign banking organizations (only required if the FBO non-bank subsidiary has operations in the U.S.). For non-financial subsidiaries of unaffiliated state member or regulated commercial banks, and bank subsidiaries and non-bank subsidiaries of BHCs, FHCs or FBOs that do not have a functional regulator as shown below, use zero for not applicable.

- 0 = Not applicable**
- 1 = SEC/CFTC (Regulated by both)**
- 2 = SEC (Securities and Exchange Commission)**
- 3 = State Securities Department**
- 4 = State Insurance Regulator**
- 5 = CFTC (Commodity Futures Trading Commission)**
- 6 = Other**

COLUMN: IBA_GRNDFTHR_IND
DATA TYPE: INTEGER
DESCRIPTION: IBA GRANDFATHER INDICATOR

The IBA Grandfather Indicator indicates whether or not the U.S. deposit-taking facility of a Foreign Banking Organization is grandfathered in accordance with the IBA, i.e., whether or not lawful operations were commenced, or application to commence business had been lawfully filed with the appropriate authority, on or before July 27, 1978 (and, therefore, the FBO is not subject to the Home State selection rule). The date of the passage of this law is September 17, 1978.

- 0 = Not grandfathered or branch grandfathered but its state code equals home state of the parent FBO.**
- 1 = Grandfathered**

COLUMN: IBF_IND
DATA TYPE: INTEGER
DESCRIPTION: IBF INDICATOR

The IBF Indicator designates that the entity has an IBF (International Banking Facility).

- 0 = Entity does not operate an IBF**
- 1 = Entity operates an IBF. Note: Earliest DT_START 19811203**

COLUMN: ID_ABA_PRIM

ATTRIBUTES TABLE

DATA TYPE: INTEGER
DESCRIPTION: PRIMARY ABA NUMBER

The Primary ABA Number identifies the primary account of the entity, not the entity itself. The ABA (American Bankers Association) number is an ID assigned by Accuity (formerly Thomson Financial Publishing) to any depository institution applying for one. In addition, in certain other circumstances, it may also be assigned by the Federal Reserve District Bank. It consists of a total of nine digits: an eight digit routing number and a check digit. The routing number is used to clear checks and other means of payment and so embodies geographic information. An entity may request one when it is established or at any other time. It is possible that the same ABA number may be used for different entities over time, but no two concurrent entities may have the same ABA number.

COLUMN: ID_CUSIP
DATA TYPE: CHARACTER [15]
DESCRIPTION: CUSIP ID

CUSIP stands for Committee on Uniform Securities Identification Procedures. A CUSIP ID number identifies most securities, including (1) stocks and debt of all SEC-registered U.S. companies and (2) U.S. government and municipal bonds. The CUSIP system, owned by the American Bankers Association and operated by Standard & Poor's, facilitates the clearing and settlement process of securities. The number consists of six characters (including letters and numbers) that uniquely identify a company or issuer and the type of security.

COLUMN: ID_FDIC_CERT
DATA TYPE: INTEGER
DESCRIPTION: FDIC CERTIFICATE ID

The FDIC Certificate ID is a number assigned to each head office depository institution by the Federal Deposit Insurance Corporation (FDIC). Check digits are not to be entered.

0 = Not applicable

COLUMN: ID_LEI
DATA TYPE: CHARACTER [20]
DESCRIPTION: LEGAL ENTITY IDENTIFIER

The Legal Entity Identifier (LEI) is a 20-digit alpha-numeric reference code to uniquely identify a legally distinct entity that engages in a financial transaction. LEIs are issued by approved local operating units around the world in conjunction with the Global LEI Foundation, overseen by the LEI Regulatory Oversight Committee.

COLUMN: ID_NCUA
DATA TYPE: INTEGER

ATTRIBUTES TABLE

DESCRIPTION: NCUA CHARTER ID

The NCUA Charter ID is a number assigned to credit unions, including corporate credit unions, by the National Credit Union Administration for all NCUA-insured credit unions and some non-federally insured credit unions. The NCUA assigns charter numbers as follows:

- 0 = Not applicable**
- 1 – 59999 = Federal**
- 60000 – 79999 = Federally Insured, State Chartered**

80000 + = Non-Federally Insured

COLUMN: ID_OCC

DATA TYPE: INTEGER

DESCRIPTION: OCC CHARTER ID

The OCC Charter ID is a number assigned by the Office of the Comptroller of the Currency to all entities to which it grants a charter. Beginning July 21, 2011, the OCC began using the OCC charter field to facilitate storage of supervisory information for nationally chartered thrifts. These IDs consist of the thrift docket number plus 700,000.

0 = Not applicable

COLUMN: ID_RSSD

DATA TYPE: INTEGER

DESCRIPTION: RSSD ID

The RSSD ID is the primary identifier on the database. It is a unique, one-up number (with a check digit) that is assigned by the RSSD software when an entity is first added to the database. This identifier has no inherent attribute information, never changes, and is never reused. Each entity has one and only one ID_RSSD during its life cycle; this is essential for tracing an entity's existence and relationships and linking it to financial data.

While the entity may undergo major changes, for example, of charter type or establishment type, it will continue to have the same ID_RSSD. An entity ceases to exist when it is liquidated or permanently closed. Even after its existence is completely terminated, it will remain on the database with the same ID_RSSD.

COLUMN: ID_RSSD_HD_OFF

DATA TYPE: INTEGER

DESCRIPTION: HEAD OFFICE ID_RSSD

The Head Office ID RSSD is the ID_RSSD of the head office of branches, agencies, and other non-independent facilities, i.e., for entities with EST_TYPE_CD greater than 1.

ATTRIBUTES TABLE

0 = Not applicable (entities with EST_TYPE_CD equal 1)

COLUMN: ID_TAX
DATA TYPE: INTEGER
DESCRIPTION: TAX ID

The Tax ID is a federal tax identification number (also known as an employer identification number or EIN) is a nine-digit number assigned solely to a business by the Internal Revenue Service. Effective 20081231.

COLUMN: ID_THRIFT
DATA TYPE: INTEGER
DESCRIPTION: THRIFT ID

The Thrift ID is a docket number assigned to any institution with a CHTR_TYPE_CD of 300 or 310 that is a member of a Federal Home Loan Bank. This number is assigned by the Office of Thrift Supervision (OTS). Although this field is nine characters long, the updater software only allows five characters to be entered (in the right-most positions).

0 = Not applicable

COLUMN: ID_THRIFT_HC
DATA TYPE: CHARACTER [6]
DESCRIPTION: THRIFT HOLDING COMPANY ID

The Thrift Holding Company ID is an alpha-numeric code ("H" + 5 numbers) assigned by the Office of Thrift Supervision (OTS) to entities that own one or more savings and loan associations or one or more federal savings banks.

0 = Not applicable

COLUMN: INSUR_PRI_CD
DATA TYPE: INTEGER
DESCRIPTION: PRIMARY INSURER

The Primary Insurer is a Code indicating the highest level of deposit-related insurance of the head office of a U.S. depository institution or U.S. branch of a foreign bank. If an entity is insured by FDIC and state, the appropriate FDIC value should be used.

0 = Not applicable, or not insured

1 = FDIC/BIF (Banking Insurance Fund). Prior to the effective date of FIRREA, August 9, 1989, this value had the meaning of FDIC. Not valid after 20060330.

ATTRIBUTES TABLE

- 2 = FDIC/SAIF** (Savings Association Insurance Fund). Prior to the effective date of FIRREA, August 9, 1989, this value had the meaning of FSLIC. Not valid after 20060330.
- 3 = NCUSIF** (National Credit Union Share Insurance Fund, Effective 19710104)
- 4 = State**
- 5 = Other**
- 6 = FDIC/BIF and FDIC/SAIF.** In use only as of the effective date of FIRREA, August 9, 1989, this value did not exist. Not valid after 20060330.
- 7 = DIF** (Deposit Insurance Fund). FDIC merged the BIF and SAIF funds to form DIF. Not valid prior to 20060331.

COLUMN: MBR_FHLBS_IND
DATA TYPE: INTEGER
DESCRIPTION: FHLBS MEMBERSHIP INDICATOR

The FHLBS Membership Indicator is a code indicating that an entity is a member of the Federal Home Loan Bank System.

- 0 = Not applicable, or non-member**
- 1 = Member**

COLUMN: MBR_FRS_IND
DATA TYPE: INTEGER
DESCRIPTION: FRS MEMBERSHIP INDICATOR

THE FRS Membership Indicator is a code indicating that an entity is a member of the Federal Reserve System.

- 0 = Not applicable, or non-member**
- 1 = Member**

COLUMN: MJR_OWN_MNRTY
DATA TYPE: INTEGER
DESCRIPTION: MAJORITY-OWNED BY MINORITIES OR WOMEN

The Majority Owned By Minorities or Women is a code indicating whether a bank, savings and loan association, or non-FBO Bank Holding Company is more than 50% owned by one or more minorities or women with identification of the minority. Also included are certain branches (located in the continental U.S.) of Puerto Rican banks which are designated by the Treasury. If the ownership is by a woman who is also a member of a minority, the item is coded as minority. Not all ethnic groups are represented, nor will they be. These values are defined in Executive Order 11625 SEC (6A) and are required as defined for Board use. See

https://www.fiscal.treasury.gov/fsservices/gov/rvnColl/mnrtyBankDep/rvnColl_mbdp.htm

ATTRIBUTES TABLE

0 =	Not applicable
1 =	African American
5 =	Caucasian Women
10 =	Hispanic
20 =	Asian American
30 =	Native American
35 =	Eskimo
37 =	Aleuts
39 =	Low Income Credit Union
99 =	Other Minorities
COLUMN:	NM_LGL
DATA TYPE:	CHARACTER [120]
DESCRIPTION:	LEGAL NAME

The Legal Name field indicates the legal name as found on the charter or formation document of the entity. Names that have articles such as "The" or "A" as the first word should be stored with the article at the end of the name preceded by a comma. For branches, only the branch portion of the name is stored. This is a required field.

COLUMN:	NM_SHORT
DATA TYPE:	CHARACTER [30]
DESCRIPTION:	SHORT NAME

The Short Name field indicates an abbreviated version of the legal name used for processing purposes. This is a required field.

COLUMN:	NM_SRCH_CD
DATA TYPE:	INTEGER
DESCRIPTION:	NUMERIC SEARCH CODE

The Numeric Search Code is a code derived from NM_LGL to speed up automated search for the row by institution name.

COLUMN:	ORG_TYPE_CD
DATA TYPE:	INTEGER
DESCRIPTION:	ORGANIZATION TYPE

The Organization Type is a code indicating the legal structure of the organization.

0 =	Not applicable (branches)
1 =	Corporation (stock)

ATTRIBUTES TABLE

- 2 = General Partnership**
- 3 = Limited Partnership**
- 4 = Business Trust (fiduciary)**
- 5 = Sole Proprietorship**
- 6 = Mutual**
- 9 = Cooperative**
- 10 = LLP (Limited liability partnership)**
- 11 = LLC/C (Limited liability company/corporation)**
- 12 = Estate Trust**
- 13 = Limited Liability Limited Partnership**
- 99 = Other**

COLUMN: PLACE_CD
DATA TYPE: INTEGER
DESCRIPTION: PHYSICAL PLACE CODE

The Physical Place Code is a numeric code assigned to incorporated places, census designated places, primary county divisions (such as townships, New England towns, and census county divisions), counties, and recognized Indian reservations and Alaska Native villages. These codes are also assigned to places in the files of the Geographic Names Information System of the U.S. Geological Survey, as well as names of airports, military bases, national parks, and U.S. Post Offices. Prior to June 1, 2003, place codes are **required** to derive MSA and CMSA codes for all New England states and Sullivan County, Missouri (in these places MSA codes do not encompass an entire county). For all other areas, the state/county combination is sufficient for the derivation.

- 0 = Not applicable** (for all other cities/counties not listed above and non-U.S. domiciled entities)

COLUMN: PRIM_FED_REG
DATA TYPE: CHARACTER [20]
DESCRIPTION: PRIMARY FEDERAL REGULATOR

The Primary Federal Regulator column contains the name of the agency that is the primary regulator of a depository institution, non-deposit trust company, bank holding company, thrift holding company, farm credit bank, or federal housing enterprise. The following agencies are represented:

- FCA = Farm Credit Administration**
- FDIC = Federal Deposit Insurance Corporation**
- FHFA = Federal Housing Finance Agency**
- FRS = Federal Reserve System**
- NCUA = National Credit Union Administration**
- OCC = Office of the Comptroller of the Currency**
- OTS = Office of Thrift Supervision** (only valid until July 21, 2011)

ATTRIBUTES TABLE

An institution's primary regulator may change through its history if it changed its charter from federal to state or vice versa, began or ended membership in the Federal Reserve System, etc. It may also change due to legislation, for example the transfer of OTS supervisory responsibilities as mandated by the Dodd-Frank Act. Therefore ATTRIBUTES rows for the same ID_RSSD may have different PRIM_FED_REG values.

PRIM_FED_REG is null in ATTRIBUTES rows where it does not apply, such as branch offices and non-bank companies (including non-bank subsidiaries of BHCs).

PRIM_FED_REG is derived nightly to reflect the latest updates to ATTRIBUTES tables, according to a set of rules based on applicable law and regulation. In very rare, exceptional cases, the derivation may be manually overridden.

COLUMN: PROV_REGION
DATA TYPE: CHARACTER [40]
DESCRIPTION: PROVINCE REGION

The Province Region is a territorial unit within a country or state in which the entity is physically located.

COLUMN: REASON_TERM_CD
DATA TYPE: INTEGER
DESCRIPTION: REASON FOR TERMINATION OF AN ENTITY

The Reason for Termination of an Entity is a code for the circumstances under which an entity ceased to exist or an indicator that an entity failed but remained open. This field is to be used for head office entities only, not branches.

Non-failure: The entity terminated or ceased to exist without using FDIC, RTC, NCUA, State or other regulatory agency assistance.

- 0 = Not applicable or entity continues to exist.** In the case of a merger, the entity continues to exist under the same ID_RSSD. This includes mergers where the head office becomes a branch and/or branches become branches of the survivor.
- 1 = Voluntary liquidation.** No merger or failure has occurred. (No Transformations row should be present.).
- 2 = Closure.** Head office closes and does not continue following a merger. If a head office closes, its branches, if any, may continue with a new head office. (Transformation row should be present.).
- 3 = Entity is either inactive or no longer regulated by the Federal Reserve.**

Failure

- 4 = Failure, entity continues to exist.** Resolution was arranged by the FDIC, RTC, NCUA, State, or other regulatory agency. (No Transformation row should be present.).

ATTRIBUTES TABLE

5 = Failure, entity ceases to exist. Resolution was arranged by the FDIC, RTC, NCUA, State, or other regulatory agency. (A Transformation row may or may not be present.).

COLUMN: SEC_RPTG_STATUS
DATA TYPE: INTEGER
DESCRIPTION: SEC REPORTING STATUS

The SEC Reporting Status is a code indicating the registration or reporting status of an entity whose securities are traded and are subject to registration, or reporting requirements pursuant to the Securities Exchange Act of 1934.

0 = Not applicable

1 = Registered with the SEC (Not valid after 20051231)

2 = Not registered with the SEC

3 = Subject to section 13(a) or 15(d) of the Securities Exchange Act of 1934 and section 404 of the Sarbanes-Oxley Act of 2002 (Effective 20051231)

4 = Subject to section 13(a) or 15(d) of the Securities Exchange Act of 1934 and NOT section 404 of the Sarbanes-Oxley Act of 2002 (Effective 20051231)

5 = Terminated or suspended its reporting requirements under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (Effective 20051231)

COLUMN: SLHC_IND
DATA TYPE: INTEGER
DESCRIPTION: SAVINGS AND LOAN HOLDING COMPANY INDICATOR

The Savings and Loan Holding Company Indicator indicates whether a head office entity is a Savings and Loan Holding Company regulated by the Federal Reserve System effective July 21, 2011. An entity which controls both banks and thrift institutions is considered a BHC, not an SLHC.

0 = Not applicable (not a SLHC, or historical rows where DT_START < 20110721)

1 = Entity is a savings and loan holding company

COLUMN: SLHC_TYPE_IND
DATA TYPE: INTEGER
DESCRIPTION: SAVINGS AND LOAN HOLDING COMPANY

The Savings and Loan Holding Company field is an indicator of the type of Savings and Loan

ATTRIBUTES TABLE

Holding Company.

- 0 = Not applicable** (not a SLHC, or historical rows where DT_START < 20110721)
- 1 = Entity is a Home Owners Loan Act Mutual Holding Company that holds a savings bank that has made a 10L election to be treated as a thrift**
- 2 = Entity is a Home Owners Loan Act Stock Holding Company that holds a savings bank that has made a 10L election to be treated as a thrift**
- 3 = Entity is a Mutual Holding Company (non- Home Owners Loan Act) that holds a savings association**
- 4 = Entity is a Stock Holding Company (non- Home Owners Loan Act) that holds a savings association**
- 5 = Entity is a Trust (family or estate) Holding Company. These entities are registered savings and loan holding companies.**

COLUMN: STATE_ABBR_NM
DATA TYPE: CHARACTER [2]
DESCRIPTION: ABBREVIATED STATE NAME

The Abbreviated State Name is two character state abbreviation as assigned to a state or territory. Source: FIPS 5-2.

COLUMN: STATE_CD
DATA TYPE: INTEGER
DESCRIPTION: PHYSICAL STATE CODE

The Physical State Code is a two-digit numeric FIPS State code assigned to a state of the United States or a U.S. territory in which the entity is physically located. Source: FIPS 5-2.

- 0 = Not applicable** (non-U.S. domiciled entities)

COLUMN: STATE_HOME_CD
DATA TYPE: INTEGER
DESCRIPTION: HOME STATE

The Home State is a two-digit numeric FIPS State code identifying the home state of a Foreign Banking Organization. In the absence of grandfather rights, it may not accept domestic deposits in other states. Further, such foreign bank is subject to the home state limitations imposed by Sections 5(a) and (b) of the IBA (which include Section 3(d) of the BHC Act).

ATTRIBUTES TABLE

0 = Not applicable (entities other than those specified in the definition)

COLUMN: STATE_INC_ABBR_NM
DATA TYPE: CHARACTER [2]
DESCRIPTION: ABBREVIATED STATE OF INCORPORATION

The Abbreviated State of Incorporation is a two character state abbreviation as assigned to a state or territory in which the entity is incorporated. Source: FIPS 5-2.

COLUMN: STATE_INC_CD
DATA TYPE: INTEGER
DESCRIPTION: STATE OF INCORPORATION

The State of Incorporation is a two-digit numeric FIPS State code assigned to a state of the United States or a U.S. territory in which the entity is incorporated. (Implemented 20120101)
Source: FIPS 5-2.

0 = Not applicable (non-U.S. domiciled entities, and national banks, ESOPs)

COLUMN: STREET_LINE1
DATA TYPE: CHARACTER [40]
DESCRIPTION: PHYSICAL FIRST STREET LINE

The Physical First Street Line is the first of two street address lines of the physical location of the entity.

COLUMN: STREET_LINE2
DATA TYPE: CHARACTER [40]
DESCRIPTION: PHYSICAL SECOND STREET LINE

The Physical Second Street line is the second of two street address lines of the physical location of the entity. Note: STREET_LINE2 should not contain any extraneous information that is in conflict with the information contained in STREET_LINE1, CITY, STATE_CD and ZIP_CD. For example, P.O. Boxes should not be included in STREET_LINE2.

COLUMN: URL
DATA TYPE: CHARACTER [255]
DESCRIPTION: WEB SITE

The Web Site is the web address of the reporting company's web site.

ATTRIBUTES TABLE

COLUMN: ZIP_CD
DATA TYPE: CHARACTER [9]
DESCRIPTION: ZIP/FOREIGN MAILING CODE

The Zip/Foreign Mailing Code is the zip code or foreign mailing code of the physical location of the entity.

RELATIONSHIPS TABLE

SECTION V – RELATIONSHIPS TABLE DETAILS

These data elements provide information on the history of an entity's relationships with other entities over time. The levels of relationships between entities can be direct or indirect (where control exists). Data elements will be stored for all regulated relationships and selected unregulated relationships.

COLUMN: CTRL_IND
DATA TYPE: DECIMAL [1]
DESCRIPTION: CONTROL INDICATOR

The Control Indicator is a code to indicate whether Parent controls Offspring.

0 = Not applicable

1 = Controlled

If REG_IND is 1, the definition of control relates to the statute or regulation under which the entity is held, i.e. the legal authority. The value of 1 in the CTRL_IND shall mean control of a bank or other company where

- a) ownership, control, or power to vote 25 percent or more of the outstanding shares of any class of voting securities of the bank or other company, directly or indirectly or acting through one or more other persons
- b) control in any manner over the election of a majority of the individuals, or general partners (or persons exercising similar function) of the bank or other company
- c) the power to exercise, directly or indirectly, a controlling influence over the management or policies of the bank or other company. See Regulation Y Section 225.2 (e)(1)(i)(ii)(iii) or 12 CFR Part 574 for savings and loan holding companies.

If REG_IND is 2, control is based on the percentage of ownership or if the Federal Reserve System determines control exists. For example, savings and loan holding companies that are not bank holding companies and foreign owners.

2 = Non-controlled

If REG_IND is 1, the definition of control relates to the statute or regulation under which the entity is held, i.e., the legal authority.

If REG_IND is 2, control is based on the percentage of ownership or if the Federal Reserve System determines that control does not exist.

COLUMN: D_DT_END
DATA TYPE: DATETIME
DESCRIPTION: DATE END

RELATIONSHIPS TABLE

The Date End is the value of DT_END converted to a DB2 date format. For querying, the format is 'YYYY-MM-DD HH:MM:SS' and must be enclosed in quotes.

COLUMN: D_DT_RELN_EST
DATA TYPE: DATETIME
DESCRIPTION: DATE RELATIONSHIP WAS ESTABLISHED

The Date Relationship was Established is the value of DT_RELN_EST converted to a DB2 date format. For querying, the format is 'YYYY-MM-DD HH:MM:SS' and must be enclosed in quotes.

COLUMN: D_DT_START
DATA TYPE: DATETIME
DESCRIPTION: DATE START

The Date Start is the value of DT_START converted to a DB2 date format. For querying, the format is 'YYYY-MM-DD HH:MM:SS' and must be enclosed in quotes.

COLUMN: DT_END
DATA TYPE: INTEGER
DESCRIPTION: DATE END

The Date End is the last date for which the information in the record was known to be valid. Format is YYYYMMDD.

99991231 = Non-terminated record

COLUMN: DT_RELN_EST
DATA TYPE: INTEGER
DESCRIPTION: DATE RELATIONSHIP WAS ESTABLISHED

The Date Relationship was established is the date the relationship between Parent and Offspring was established. Date Relationship Established will equal the Date Start of the initial Relationships row except when the date the relationship established was prior to the date the bank holding company became regulated, i.e., pre-1956 bank holding companies, pre-1970 bank holding companies, pre-1978 foreign banking organizations or pre-existing entities that become BHCs or FBOs.

COLUMN: DT_START
DATA TYPE: INTEGER
DESCRIPTION: DATE START

The Date Start is the date on which the information in the record became effective or was known

RELATIONSHIPS TABLE

to be valid. Format is YYYYMMDD.

The date start for the initial record for a regulated relationship between Parent and Offspring is the effective date on which the relationship became regulated. Often, date start will be the same as the effective date on which the relationship was established.

The date start in an unregulated relationship is either the effective date of the information or the date it was known to be valid.

The date start in an indirect relationship is the date that Offspring became controlled by the BHC or FBO organization as the result of ownership by two or more direct holders within the organization of Parent although no direct holder has control.

COLUMN: EQUITY_IND
DATA TYPE: DECIMAL [1]
DESCRIPTION: EQUITY INDICATOR

The Equity Indicator is an indicator that identifies the form of ownership or control by the direct holder in the reportable company.

- 0 = Other basis of control.** Voting equity is not the basis for ownership/control.
- 1 = Ownership / control is in a BHC, SLHC, bank or FBO.** Exact percent is reported.
- 2 = Ownership / control is in a non-banking company.** Percent is reported in a bracket.

COLUMN: FC_IND
DATA TYPE: DECIMAL [1]
DESCRIPTION: FINANCIAL CONSOLIDATION INDICATOR

The Financial Consolidation Indicator is a code indicating whether the banking or non-banking company is consolidated in the reporter's financial statements. This would be reportable if the **banking company** is consolidated in any subsidiary domestic commercial bank's Consolidated Reports of Condition and Income within the reporter's organization **with respect to foreign investments only**. Or, this reportable if the **non-banking company** is consolidated in any subsidiary domestic commercial bank's Consolidated Reports of Condition and Income and **is one of the following "foreign" offices:**

- (1) a consolidated subsidiary in a foreign country,
- (2) a majority-owned Edge or agreement subsidiary.

- 0 = Not Applicable**
- 1 = Yes**
- 2 = No**

RELATIONSHIPS TABLE

COLUMN: ID_RSSD_OFFSPRING
DATA TYPE: INTEGER
DESCRIPTION: RSSD ID OF OFFSPRING

The RSSD ID of Offspring is the ID_RSSD of the entity that is owned or controlled by Parent.

COLUMN: ID_RSSD_PARENT
DATA TYPE: INTEGER
DESCRIPTION: RSSD ID OF PARENT

The RSSD ID of Parent ID_RSSD of the entity that generally owns or controls Offspring. More specifically it is

- A. In a relationship with level of direct, which means the Parent:
- Owns or controls Offspring
 - Has a director, officer, or employee in common with Offspring (in this type of relationship it is irrelevant which of the entities is Parent or Offspring)
 - Is the bank holding company organization as represented by the ID_RSSD of the top-tier U.S Bank Holding Company or the top tier Foreign Banking Organization as reported on the FR Y-10.
- B. In a relationship with level of indirect, which means the Parent is one of the following:
- The top-tier U.S. Bank Holding Company, or the top-tier Foreign Banking Organization as reported on the FR Y-10 which indicates the overall controlling position of the BHC or FBO organization when Offspring is owned by two or more direct holders within the same BHC/FBO organization but no direct holder has control,
 - A Bank Holding Company other than the type described above which is necessary in order to facilitate the building of structure trees when starting below a top-tier.

COLUMN: MB_COST
DATA TYPE: DECIMAL [8]
DESCRIPTION: MERCHANT BANKING / INSURANCE COMPANY INVESTMENT

The Merchant Banking / Insurance Company Investment is the dollar amount (in millions) of FHC investments held under one of the following:

- The merchant bank authority of the BHC Act, section 4(k)(4)(H)
- Insurance company investments through a subsidiary that predominantly is engaged in underwriting insurance (other than credit-related insurance), or providing or issuing annuities pursuant to section 4(k) (4) (I) of the BHC Act.

Not valid prior to 20010901.

RELATIONSHIPS TABLE

0 = Not applicable

COLUMN: OTHER_BASIS_IND
DATA TYPE: DECIMAL [1]
DESCRIPTION: OTHER BASIS FOR RELATIONSHIP INDICATOR

The Other Basis for Relationship Indication is an indicator of a basis other than equity for the relationship between Parent and Offspring (with the exception of item 3).

0 = Other is not a basis

1 = Other basis of ownership/control (other than a voting interest; e.g., management contract, election of majority of directors, or fiduciary)

2 = Non-voting equity

3 = Voting securities in a merchant banking or insurance company investment

4 = Subordinated debt

5 = Limited partnership

6 = Subordinated debt and non-voting equity

7 = Subordinated debt and limited partnership

8 = Assets (interest in the merchant banking or insurance company investment is in assets)

9 = Total equity in a merchant banking or insurance company investment

COLUMN: PCT_EQUITY
DATA TYPE: DECIMAL [5, 2]
DESCRIPTION: PERCENT OF EQUITY VOTING CONTROL

The Percent of Equity Voting Control is the Parent's percent of ownership or control of Offspring. Ownership or control by the direct holder of a BHC, bank, or FBO is the exact percentage of the outstanding shares in a class of voting securities, or the exact percentage of non-voting equity. Ownership or control by the direct holder of a non-banking company or interests held under subpart A or C of Regulation K is the value in the lower range of percent ownership interest in a class of voting securities.

0 = Not applicable

COLUMN: PCT_EQUITY_BRACKET
DATA TYPE: CHARACTER [8]
DESCRIPTION: PERCENT EQUITY BRACKET

RELATIONSHIPS TABLE

The Percent Equity Bracket is a derived value within the bracket based upon the value reported in PCT_EQUITY. The range within each bracket is one of the following:

100*

80 - <100

>50 - <80

25 - 50

< 25

0

* Prior to June 30, 2007, the values in this bracket were defined as 80 – 100. The FR Y-10 Report was revised effective June 30, 2007, to include a separate bracket for 100% ownership.

COLUMN: PCT_EQUITY_FORMAT
DATA TYPE: CHARACTER [8]
DESCRIPTION: PERCENT EQUITY FORMAT

The Percent Equity Format is a text description of the form the percent of ownership or control reported. This field is derived in the user access environment based upon the value of EQUITY_IND.

Other = Other basis of control (EQUITY_IND = 0)
Exact = Exact percentage reported (EQUITY_IND = 1)
Bracket = Percent reported in a range (EQUITY_IND = 2)

COLUMN: PCT_OTHER
DATA TYPE: DECIMAL [5, 2]
DESCRIPTION: PERCENT OF OTHER VOTING CONTROL

The Percent of Other Voting Control is the Parent's exact percent of ownership of Offspring when the basis for the relationship is non-voting or a merchant banking/insurance company investment. Offspring must be a BHC, bank, FBO, or merchant banking investment.

0 = Not applicable

COLUMN: REASON_ROW_CRTD
DATA TYPE: DECIMAL [1]
DESCRIPTION: REASON FOR CREATION OF THE RELATIONSHIP

The Reason for Creation of the Relationship is the reason for starting the relationship.

RELATIONSHIPS TABLE

- 1 = Initial relationship record.** Date Start is date the relationship became known or valid.
- 2 = Increase/Decrease in voting rights including non-participation in capital increase**
- 3 = Reestablishment of a relationship** (reacquisition and/or resumption of reportability)
- 4 = Change in basis for relationship or change in relationship** (addition or termination of a basis)
- 5 = Change in Control Indicator**
- 6 = Change in Regulatory Indicator**
- 7 = Change in Regulatory Indicator along with reasons 2 and/or 4 above**
- 8 = Other.** Any other reason to create a new row that is not defined in the other available codes.

COLUMN: REASON_TERM_RELN
DATA TYPE: DECIMAL [1]
DESCRIPTION: REASON FOR TERMINATION OF THE RELATIONSHIP

The Reason for Termination of the Relationship is the reason for the termination of a relationship between entities or of the regulation of the relationship.

- 0 = Not applicable** (value for ongoing relationship).
- 1 = Termination of relationship between Parent and Offspring for reasons other than 2 through 6 with no remaining basis for a relationship** (no ongoing relationship record between Parent and Offspring); also used for termination of indirect relationship records when only one parent or no parent continues.
- 2 = Parent terminates relationship with Offspring by selling or transferring all the control it (Parent) has over Offspring.** This code also applies if Parent is merged into another entity and Offspring is not simultaneously merged.
- 3 = Relationship between Parent and Offspring is terminated because Offspring is liquidated or merged.** This code also applies if both Parent and Offspring are simultaneously merged into other surviving entities.
- 4 = Termination of regulation of relationship between Parent and Offspring because control criteria of Offspring fell below regulatory reportable level.**
- 5 = Termination of regulation of relationship between Parent and Offspring because Parent ceased to be controlled or reportable.**
- 6 = Termination of regulation of relationship between Parent and Offspring because of change to regulatory reporting criteria.**

RELATIONSHIPS TABLE

COLUMN: REG_IND
DATA TYPE: DECIMAL [1]
DESCRIPTION: REGULATED INDICATOR

The Regulated Indicator is the code indicating whether or not Parent's relationship with Offspring is governed by applicable banking statutes, which are either federal or state banking laws.

Unregulated means that the relationship is not, not yet, or no longer governed by U.S. banking statutes but in which there is a Federal Reserve supervisory interest, e.g., (1) savings and loan holding companies that are not also bank holding companies; (2) relationships falling below the regulatory threshold (5%); (3) bank holding companies prior to 1956 and the 1970 amendments depending on the number of banks; and (4) foreign central banks and jointly-acting foreign owners.

1 = Regulated

2 = Unregulated - never, not yet, or no longer regulated

COLUMN: REGK_INV
DATA TYPE: DECIMAL [1]
DESCRIPTION: REGULATION K, SUBPART A INVESTMENT

The Regulation K, Subpart A Investment is the code that indicates the aggregate investment in a non-banking company that is held under authority of Subpart A of Regulation K

0 = Not applicable

1 = Portfolio Investment (The non-banking company is neither joint venture nor subsidiary.)

2 = Joint Venture (–The non-banking company is not a subsidiary of the FR Y-10 reporter, but the reporter directly or indirectly holds 20 - 50 percent of the nonbanking company's voting shares.)

3 = Subsidiary (–the FR Y-10 reporter directly or indirectly holds more than 50 percent of the non-banking company's voting shares; the reporter or any of its subsidiaries is a general partner of the nonbanking company; the reporter directly or indirectly holds more than 50 percent of the equity of the non-banking company; or the reporter directly or indirectly otherwise controls the non-banking company). Not valid prior to 20040601.

COLUMN: RELN_LVL
DATA TYPE: DECIMAL [1]
DESCRIPTION: RELATIONSHIP LEVEL

The Relationship Level is an indicator of the level of relationship between Parent and Offspring.

1 = Direct relationship which identifies Parent, the immediate holder (owner or controller), and Offspring, the entity that is owned or controlled.

2 = Indirect relationship which identifies a relationship where there is an intervening

RELATIONSHIPS TABLE

controlled or regulated company between Parent, the indirect holder (not necessarily an immediate owner or controller), and Offspring. An indirect relationship identifies a relationship that ties the Offspring to the overall regulated or controlled position of the U.S. Bank Holding Company or Foreign Banking Organization.

- 3 = 2G3 relationship.** A 2G3 relationship describes the section of the BHCA (i.e.2(g)(3)) and indicates that control is continued when a bank holding company transfers shares to an individual or company that is indebted to the BHC, or when there are one or more officers, directors, trustees, or beneficiaries in common between Parent and Offspring. Section 2(g)(3) of the BHC Act was repealed by Section 2207 of the Economic Growth and Regulatory Paperwork Reduction Act of 1996. The date of enactment is September 30, 1996. As a result, these relationships are no longer reportable.
- 4 = Debt Previously Contracted (DPC) relationship;** not valid after August 31, 2001 with the exception of banks and bank holding companies held DPC.

This level of relationship identifies the fact that Parent acquired Offspring under one of the following legal authorities and that Offspring must be divested within a specified period of time. This identifies the portion acquired DPC and generally will not be concurrent with any other basis for a relationship between the same Parent and Offspring.

The legal authorities are
Section 3, Exemption A(ii) of the BHC Act
Section 4(c) 2 of the BHC Act
Section 211.5(e) of Regulation K

TRANSFORMATIONS TABLE

SECTION VI – TRANSFORMATIONS TABLE DETAILS

These data elements catalog events that transform entities. These events include the merger of two or more entities or the split of an entity into two or more entities.

COLUMN: ACCT_METHOD
DATA TYPE: DECIMAL [2]
DESCRIPTION: ACCOUNTING METHOD

The Accounting Method field indicates the accounting method used in resolving a non-failure merger. Applicable when the survivor is a domestic bank, private bank, trust company, or industrial bank (ATTRIBUTES table field CHTR_TYPE_CD = 200, 250, 340).

0 = Not applicable

1 = Pooling of interests or entities under common control. The pooling of interests accounting method occurs when the assets, liabilities, and capital of the merging entities are added together on a line-by-line basis, and the (year-cumulative) income and expenses for the entities are combined. The transactions are recorded at book value.

2 = Purchase/Acquisition. The purchase method occurs when one entity purchases some or all of the assets, and assumes some or all of the liabilities of another entity. Income and expenses are NOT combined. Transactions are recorded at market value.

COLUMN: D_DT_TRANS
DATA TYPE: DATETIME
DESCRIPTION: DATE OF TRANSFORMATION

The Date of Transformation is the value of DT_TRANS converted to a DB2 date format. For querying, the format is 'YYYY-MM-DD HH:MM:SS' and must be enclosed in quotes.

COLUMN: DT_TRANS
DATA TYPE: INTEGER
DESCRIPTION: DATE OF TRANSFORMATION

The Date of Transformation is the date on which the transformation of an entity became effective. Format is YYYYMMDD.

COLUMN: ID_RSSD_PREDECESSOR
DATA TYPE: INTEGER
DESCRIPTION: RSSD ID OF PREDECESSOR

The RSSD ID Predecessor is the ID_RSSD of the entity that was transformed as a result of the

TRANSFORMATIONS TABLE

event identified in the field TRNSFM_CD. In the event of a merger, this is the predecessor or "non-survivor".

COLUMN: ID_RSSD_SUCCESOR
DATA TYPE: INTEGER
DESCRIPTION: RSSD ID OF SUCCESSOR

The RSSD ID Successor is the ID_RSSD of the entity that came into existence or continues to exist as a result of the event identified in the field TRNSFM_CD. In the event of a merger, this is the successor or "survivor".

COLUMN: TRNSFM_CD
DATA TYPE: DECIMAL [2]
DESCRIPTION: TRANSFORMATION TYPE CODE

The Transformation Type Code is a code describing an event involving a single entity or more entities that cause one of the entities to be transformed into one or more new head office entities, entirely cease to exist, have major changes to its balance sheet, or become an establishment type other than head office. A guiding principle is that an entity is defined by its associated collection of assets and liabilities. Any structure activity causing a transformation fitting the descriptor codes below should be entered in the Transformations Table (this includes branch sales). Predecessor and Successor are defined as their ID_RSSD numbers in this description. If more than one Predecessor or Successor is involved, apply the analysis to each Predecessor/Successor pair.

- 1 = Charter Discontinued** (Merger or Purchase & Assumption). Predecessor transfers its assets to one or more Successors. Predecessor ceases to exist as a head office. One charter has been discontinued, or will be discontinued in the near future. Predecessor has not failed; government assistance is not involved.
- 5 = Split**. Predecessor transfers between 40 and 94 percent of its assets to one or more newly formed Successors. Predecessor and Successor continue to exist. Predecessor has not failed; government assistance is not involved.
- 7 = Sale of Assets**. Predecessor transfers between 40 and 94 percent of its assets to one or more existing Successors. Predecessor and Successor continue to exist. Predecessor has not failed; government assistance is not involved.
- 9 = Charter Retained** (Merger or Purchase & Assumption). Predecessor transfers 95 percent or more of its assets to one or more Successors. The charter that had been associated with Predecessor continues to exist and a new ID_RSSD is assigned to it. Predecessor has not failed; government assistance is not involved.
- 50 = Failure, Government Assistance Provided**. Predecessor fails and ceases to exist. Disposition was arranged by the FDIC, RTC, NCUA, or other regulatory agency. Assets may be distributed to other entities as well as the regulatory agency.

TRANSFORMATIONS TABLE

Note: The Resolution Trust Corporation (RTC) was formed by Congress in 1989 to respond to S&L insolvencies. In 1995, its duties were transferred to the Savings Association Insurance Fund.