FR Y-10 Online User Guide

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This is a user guide for the FR Y-10 Online *application*. For help with the FR Y-10 *report* and its *schedules*, please refer to the FR Y-10 report instructions. There is a link to those instructions at the top of every FR Y-10 Online page.

What is the FR Y-10 Online?

Overview

FR Y-10 Online is the *Electronic Alternative* for reporting organizational changes to the Federal Reserve. The application assists you in submitting the Report of Changes in Organizational Structure (FR Y-10), via the Internet. The FR Y-10 is used by bank holding companies (BHCs), savings and loans holding companies (SLHCs), intermediate holding companies (IHC), U.S. banks, U.S. operations of foreign banking organizations (FBOs), and Edge and agreement corporations, to report mergers, changes to company characteristics and changes in reportable investments and activities. Only companies that file the FR Y-10 report may use this application.

Some of the advantages of filing the FR Y-10 report on-line are:

- Immediate submission, which makes meeting reporting deadlines easier
- Example reports and special functions designed to facilitate data entry and guide novice users
- Unfinished reports can be saved as drafts and viewed/modified by multiple users
- Multiple access levels to control who modifies draft report data
- Preliminary editing of data before submitting reports
- Confirmation that reports are received by the Federal Reserve
- Centralized repository of your organization's FR Y-10 reports
- View organizational charts for all organizations within the FR Y-10 Online database
- Savings in mailing expenses
- Links to useful web sites

FR Y-10 Online is a user friendly application which allows preliminary data to be entered on a flow basis. Users can submit the data when they are ready.

At any time during the development of a report, you can run a set of report "edits" which check for missing information or incorrect values. Using this option will help ensure that your reports are complete and accurate.

Once a report is submitted, a confirmation message is displayed on-line and an e-mail confirmation is also sent. Users will immediately know whether the report was successfully delivered to the Federal Reserve.

Reports submitted via this application are saved at the Federal Reserve, providing a centralized repository of your organization's FR Y-10 reports. Previously submitted reports can be viewed or re-printed. Previously submitted reports (posted after June 2007) and draft reports can also be used as templates for submitting new reports, which may reduce data entry when similar information is being reported.

Users can view organizational charts for their organizations or for other FR Y-10 reporters. Only non-confidential relationships are shown within the application.

Security Features

Only non-confidential data are stored in the FR Y-10 Online database and only reports containing non-confidential information should be submitted electronically. Additionally, the application utilizes serverside digital certification, which authenticates that the website to which you are transmitting data is the Federal Reserve's site, and 128-bit secure sockets layer (SSL) encryption to protect all data transmitted. A unique User ID is assigned to each user per your request. All user accounts are protected by an eight-character password, which must contain a combination of upper and lower case letters, numeric characters and at least one special character. While you are not required to change your password at regular intervals, you are encouraged to change it often to ensure security.

System Requirements

To access the FR Y-10 Online application, you must:

1. Agree to the terms as stated in the Federal Reserve System's Operating Circular No. 5, *Electronic Access*. For details, go to www.frbservices.org/regulations/operating_circulars.html.

2. Have a personal computer with 2 GB of RAM (recommended) and running Internet browser software with 128-bit SSL 3.0 encryption (Internet Explorer 8.0 or higher and Mozilla Firefox 2.0 or higher). When submitting report with a large number of events and/or schedules, additional RAM may be required. The use of pop-up window blocking software may also cause difficulties in some cases.

3. Advanced edit preferences set in Browser to enable style sheets and JavaScript.

4. Have Adobe Acrobat Reader 6.0 (or higher) plugin for PDF files installed. The software can be downloaded free of charge from Adobe Systems Incorporated (www.adobe.com). Confirm that only one version of Acrobat Reader exists on your computer. In addition, enable the 'Display PDF in browser' setting under Internet preferences in Acrobat Reader (Go to Edit --- Preferences --- Internet). You will need to repeat these steps for all editions of Acrobat Reader and Acrobat Professional.

Getting Started

User Account Set-up

FR Y-10 Online is located at https://y10online.federalreserve.gov.

In order to use the FR Y-10 Online site, you must have a valid user ID and password.

To receive these items, please complete the FR Y-10 Online User Account Request Form, and e-mail it to the appropriate Federal Reserve Bank contact after it has been signed by an authorized officer of the bank holding company or savings and loan holding company.

A link to the form and the list of Federal Reserve contacts is on the front page of this site.

In the FR Y-10 Online User Account Request Form, you can specify the access level each user will be granted:

1. *View Reports Only* — Allows users to view saved drafts and final reports submitted by their institution.
2. *View and Modify Reports* — Allows users to view their institution's saved or submitted reports and to create or modify reports. Users with this access level cannot submit reports.
3. *View, Modify and Submit Reports* — Allows users to create new reports, view or modify all of their institution's reports, and submit completed reports to the Federal Reserve Bank.

Only an authorized officer of your company may sign the User Account Request Form and agree to the terms as stated in the Federal Reserve System's Operating Circular No. 5, *Electronic Access*. Your organization will be responsible for items submitted by your users.

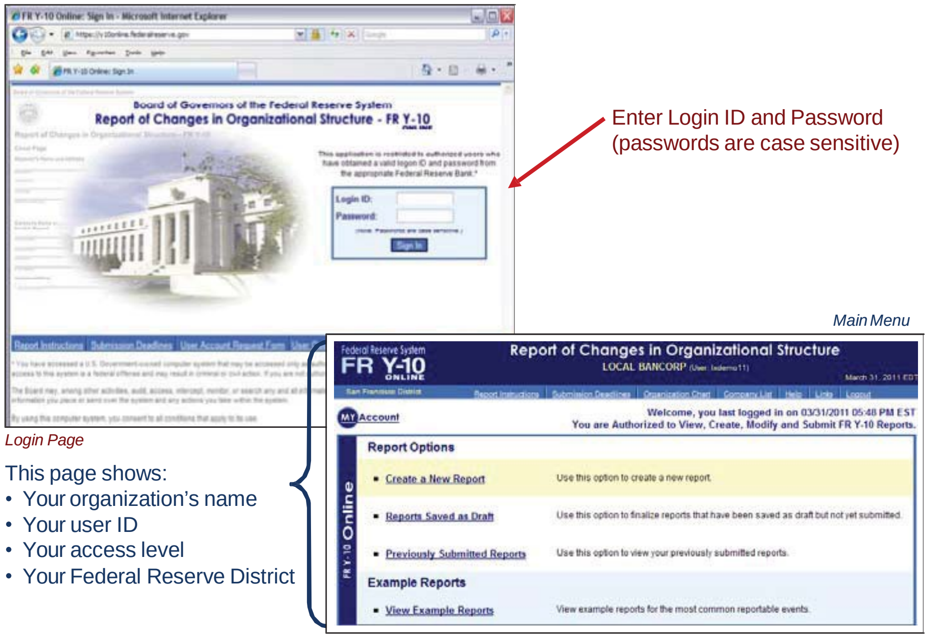
Logging In

Once you have a user ID and password, you can login to the site; https://y10online.federalreserve.gov

When you log in, you will see the Main Menu page, which offers a set of options that depend on your level of access. If you are logging in for the first time, you will be required to change the temporary password, given to you by the FRB analyst, in order to gain access to the FR Y-10 Online application.

Login Timeouts

Users will be timed out of the application after **approximately 1 hour of inactivity**. If you have started to work on a report and get interrupted, be sure you save your report as a draft. If you get timed out of the application, you will lose any unsaved work.



Main Menu Options

Your access level will determine which options are displayed in the menu above:

- If your level of access is *View Reports Only*, you will have links to view ***Reports Saved as Draft*** and ***Previously Submitted Reports***. These reports will have been created and then saved or submitted by other authorized users reporting for your institution.

- If your level of access is *View and Modify Reports*, you will have links to ***Create a New Report*** (these reports can only be saved as drafts, not submitted) and to view and work with ***Reports Saved as Draft*** and ***Previously Submitted Reports.***

- If your level of access is *View, Modify, and Submit Reports*, you will have links to ***Create a New Report*** and to view and work with ***Reports Saved as Draft*** and ***Previously Submitted Reports.*** You will be able to submit reports from each of these links.

- The ***View Example Reports*** link is available to everyone. This will take you to a page where you can view PDFs of schedules filled out with example data demonstrating how some of the most common business events are reported.

To change your access level, an authorized officer of your organization must re-submit the FR Y-10 Online User Account Request Form.

My Account – Changing Your Account Profile and Password

Your account profile consists of your name, password, and telephone number. If you want to change any part of that information, you can do it yourself from the Main Menu page. Click the My Account link in the upper left corner of the page, and you will be taken to a screen that allows you to change your name, password, and telephone number.

To change the e-mail address that is associated with this account, fill out the FR Y-10 Online User Account Request Form requesting a modification to the e-mail address for your account and then send it to your Federal Reserve contact.

Forgetting a Login ID or Password

If you have forgotten your login ID and/or password, contact your Federal Reserve Bank. (Use the ***Contact Us*** link on the right side of the login page for a list of contact information.) Your contact person will assist you with your FR Y-10 Online account.

Creating a New Report

Building the FR Y-10 Report

Only users with the following access levels can create and modify draft FR Y-10 reports:
- *View and Modify Reports*
- *View, Modify, and Submit Reports*

To create a new report, click on the ***Create a New Report*** link. Refer to the Reports Saved as Draft or Previously Submitted Reports sections for instructions on how to create a report by duplicating an existing event(s) and making the necessary changes prior to submission.

<u>Report Description</u>

The first page you will see will be the ***Report Description***. You will be asked to enter a short description of the report, and comments if you wish.

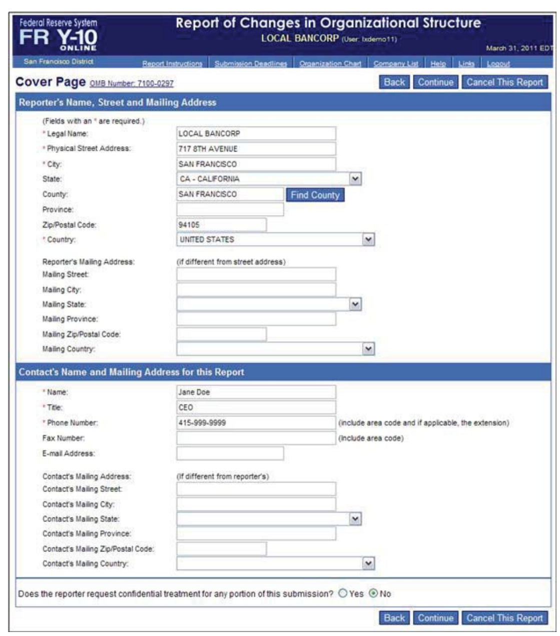
This description is not part of the actual FR Y-10 report. Its sole purpose is to help you locate this report in the future.

Comments are optional and can be provided to communicate any further description of the reported event(s) to the FRB analyst who will process this report.

Clicking Continue from here will take you to the ***Cover Page***.

<u>Cover Page</u>

The next page you see will be the ***Cover Page*** for your report.



If this is the first time using the FR Y-10 Online application, or if you have not yet submitted a report, you will need to complete the ***Cover Page***. If you have already submitted at least one report using the application, then your ***Cover Page*** will be pre-populated with the data from your institution's most recently submitted report.

Before proceeding to the next step, check to see that the required items have been entered and that the information is correct. You will also have the opportunity to modify this data later, if necessary.

After a report is created and saved as a draft, the data in the ***Cover Page*** must be changed manually. Updates will not occur automatically if there are related changes in the FR Y-10 Online database.

Note: Use the appropriate FR Y-10 banking, savings and loan, or nonbanking schedule to report a change to the Reporter's legal name and/or address.

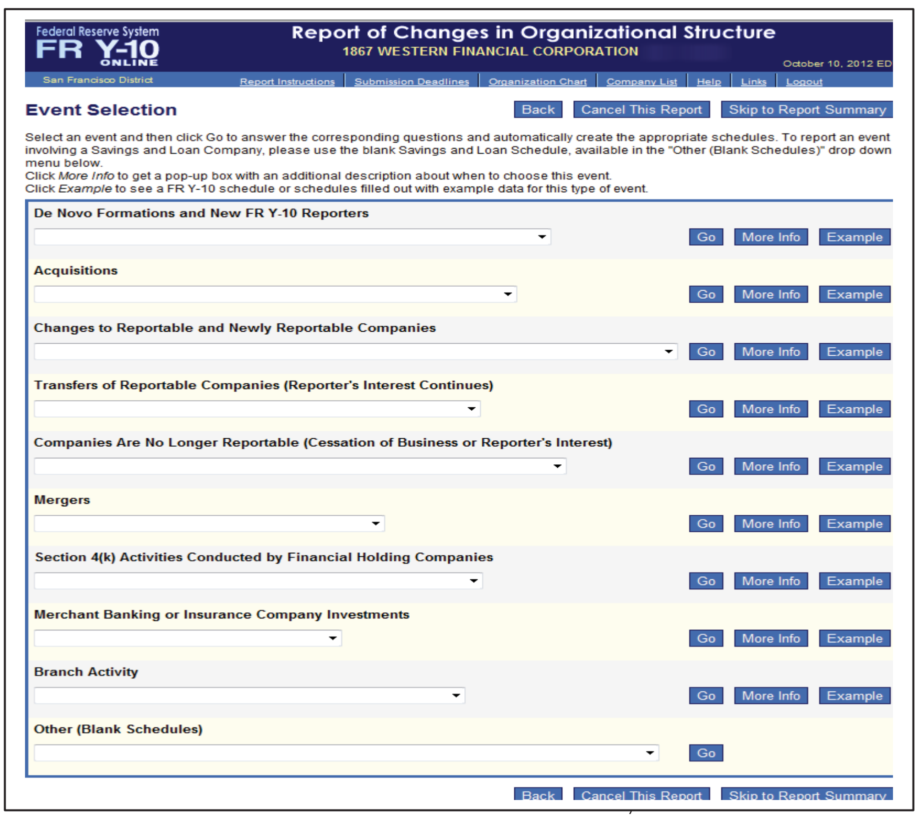
At the top and bottom of this page, there is a ***Back*** button, ***Continue*** button and a ***Cancel This Report*** button. Clicking ***Back*** will take you back to the Report Description page; clicking ***Continue*** will lead to the Event Selection page where the first event can be added to the report; clicking ***Cancel This Report*** will cancel the user out of this report without saving any changes made to this page. The user will return to the Main Menu page.

The Event Selection Page

Instead of using the FR Y-10 schedules as the basic elements for building your report, using events will make reporting easier by offering a customized question page for each event. These question pages contain questions about only those fields on the schedules that are relevant for the event you are reporting. After the questions have been answered, the application will populate the schedule or schedules behind the scenes with the responses.

The ***Event Selection*** page is designed to make it easy for you to locate the event that you are reporting, get information and examples about it, and then open the page of questions that will build the schedules necessary to report this event. Events are grouped by type on the page (De Novo Formations and New FR Y-10 Reporters, Acquisitions, etc.), and all of the events for a type are in a drop-down box. Select an event that is in a drop-down box and if you would like a description of it, click the ***More Info*** button. If you would like to see an example report with the schedules filled out for this event, click on the ***Example*** button. If you would like to go to a page of questions that you can answer to automatically generate the schedules for this event, click the ***Go*** button.

After filling out and saving the event question page, you will be taken to the ***Report Summary*** page for your report.



Select an event from one of the drop-down boxes and then click one of the following buttons:

Go

The Go button will open the question page for the event.

More Info

The More Info button will open a pop-up window with a further description of this event.

Example

The Example button will open an example schedule that has been filled out with data for this type of event.

Reporting Events Involving Savings and Loan Companies

When reporting events that involve savings and loan companies (i.e. savings and loan holding companies and savings associations), please use the blank Savings and Loan Schedule available in the *Other (Blank Schedules)* drop-down menu. This includes activities such as the initial reporting of a reporter and its interests in a savings and loan company or changes to the characteristics of a savings and loan company. This also includes events such as a bank holding company acquiring a savings association.

When reporting events involving branches and nonbanks under a savings and loan company, you may select the event appropriate for the transaction on the ***Event Selection*** screen or use the appropriate schedule under *Other (Blank Schedules)*.

Note: When reporting savings and loan companies that are no longer reportable or that are involved in a merger, you may use the events under the drop-down *Companies Are No Longer Reportable* or *Mergers*, respectfully.

Reporting Events Involving Intermediate Holding Companies

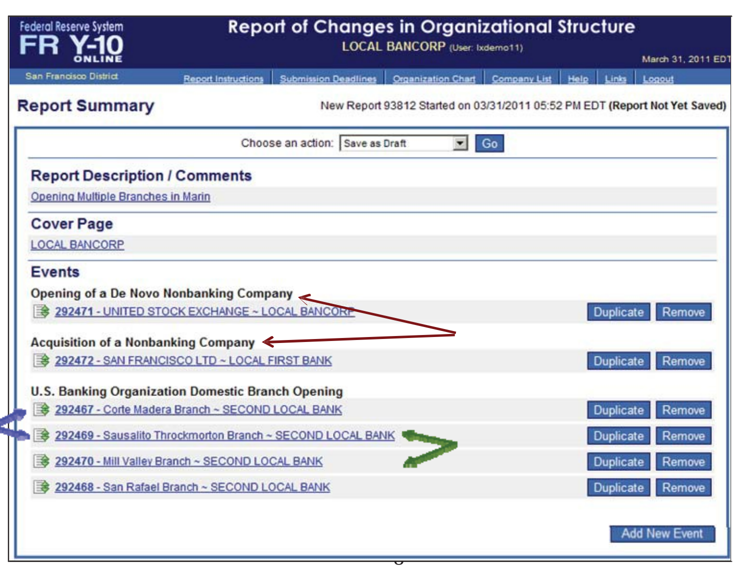
When reporting the initial filing of an intermediate Holding Company through a De Novo Formation or an Acquisition of a Going Concern, please use the appropriate blank Banking Schedule or blank Nonbanking Schedule available in the *Other (Blank Schedules)* drop-down menu.

When reporting any other event involving an intermediate holding company, you may select the event appropriate for the transaction on the ***Event Selection*** screen or use the appropriate schedule under *Other (Blank Schedules)*.

Using the Report Summary Page

An FR Y-10 report may contain multiple events. FR Y-10 Online itemizes each event in the ***Report Summary*** page as the FR Y-10 report is being created. After completing the ***Cover Page*** and your first event question page for a new report, you will be taken to the ***Report Summary*** page which will contain a link to the event you just finished, the ***Cover Page***, and the ***Report Description***. As you build your report, the ***Report Summary*** page will contain a link (referenced by the reportable company name, direct holder (parent), merger participants, and/or 4(k) event type) to each event added. This page is similar to a table of contents for the report, and allows the user to see the events that have been added to the report.

It is on this page that you can save your report as a draft, check it for errors or submit it to the Federal Reserve. These options are available at the top of the page within the *Choose an Action* drop-down list.



Working with Events

The FR Y-10 Online application includes a unique event number for each event filed within a report. A link for each event enables the user to view the event question pages and modify the data, if necessary. The buttons on the right allow users to add events, use existing events as templates, and remove events from the FR Y-10 report.

- To add any event, click the ***Add New Event*** button. You will be taken to the ***Event Selection*** page and there you can choose the event you would like to add. A new blank event question page will appear ready to be filled in and added to the report.

- To view or modify an event that has been completed via an ***Add New Event*** button, click on the appropriate link.

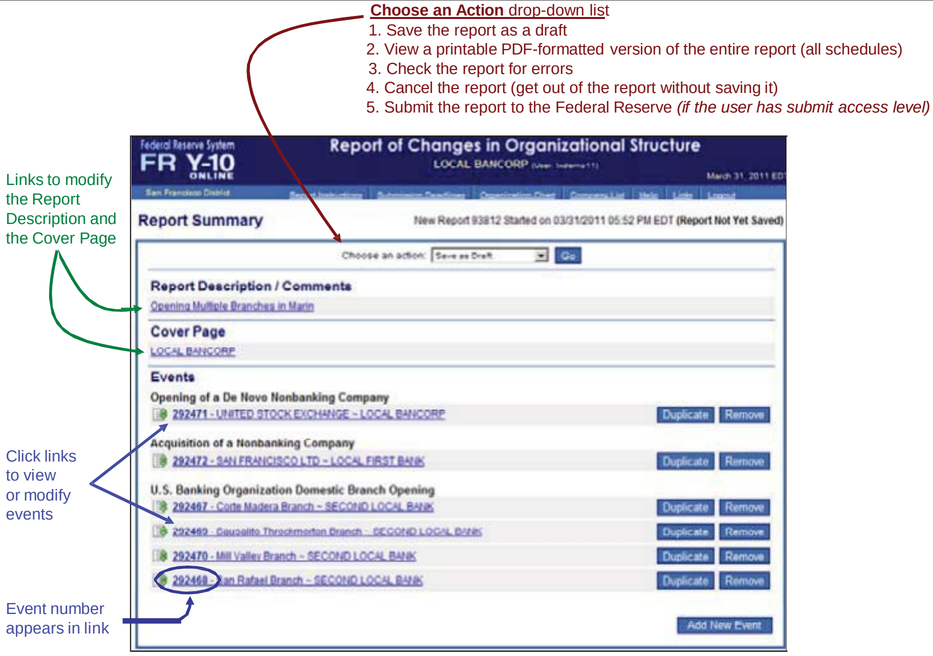
- If you have to create several very similar events, it may be useful to create duplicates of events and then modify them. To duplicate an event from the ***Report Summary*** page, click on the ***Duplicate*** button next to the event you would like to create a copy of, and then make your changes to the copy before clicking the ***Save Duplicate*** button to add it to the report.

- To remove any event from a report, click the corresponding ***Remove*** button. You will be asked to confirm that you do want to remove the event.

- To sort events within an event category, hover over the sort button and click and drag when the cursor turns to a cross. 

Report Actions

In the *Choose an Action* drop-down list at the top of the ***Report Summary*** page, you can select certain actions to perform on the FR Y-10 report that you are completing.


Choose an Action drop-down list
1. Save the report as a draft
2. View a printable PDF-formatted version of the entire report (all schedules)
3. Check the report for errors
4. Cancel the report (get out of the report without saving it)
5. Submit the report to the Federal Reserve *(if the user has submit access level)*
Links to modify the Report Description and the Cover Page
Click links to view or modify events
Event number appears in link
Federal Reserve System
FR Y-10 ONLINE
Report of Changes in Organizational Structure
LOCAL BANCORP
Report Summary
New Report 93812 Started on 03/31/2011 05:52 PM EDT (Report Not Yet Saved)
Choose an action: Save as Draft Go
Report Description / Comments
Opening Multiple Branches in Marin
Cover Page
LOCAL BANCORP
Events
Opening of a De Novo Nonbanking Company
292471 - UNITED STOCK EXCHANGE – LOCAL BANCORP
Acquisition of a Nonbanking Company
292472 - SAN FRANCISCO LTD – LOCAL FIRST BANK
U.S. Banking Organization Domestic Branch Opening
292467 - Corte Madera Branch – SECOND LOCAL BANK
292469 - Sausalito Throckmorton Branch – SECOND LOCAL BANK
292470 - Mill Valley Branch – SECOND LOCAL BANK
292468 - San Rafael Branch – SECOND LOCAL BANK
Duplicate
Remove
Add New Event

If you are creating a new report, you will have the choice of the following actions in the *Choose an Action* drop-down list:

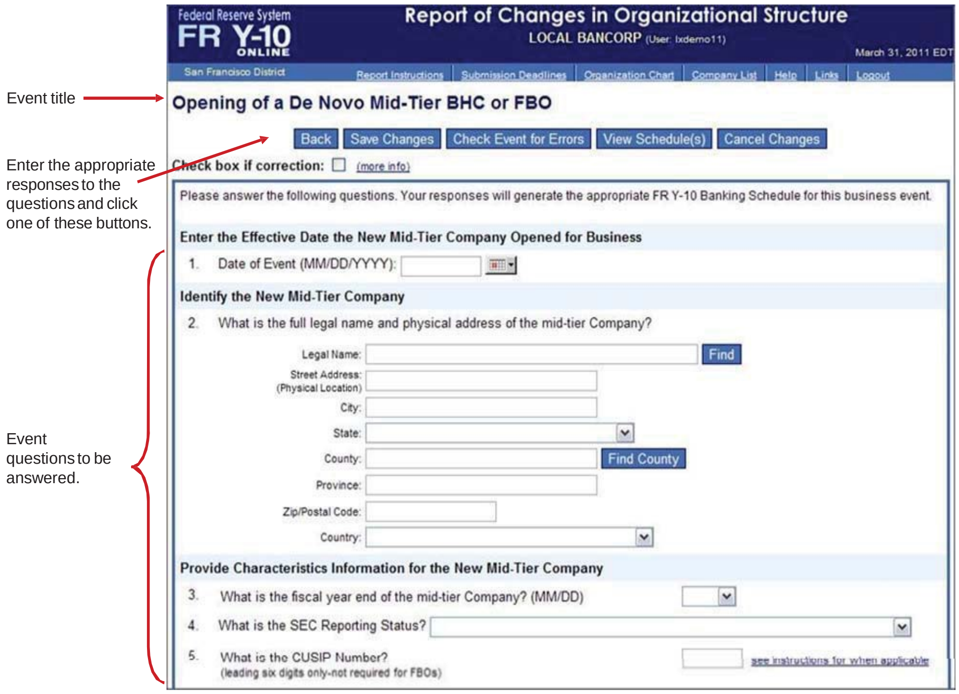
Option	Action
• ***Save as Draft***	- Saves the report as a draft, and the report is now available to submit or update in the Draft Reports area.
• ***View/Print Report***	- Creates a PDF version of the entire report that can be printed
• ***Check Report for Errors***	- Performs some error checking on the report to make sure that all required fields are filled in and the data entered are logical. This will not catch every error but is designed to help you submit a more accurate report. The results of the error checking will consist of two types of messages, those describing *errors* and those describing *warnings*. If your report contains *errors*, you must fix them before you will be allowed to submit it. However, if you do not fix the *warnings* that are shown, you are still permitted to submit the report. If you choose to ignore some of the *warnings*, it is likely that Federal Reserve staff will contact you regarding these.
• ***Cancel Report***	- Exit out of this report without saving or submitting it
• ***Submit Report***	- Automatically runs the same error checking as above on the report. If errors or warnings are found, the appropriate messages will be displayed. If your report contains *errors*, you must fix them before you will be allowed to submit it. However, once the report is clean, or if it only contains warnings, you can click a button to complete the submit action and send the report to the Federal Reserve. *The Submit Report option is available only if you have Submit level access.*

If you are working with a report that has already been saved as a draft, you will have the following choices in the *Choose an Action* drop-down list:

Option	Action
• ***Save Changes to Draft***	- Saves the changes to the report, and you will still be able to work on it in the Draft Reports area
• ***View/Print Draft***	- Creates a PDF version of the entire report that can be printed
• ***Check Draft for Errors***	- Performs some error checking as described above.
• ***Delete Draft***	- Deletes a report from the Draft Reports list. You will no longer have access to this report.
• ***Cancel Changes to Draft***	- Exit out of this draft without saving any of the changes made to it.
• ***Submit Completed Draft as Report***	- Performs error checking and if the report contains only warnings or is clean, allows you to submit the draft to the Federal Reserve. *The Submit Report option is available only if you have Submit level access.*

Event Question Pages

When you choose an event to add to your report, a questions page relating to that event will appear. An example event question page is below.



After you have filled out an event question page, click one of the following buttons (located at the top and bottom of the page):

Button Name — ***Action***

- ***Back*** – Takes you back to the ***Event Selection*** page without saving any changes that were made to this event.
- ***Save Changes*** – The changes that were just made to the event are added to the report and the user is taken to the ***Report Summary*** page.
- ***Check Event for Errors*** – Error checking is run against this event only. If there are any basic errors with your event, messages will be displayed at the top of the page informing you of them. You may see both errors and warnings – errors will be denoted with a red stop sign icon, warnings will have a yellow warning icon. A report cannot be submitted if some of the events contain errors, but you can submit with warnings.
- ***View Schedule(s)*** – A PDF of the report schedule(s) generated from this event will be shown. The fields will be filled in with the answers you have given on this event question page.
- ***Cancel Changes*** – The changes that were just made to the event are not saved, and the user is taken to the ***Report Summary*** page.

Using Special Functions to Pre-populate Data

To help with data entry, several find and populate functions were incorporated into FR Y-10 Online. With a click of a button, you can select an item from a list and populate the field(s) associated with a company's name and location or with a specific county name (a state must be selected first), an activity code, or a legal authority and description.

The buttons' locations will determine the action that will be performed:

Button Name	Location	Action
• ***Find***	Next to Legal/Popular Name field	– Click this button to present a list of companies or branches within your organization. Select a company or branch within this list. The name and address fields will populate with the data associated with that company or branch.
• ***Find County***	Next to County Name field	– Select a state and then click this button. A pop-up window with all counties within that state will be listed. Click on the county link, and the county name will be filled in the event page.
• ***Find***	Next to Legal Authority	– Click this button to present a list of legal authorities. Then click on a link to populate the event page.
• ***Find***	Between NAICS Activity Code and its Description fields	– Click this button to present a list of activity codes. Then click on an activity code, and the code and its description will populate the appropriate fields.

To use the ***Find*** buttons near the legal or popular name fields, you can enter part of a name in the name field and then click the ***Find*** button. A pop-up window will appear with a list of names that contain the text entered. By default, the search will be performed on names within your organization. You can also limit the search to the current report or expand it to include the entire FR Y-10 database. Add additional information to refine your search.

In the search results, locate and click on the desired name to populate the name and address fields on the page you are working on. In events where the company or branch may have changed name and/or address information, you will be asked if you would like the selected data to populate current information, prior information, or both. These options are offered so that, if you are reporting a name and/or address change, you can reduce data entry by starting with the base information from our database and simply updating the data that has changed. By default, the company information will populate only the current name and address fields.

In addition, the following six event question pages have enhanced search and retrieval functionality to assist reporters in quickly identifying the head office and domestic branches:

- *Merger Involving a Bank or Insured Depository Institution*
- *U.S. Depository Institution Domestic Branch Opening*
- *U.S. Depository Institution Domestic Branch Name Change and/or Relocation*
- *U.S. Depository Institution Domestic Branch Change in Service Type*
- *U.S. Depository Institution Domestic Branch Purchase or Sale*
- *U.S. Depository Institution Domestic Branch Closing*

Search Features	Location	Action
• **Quick Search**	Above the Legal/Popular Name field	– Company: Enter a legal name or ID RSSD to display a list of matching companies within your organization. – Branch: Enter a popular name, city or ID RSSD to display a list of matching branches within your organization. – When you select a company or branch from the list, the name and address fields will populate with the data associated with that company or branch.
• **Advanced Search**	Next to the Quick Search field	– Click this button to present a list of companies or branches within your organization. Select a company or branch within this list. The name and address fields will populate with the data associated with that company or branch.
• **Click Here**	Link in Advanced Search window below the search criteria	– Click this link when the Quick or Advanced Search features do not display the desired results. The link returns to the event question page and enables the company or branch name and address fields, allowing manual data entry for the company or branch.
• **Fix**	After Company or Branch data is retrieved, link appears beside the Legal/Popular Name field	– Click this link to temporarily enable editing of the fields. This option should be used for *minor* data changes, such as misspellings. Refer to the FR Y-10 Report Instructions to determine if a separate FR Y-10 schedule needs to be filed for the changes.
• **Clear**	After Company or Branch data is retrieved, link appears next to the Fix link	– Click this link to remove data that has been populated in the disabled company or branch name and address fields.

Reporting Multiple Domestic Branch Schedules

Reporting multiple domestic branch schedules has been simplified for the following two FR Y-10 Online event question pages:

- *Merger Involving a Bank or Insured Depository Institution*
- *U.S. Depository Institution Domestic Branch Purchase or Sale*

On each of these event question pages, you have three options to retrieve either multiple or a single branch for reporting.

Button Name	Action
• **Retrieve Branches**	– Retrieves all the domestic branches that were part of the head office just *prior* to the event. In the search results list, there are checkboxes at the beginning of each row that allow multiple branches to be retrieved. – Note: The *As of Date* used to retrieve the branches is one day *prior* to the *Date of Event* entered on the event question page.

- ***Quick Search*** – Retrieves a single branch based on data entered in the text box. This feature is similar to the Quick Search feature used in identifying company or branch name and address information.
  – Clicking this button also displays an ***Advanced Search*** button that functions similar to the Advanced Search feature described above.
- ***Add Branch*** – By clicking this button, fields appear allowing for manual entry of branch data. Click the ***Save to List*** button to save the data to the event question page.

A separate FR Y-10 domestic branch schedule will be generated for each branch.

Each branch also has a ***Fix*** link. This option should be used for *minor* data changes, such as misspellings. Refer to the FR Y-10 Report Instructions to determine if a separate FR Y-10 schedule needs to be filed for the changes.

Reportable branch changes that occur on the same date of event as the merger or branch purchase or sale can also be reported on this event question page by clicking on the ***Modify*** link associated with each branch. These changes include:
- *Name Change*
- *Relocation*
- *Change in Service Type*

Viewing a Report in PDF format

In addition to providing an easy to use method of entering data, FR Y-10 Online can also transfer the data into a printable FR Y-10 report form, which you can view, print, or save in a PDF file. To view the report, select *View/Print Report* from the *Choose an Action* drop-down list in the ***Reports Summary*** page.

Editing a Report (Checking for Errors)

FR Y-10 Online has some editing capabilities. The edits will not catch every error, but they are designed to help you submit a more accurate report. If errors and/or warnings are found, you will be given the opportunity to view and fix them, or you can save the report as a draft with errors. You will not be able to submit a report until all errors with a red symbol ( ) are fixed, but you can, however, submit one that contains warnings ( ).

You can run this edit check at any time while building your report. It is an action available in the *Choose an Action* drop-down box on the ***Report Summary*** page. When you decide to submit, the error checking will be run automatically, to inform you of errors that must be fixed before the report can be submitted.

If errors are found in your report, a page will appear with the title ***Edit Messages***. This page will display a description of each of the errors that were found. An edit number appears in parenthesis after each error message—for example (edit #3959). This is simply the number of the error check that triggered and can be ignored. If you are having a problem with an error that you believe was generated incorrectly, please refer to this edit number in your communication with your Federal Reserve Bank about this matter. This will help us research the issue.

From this page, you can click on links to the individual events that have errors. This action will open the modifiable event, and the errors that were found on that event will be printed at the top of the page for easy reference while making corrections.

After you correct an event and click the ***Save Changes*** button, you will be taken back to the ***Edit Messages*** page. The errors listed on this page will be automatically refreshed, showing you the most current list. To fix all of your errors, continue clicking on events, making corrections, and saving the corrections until you have gone through all events that have errors. If you do not want to fix all of the warnings found, you are still permitted to submit your report. Federal Reserve staff may contact you regarding these warnings.

If your ***Edit Messages*** report only contains warnings ( ), you can override the warnings and submit the report from the ***Edit Messages*** page by simply clicking the ***Submit*** button. The ***Submit*** button will not be available if errors with a red symbol ( ) appear on the ***Edit Messages*** report.

To close the ***Edit Messages*** page and return to the ***Report Summary*** page, click the ***Report Summary*** button.

If our error checking system does not discover errors in your report, then the page will tell you that no errors were found. You are able to submit directly from this window with the ***Submit*** button, or you can click the ***Report Summary*** button and return to the ***Report Summary*** page.

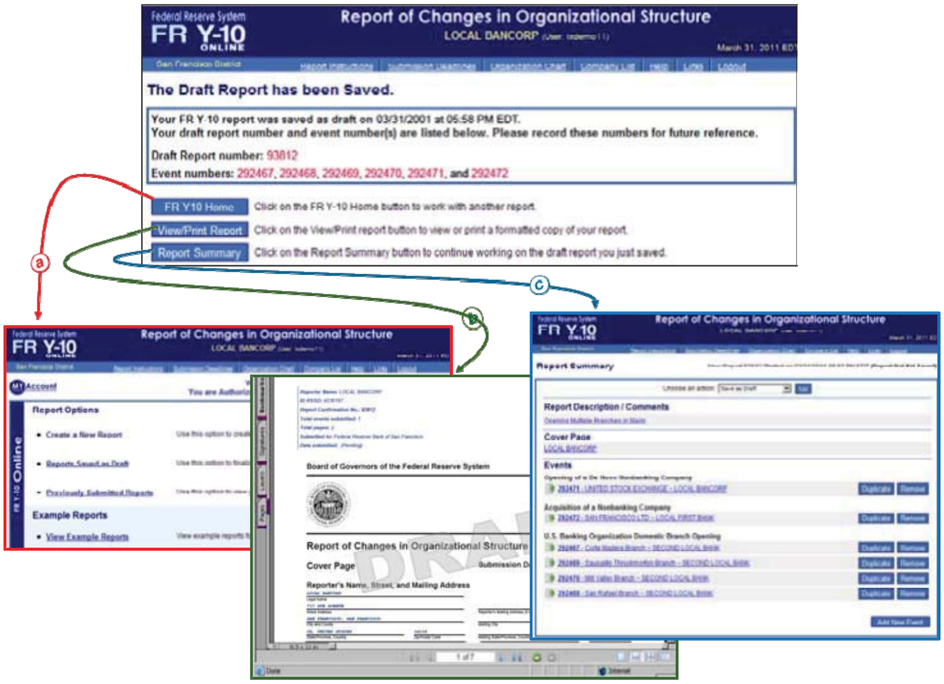
Saving a Report

After you complete an event, you should choose *Save as Draft* from the *Choose an Action* drop-down list on the ***Report Summary*** page. Otherwise, you may lose the data in your report if you lose your internet connection or if you accidentally close your browser. Although you may save changes to the events, the FR Y-10 report itself has *not* yet been saved.

To save a draft of the FR Y-10 report, you must be on the ***Report Summary*** page:

After you click the ***Continue*** button, a confirmation screen will be displayed (below).

Report Confirmation Screen with Draft Report Number Assignment



From the Report Confirmation Screen, you can:

- (a) Go to the ***FR Y-10 Online Home*** page
- (b) View the draft FR Y-10 report (in PDF format)
- (c) Go back to the ***Report Summary*** page and continue to add additional events to the report

Submitting a Completed Report

Only users with *View*, *Modify*, *and Submit* access can submit a report. To submit a completed report, select *Submit Report* from the *Choose an Action* drop-down list on the ***Report Summary*** page.

When you submit a report, error checking is automatically run on the report. If errors are found, the displayed results of the error checking will consist of two types of messages, those describing *errors* and those describing *warnings*. If your report contains *errors*, you must fix them before you will be allowed to submit it. However, if you do not fix the *warnings* that are shown, you are still permitted to submit the report.

The errors that need to be fixed are easy to identify, because they are indicated with a red stop sign icon ( ). Warnings are shown with a yellow yield sign ( ).

If you decide to submit without fixing all of the warnings, a Federal Reserve analyst may contact you when they process the report.

Reports Saved as Draft

All users can view unfinished reports that have been saved as draft. However, only users with the following access levels can modify draft reports:

– *View and Modify Reports*
– *View, Modify, and Submit Reports*

Users with *View Reports Only* access will only be able to view the draft reports in PDF format.

Choosing *Reports Saved as Draft* from the Main Menu will take you to a page where you can select a report to work with from all of your drafts.

List of Reports Saved as Draft

Search Criteria

Report List

To select a report
1. Click the radio button
2. Click the appropriate button

To search for a saved draft report
1. Enter search criteria
2. Click **Search**

Or click **Find All** to clear the search. The report list will change according to the criteria

To save and reset search criteria

Save Criteria

Saves your search criteria, so every time you enter this page only the drafts that meet your criteria are shown.

Default Criteria

Clears your search criteria, so all drafts are shown when you enter this page.

Please Note
*For users with **View Reports Only** access, FR Y-10 Online will launch a PDF version of the draft report when **Open Draft** is clicked.*

Open Draft — Opens the draft report to the Report Summary page, ready to add, delete, or modify events.

Duplicate Draft — Creates a copy of the draft report and opens it to the Report Summary page, ready to modify. This new report must then be saved as a draft or submitted.

Cancel — Takes you back to the Main Menu.

On the ***Reports Saved as Draft*** page, you can select a draft report to continue to work with (***Open Draft*** button) or duplicate as a new report (***Duplicate Draft*** button). The ***Reports Saved as Draft*** page allows for search and retrieval of events in addition to reports. After entering search criteria and clicking on the ***Search*** button, a list of reports saved as draft that match the criteria will appear in the search results. Each report in the search results includes a listing of the events contained in that report. The events are assigned unique event reference numbers, which are also displayed. Since the results list includes both reports and events, you can enter search criteria in the Description Contains field to search for either reports or events. The Description column of the search results list displays the report and/or event descriptions that match the search criteria. For a report, this is the report description from the ***Report Description*** page. For an event, it is the type and description of the event.

To clear the search, click the ***Find All*** button. You can also set up your search criteria to run automatically every time you enter this page. Enter your desired search criteria and click the ***Save Criteria*** button. The next time you enter the ***Reports Saved as Draft*** page, the list of reports will only display those that meet your saved criteria. To remove the saved search criteria, click on the ***Default Criteria*** button. The search criteria are cleared and all reports will display when you enter the page in the future.

Once the search results are displayed, you can click a Report Number or any Event Number to view its PDF file.

If you only want to view the list of reports, check the *Hide Event Detail* checkbox. To view the event detail, uncheck the option.

If an event is a correction of a previously submitted event, the original/prior submission information is shown in the columns labeled *Correction from Report* and *Correction of Event*. These numbers are links that will also open a PDF file, if clicked.

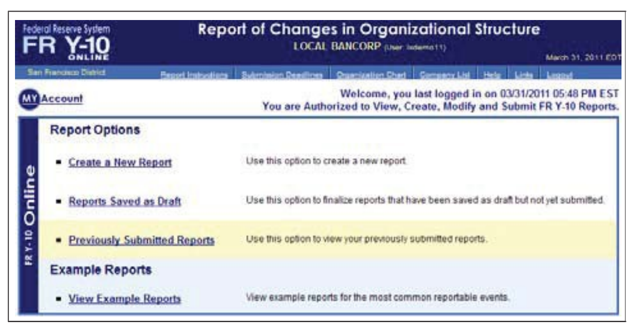
Note: If you encounter issues opening the PDF file, please refer to the System Requirements section regarding settings for Adobe Acrobat Reader.

Once you have selected a draft report by clicking on the corresponding radio button, you will be able to view, add, modify, and remove events on the ***Report Summary*** page, as discussed in the previous section of this document.

Previously Submitted Reports

All users can view reports that have been submitted via FR Y-10 Online. However, only users with the following access levels can use these reports as templates for future report submissions:

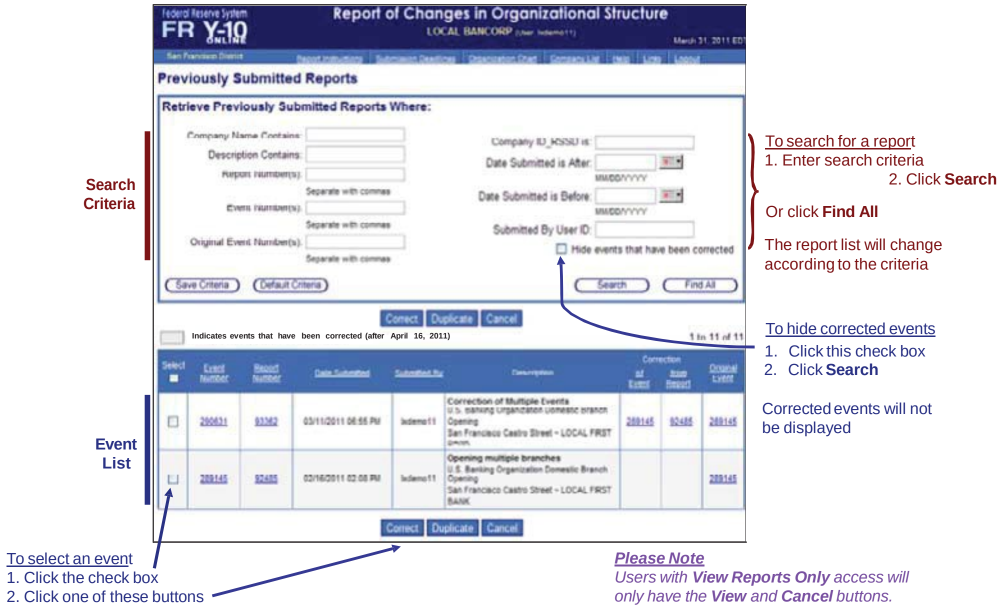
– *View and Modify Reports*
– *View, Modify, and Submit Reports*



Users with *View Reports Only* access will only be able to view these reports in PDF format.

Choosing *Previously Submitted Reports* enables you to work directly with an event. You can submit corrections to previously submitted events or combine events from multiple reports to duplicate as a template for a new report.

List of Previously Submitted Reports



Working with Previously Submitted Reports

On the ***Previously Submitted Reports*** page, you can select an event(s) from one report or multiple reports to correct (***Correct*** button) or to use as a template for a new report (***Duplicate*** button). Like the ***Reports Saved as Draft*** page, the ***Previously Submitted Reports*** screen allows for search and retrieval of events in addition to reports. The ***Previously Submitted Reports*** screen provides a Description Contains field to allow for report and event searching simultaneously. If you are looking only for reports submitted by a particular person at your institution, you can enter their user ID in the Submitted By User ID field to refine the list of reports returned. You can search for a specific event number with the Event Number(s) field. As with the Report Number(s) field, you can search for multiple events by entering the event numbers in a comma separated list.

After entering search criteria and clicking on the ***Search*** button, a list of previously submitted events that match the criteria will appear in the search results. The search results list for previously submitted reports is somewhat similar to that for reports saved as draft. But while the reports saved as draft list allows you only to view an event, the previously submitted reports list enables you to correct or duplicate an event or a combination of events from multiple reports. Each row in the list describes an event. The report that contains the event is listed in the same row. Because of this, the Description column provides both the report description and the event type and description.

Viewing a Previously Submitted Report in PDF

Event and report numbers are links which will open a PDF version of the selected FR Y-10 report when clicked, which users can view, print, or save to a file. Note that events that were created with a previous version of the FR Y-10 form (reports that were submitted before June 30, 2007) can *only* be viewed. The checkboxes next to those events are disabled. In addition, if you encounter issues opening the PDF file, please refer to the System Requirements section regarding settings for Adobe Acrobat Reader.

Correcting a Previously Submitted Report

If you have submitted a report and discover that it included errors, you can create a new report to submit the corrections. You can correct an event without resubmitting the entire report that contained the corrected event. Go to the ***Previously Submitted Reports*** page and select the event(s) (clicking the checkbox(es) in the corresponding row(s)) that you would like to correct. You can select events from different reports and combine them into a new report. Then click the ***Correct*** button at the top, or bottom, of the page. This button will take you to the ***Report Description*** page followed by the ***Report Cover Page*** for the most recently filed report. Click the link(s) on the ***Report Summary*** page to open a copy of the submitted event(s), make your changes, and then either save the report as a draft or submit it.

If you have corrected an event, make sure that the *Correction* checkbox at the top of the revised or corrected event is checked.

The original event(s) that you corrected will still be in your list of previously submitted reports and it will not be changed. After you have submitted the new report containing the corrected event(s), this report, and its associated event(s), will also appear in your list of previously submitted reports. If you used the ***Correct*** button to complete your new report, the event and report numbers from the event(s) and report(s) that you corrected will populate the *Correction of Event* and *Correction from Report* columns in the list of reports. When these fields are populated, this indicates that the event is a correction of a previously submitted event.

Events that have been corrected are displayed with a grey background. You can choose to hide events that have been corrected by checking the *Hide events that have been corrected* checkbox and clicking the ***Search*** button. When you click the ***Search*** button, corrected events no longer appear in the list.

The *Original Event* column displays the first event number that was submitted in a string of corrected events. This number appears for all events. If this number matches the event number, the event is the original event, and is not a correction of another event.

Note: The *Correction of Event* column, *Hide events that have been corrected* checkbox, and *Original Event* column became effective on April 16, 2011. These features are only available for corrections after this date and will not track corrections that occurred before April 16, 2011. The *Correction of Event* column will be blank, and the original event number will match the event number, for all events prior to this date, regardless of any corrections processed. Only events corrected after April 16, 2011 will be displayed with the grey background and the *Hide events that have been corrected* checkbox will only hide events that are corrected after this date.

Using a Previously Submitted Report as a Template for a New Report

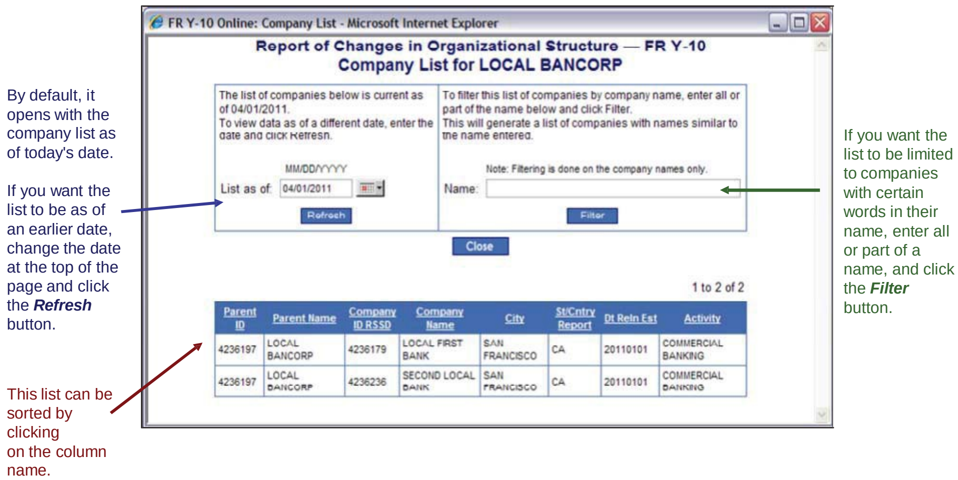
In some instances, a previously reported transaction is similar to one that you need to report. If you would like to use a previously submitted report as a template for creating a new report, you can do this easily. Go to the ***Previously Submitted Reports*** page, and select the event(s) (clicking the checkbox(es) in the corresponding row(s)) that you would like to use as a template. Then click the ***Duplicate*** button at the top or bottom of the page. This button will take you to the ***Report Description*** page followed by the ***Report Cover Page*** for the most recently filed report. Click the link(s) on the ***Report Summary*** page to open a copy of the submitted event(s), make whatever changes or additions are necessary, and then either save the report as a draft or submit it. Changes made to this duplicate copy do not affect the original report, and its associated event(s).

Other Features

Getting a List of the Companies in Your Organization

To get a list of companies in your organization, click on the ***Company List*** link at the top of any page. This will open a new pop-up window that populates with a list of companies sorted by ID_RSSD (a unique identifying number used by the Federal Reserve).

Company List Page



The data that you see in the list of companies may not be completely up to date. It may take a few days for a FR Y-10 report to be processed after it has been submitted. Even when reports are submitted electronically, they go through a manual review process before being entered into our database, and only then will those changes show up in the Company List, Organization Chart, and Find Company features of the application.

Getting an Organization Chart

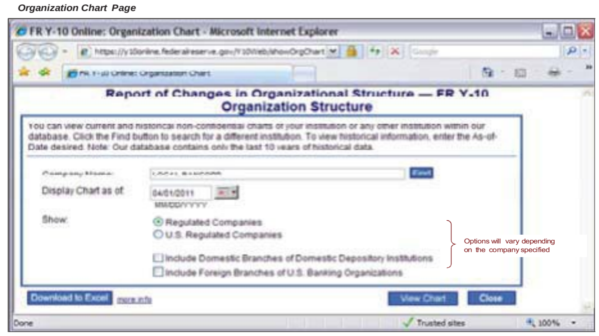
A feature that is available on every page of the FR Y-10 Online application is the ability to create organization charts (showing the structure of an organization, non-confidential information only) for your company or any other company that we have in our database.

To view your organization chart, click on the ***Organization Chart*** link at the top of any page.

This link will open a new pop-up window where you can:

1. Select the starting company
2. Select an as-of date of the organization chart, and
3. Select ownership criteria

Organization Chart Page



Select the Starting Company

The starting company will be the highest company in the organization chart that will be generated in this window. By default, this window opens with your organization's name. If you want the chart to start from another company, click the ***Find*** button next to the Company Name field. Another pop-up window will appear that will help you to find and retrieve the desired company.

Select the As-Of Date

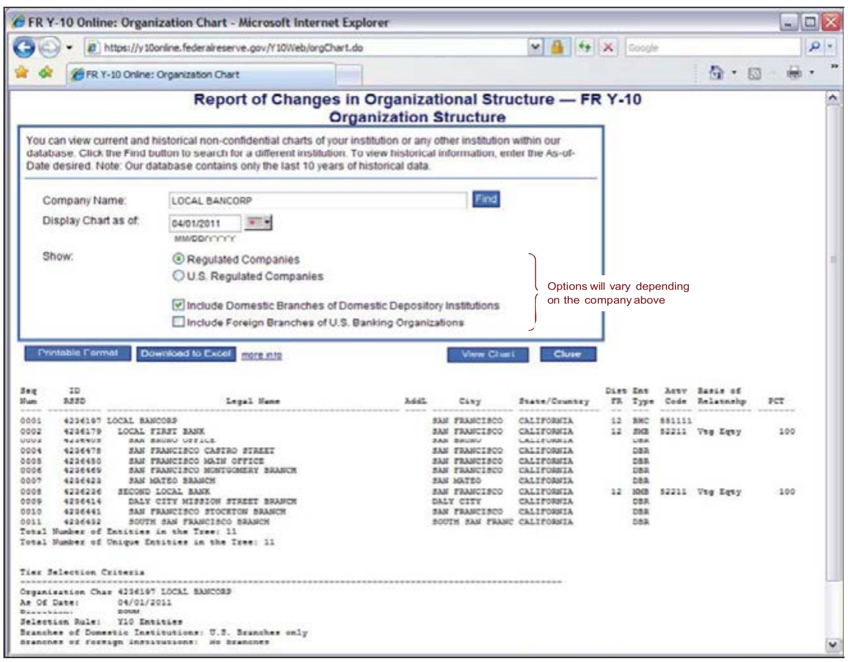
After choosing the starting company, decide if you would like the chart to be shown as of today (the default), or as of some date in the past. You can change the as-of date for the chart.

Select the Ownership Criteria

Finally, you can decide what information that you want to include in your data results. The options will vary depending on the company that you have selected.

Generate the Chart

Click on the ***View Chart*** button to generate the Organization Chart. For a printable format, click the ***Printable Format*** button to generate the PDF file. Click the ***Download to Excel*** button to generate a Microsoft Excel® spreadsheet.



The data that you see in the Organization Chart may not be completely up to date. It may take a few days for a FR Y-10 report to be processed after it has been submitted.

Getting Help Online

At the top of each page, there is a ***Help*** link. Our Online Help system provides you with information on getting started, frequently asked questions, the FR Y-10 Glossary, and information about using event based reporting in FR Y-10 Online application. Virtual tour e-learning videos are also available to demonstrate the search features for the domestic branch and merger events.

In addition to our ***Help*** link, FR Y-10 Online has links to other sites (such as Federal Reserve Board of Governors, Federal Reserve National Information Center, Federal Financial Institutions Examinations Council, U.S. Census Bureau (NAICS), US Postal Service Zip Code Lookup, and ISO Currency Codes), which may aid you in processing your FR Y-10 reports. Just click on ***Links*** at the top of the page.