



*Important Notice*  
**National Securities Clearing Corporation**

|                   |  |
|-------------------|--|
| <b>A#:</b>        | 8670   |
| <b>P&amp;S:</b>   | 8245   |
| <b>Date:</b>      | 01/22/2019   |
| <b>To:</b>        | ALL MEMBERS  |
| <b>From:</b>      | Counterparty Credit Risk Management                    |
| <b>Attention:</b> | Officers, CFOs, Compliance Officers, Managing Partners |
| <b>Subject:</b>   | Important Reporting Requirements                       |

Attached are the Reporting Requirements for Members of the National Securities Clearing Corporation.

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The DTCC logo is displayed in a large, bold, white sans-serif font against a dark background with a repeating geometric pattern of small triangles.

Securing Today. Shaping Tomorrow.®

# **IMPORTANT REPORTING REQUIREMENTS: NSCC**

**PUBLICATION DATE:**

January 22, 2019

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## INTRODUCTION

Pursuant to the Rules and Procedures (the “Rules”) of the National Securities Clearing Corporation (“NSCC” or “the Corporation”), Members are required to submit certain information, including ongoing financial, operational, and regulatory reports. Please note that all amendments or addenda to such reports or information must be submitted to NSCC concurrently with their submission to the applicable primary regulator, or as soon as practicable if not filed with a regulator.

Those Members that fail to comply with these requirements may be subject to disciplinary sanctions including, but not limited to, fines. Pursuant to regulatory requirements, all fines above \$2,500 imposed by NSCC against a Member or a Limited Member are subsequently reported to the U.S. Securities and Exchange Commission.<sup>1</sup>

Pursuant to NSCC’s Rules, Members must demonstrate to NSCC that the Member has adequate financial and operational capability to meet all of its anticipated obligations to the Corporation. The Rules also provide that the Corporation may require Members to furnish adequate assurances of their financial responsibility and operational capability, as the Corporation deems necessary.

The attached schedule provides guidelines to firms for submission of ongoing financial and regulatory reports pursuant to Rule 2B. **Members are urged to review the attached schedule and incorporate the indicated filing deadlines into their internal procedures.**

**The Rules and Procedures can be obtained on DTCC’s website for NSCC at [http://dtcc.com/~media/Files/Downloads/legal/rules/nscc\\_rules.pdf](http://dtcc.com/~media/Files/Downloads/legal/rules/nscc_rules.pdf). Terms not defined herein are defined in the Rules.**

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<sup>1</sup> Rule 19d-1 promulgated under the Exchange Act and Section 208.32 of Federal Reserve Regulation H.  
Non-Confidential (White)

## DELIVERY INSTRUCTIONS

Please send all required information **in electronic form** by the due date to the following e-mail address:

**Credit-MarketRisk@dtcc.com**

Please provide the following information in the “subject” line:

**Member Name, Reporting Period Covered, Type of Report/Document**

**NSCC requires that all financial information be provided in electronic form to ensure receipt.** However, additional options for sending information (i.e. fax or physical address) can be discussed by emailing **Credit-MarketRisk@dtcc.com** with the request.

Members and Limited Members that submit identical reports to FICC or DTC need not submit duplicate reports to NSCC as long as they identify NSCC among the names of the clearing agencies to which the submission relates.

## EXTENSION REQUESTS

If it has been determined that a deadline cannot be met, the Member must provide a formal request for extension **prior to the due date** via e-mail to **Credit-MarketRisk@dtcc.com** stating the reason an extension is needed and the proposed submission date. If a Member has received an extension from its regulators for any of the reports or submissions mentioned in this document, the member must provide a copy of that extension approval from its regulator.

## FINANCIAL REQUIREMENTS & CONFIDENTIALITY

As part of the on-going membership requirements, pursuant to Rule 2B of NSCC’s Rules & Procedures (<http://www.dtcc.com/en/legal/rules-and-procedures>), Members and Limited Members are required to submit to NSCC certain reports and other information, as identified in Section 2 of that Rule.

Further, under Rule 15 of NSCC’s Rules & Procedures, NSCC has the authority to examine the financial responsibility and operational capability of any Member or Limited Member or any applicant to become such, to determine whether the requisite standards of financial responsibility and operational capability are met. In conducting such examinations, NSCC may require a participant or applicant to furnish such information and to make its books and records available.

Any information furnished to NSCC pursuant to these rules is held in the same degree of confidence as may be required by law or the rules and regulations of the appropriate regulatory body having jurisdiction over the participant or applicant or which relate to the confidentiality of records, to the extent permitted by law, rule or regulation.

## REPORTING OF MATERIAL EVENTS

NSCC Members and Limited Members are required to timely notify the Corporation of material events that may impact the Member’s financial and operational capability. Such events include, but are not limited to:

| Type of Material Event  | Timing of Required Notification   | Permissible Exceptions to Timing of Notification   |
|---|---|--|
| -Material organizational changes including mergers, acquisitions, changes in corporate form, and/or name changes;<br>-Change of Fiscal Year End<br>-Material change in ownership, control, or management;<br>-Material change in business lines, including but not limited to, new business lines undertaken; or<br>-Participation as a defendant in litigation, which could reasonably have a direct negative impact on the Member's financial condition or ability to conduct business. | At least <b>90 days prior</b> to the change taking effect.<br><br>With respect to events for which the member has advance knowledge, as soon as practicable upon the member’s having knowledge that such event is scheduled to occur.<br><br>With respect to events for which the member does not have advance knowledge, as soon as practicable after such event has occurred. | Member must demonstrate that it could not have reasonably given notice in the required timeframe and provide notice to NSCC as soon as possible.<br><br>None.<br><br>None. |

All notifications must be made in writing, and, where a Member has failed to meet the required timeframe for a notification, Members must provide written documentation along with the notification demonstrating that it could not have reasonably given notice in the required timeframe.

Failure to timely notify DTCC of material events in the required timeframe will subject the Member to the following fine:

| Material Event  | Each Occasion |
|---|---------------|
| Fine for Failure of Notify Pursuant to Rules & Procedures | \$5,000       |

Information regarding this fine can be found in NSCC’s Rules & Procedures under Addendum P Section 2 here: <http://www.dtcc.com/en/legal/rules-and-procedures>.

If the Member’s late submission applies to more than one DTCC clearing agency subsidiary, the fine amount will be divided equally among DTCC’s clearing agencies. Where the Member is a Participant of DTC and is a common Member of one or more of the other clearing agencies, the fine will be collected by DTC and allocated equally among the other clearing agencies, as appropriate. If the Member is not a DTC Participant, but is a common Member between the other clearing agencies, NSCC will collect the fine and allocate the appropriate portion to the other clearing agencies.

Questions regarding fines imposed by NSCC should be addressed to the **Credit-MarketRisk@dtcc.com** inbox.

## REPORTING OF NON-COMPLIANCE WITH MEMBERSHIP QUALIFICATIONS AND STANDARDS, INCLUDING STATUTORY DISQUALIFICATIONS AND FATCA COMPLIANCE

**Non-Compliance with Membership Qualifications:** Members and Limited Members are required to timely notify NSCC if the firm is no longer in compliance with any of the relevant qualifications and standards for membership (as applicable to that firm’s type of membership) or with respect to any additional qualifications that NSCC has required in connection with that firm’s admission to membership.

**Statutory Disqualifications:** Notifications must also be made if a Member or Limited Member has become subject to a Statutory Disqualification (as such term is defined within the Exchange Act). *Members are advised that a requirement to notify NSCC of any statutory disqualification is a part of NSCC’s on-going membership requirements, and its separate and apart from any other notification obligations to other self-regulatory organizations.*

**FATCA Compliance:** Members and Limited Members that are deemed “FFI Members” (as defined in NSCC’s Rules) are required to notify NSCC if it (i) undergoes a change in circumstances that would change its FATCA Certification, or (ii) otherwise has reason to know that it is not, or will not be, FATCA Compliant.

All such notification must be made both orally and in writing, and must be given by the participant as soon as practicable and in any event must be received by the NSCC within **two business days** from the date on which the participant first learns of its non-compliance.

Failure to timely notify DTCC of Statutory Disqualification will subject the Member to the following fine:

| <b>Non-Compliance With Membership Qualifications and Standards</b> | <b>Each Occasion</b> |
|--|----------------------|
| Fine for Failure of Notify Pursuant to Rules & Procedures          | \$1,000              |

Information regarding this fine can be found in NSCC’s Rules & Procedures under Rule 2B Section 2(B)(a)(i) and Addendum P Section 2 here: <http://www.dtcc.com/en/legal/rules-and-procedures>.

If the Member’s late submission applies to more than one DTCC clearing agency subsidiary, the fine amount will be divided equally among DTCC’s clearing agencies. Where the Member is a Participant of DTC and is a common Member of one or more of the other clearing agencies, the fine will be collected by DTC and allocated equally among the other clearing agencies, as appropriate. If the Member is not a DTC Participant, but is a common Member between the other clearing agencies, NSCC will collect the fine and allocate the appropriate portion to the other clearing agencies.

Questions regarding fines imposed by NSCC should be addressed to the **Credit-MarketRisk@dtcc.com** inbox.

## REPORTING OF FINANCIAL AND RELATED INFORMATION

Pursuant to NSCC Rule 2B, Members and Limited Members are required to timely provide financial and related information to the Corporation. A list of the required financial and related information (including timing of submission) can be found within this document.

Failure to timely provide financial and related information will subject the Member to the following fine schedule:

| <b>Failure to Timely Provide Financial and Related Information</b> |                       |                        |                       |                        |
|--|-----------------------|------------------------|-----------------------|------------------------|
| <b>Request for Information*</b>                                    | <b>First Occasion</b> | <b>Second Occasion</b> | <b>Third Occasion</b> | <b>Fourth Occasion</b> |
| Reports/Information**  | \$300                 | \$600                  | \$1,500               | ***                    |

\* Fines to be levied for offenses within a moving twelve-month period beginning with the first occasion.

\*\* For purposes of this Fine Schedule, “Reports/Information” shall mean the financial, regulatory and other information required to be submitted within a specified deadline to the Corporation.

\*\*\* Fourth or more occasion fines will be determined by the Corporation with the concurrence of the Board of Directors.

Information regarding this fine can be found in NSCC’s Rules & Procedures under Addendum P Section 5 here: <http://www.dtcc.com/en/legal/rules-and-procedures>.

If the Member’s late submission applies to more than one DTCC clearing agency subsidiary, the fine amount will be divided equally among DTCC’s clearing agencies. Where the Member is a Participant of DTC and is a common Member of one or more of the other clearing agencies, the fine will be collected by DTC and allocated equally among the other clearing agencies, as appropriate. If the Member is not a DTC Participant, but is a common Member between the other clearing agencies, NSCC will collect the fine and allocate the appropriate portion to the other clearing agencies.

Questions regarding fines imposed by NSCC should be addressed to the **Credit-MarketRisk@dtcc.com** inbox.



## REPORTING REQUIREMENTS: NSCC<sup>2</sup>

This schedule does not apply to Limited Members admitted under Addendum B, Sections 5-13 (Municipal Comparison Only Member, Data Services Only Member, Commission Billing Member, Settling Bank Only Member, Third Party Administrator Member, Investment Manager/Agent Member, AIP Member, AIP Settling Bank Only Member, Third Party Provider Member) and Members admitted under Rule 61 - International Link.

### I. Brokers or Dealers Registered under the Securities Exchange Act of 1934

- A. Full confidential version of the annual audited financial statements<sup>3</sup>, including report on internal controls: **70 calendar days after fiscal year-end**
- B. FOCUS or FOGS reports<sup>4</sup>: **20 business days after month-end**
- C. Supplemental report required to be filed pursuant to SEC Rule 17a-11 or 17 C. F. R. Sec. 405.3: **Submitted concurrently with submission to the SEC**
- D. Copy of any regulatory notification required to be made when a Member's capital or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- E. Extension request, if applicable
- F. Regulatory extension approval letter, if applicable

### II. Brokers or Dealers Established in the United Kingdom

- A. Full confidential version of the annual audited financial statements<sup>2</sup>, including report on internal controls: **5 months after fiscal year-end**
- B. Quarterly Regulatory Financial Information (FINREP and COREP statements or equivalent, at a minimum including P+L, balance sheet and capital adequacy statements): **30 business days after month-end**
- C. Extension request, if applicable
- D. Regulatory extension approval letter, if applicable

<sup>2</sup> In all cases where a due date falls on a day that is not an NSCC business day, the due date shall be deemed to be the first NSCC business day immediately thereafter. **Any Member that is unable to comply with NSCC's reporting requirements because of special circumstances must inform NSCC by e-mail to [Credit-MarketRisk@dtcc.com](mailto:Credit-MarketRisk@dtcc.com) in advance of the date by which the report would otherwise be due.**

<sup>3</sup> If a Member is admitted with a guarantee, the Member's annual audited financial statements, as well as annual audited financial statements for the guarantor, must be provided. The Member's timeframe is as designated for that Member's entity type; the guarantor's timeframe is as designated for that guarantor's entity type. If annual audited financial statements of the Member or its guarantor are not available, NSCC in its sole discretion may accept consolidated financial statements prepared at the parent level. If parent company audited consolidated financials are accepted by NSCC, they must be provided to NSCC no later than 30 days following the date of the auditor's opinion letter.

<sup>4</sup> If a Member files its FOCUS report electronically with FINRA or CHX, and has authorized the primary regulator to forward the report to NSCC, then the Member need not file another copy with NSCC, unless notified by NSCC. These Members must, however, submit all other reports (including extension letters) to NSCC.

### III. Domestic Banks or Trust Companies with Obligation to File CALL Reports with Domestic Offices Only

- A. Full confidential version of the annual audited financial statements<sup>2</sup>: **100 calendar days after fiscal year-end**
- B. Quarterly CALL Report: **35 calendar days after quarter-end**
- C. Copy of any regulatory notification required to be made when a Member's capital or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- D. Extension request, if applicable

### IV. Domestic Banks or Trust Companies with Obligation to File CALL Reports with Domestic and Non-Domestic Offices

- A. Full confidential version of the annual audited financial statements<sup>2</sup>: **100 calendar days after fiscal year-end**
- B. Quarterly CALL Report: **45 calendar days after quarter-end**
- C. Copy of any regulatory notification required to be made when a Member's capital or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- D. Extension request, if applicable

### V. Domestic Banks, Trust Companies, or Credit Unions with No Obligation to File CALL Reports

- A. Full confidential version of the annual audited financial statements<sup>2</sup>: **100 calendar days after fiscal year-end**
- B. Unaudited Monthly, Quarterly, or Semi-Annual Financial Information (as applicable) as filed with the Member's state or federal regulatory authority: **35 calendar days after period-end**
- C. Copy of any regulatory notification required to be made when a Member's capital or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- D. Extension request, if applicable

### VI. Foreign Banks, including those with a U.S. Branch or Agency

- A. Full confidential version of the annual audited financial statements<sup>2</sup>: **5 months after fiscal year-end**
- B. Quarterly Financial Statements for the Foreign Bank: **75 calendar days after quarter-end**
- C. Quarterly Exhibit A (see Appendix): **75 calendar days after quarter-end**
- D. Copy of any regulatory notification required to be made when a Participant's capital levels or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- E. Extension request, if applicable

## VII. Foreign Banks not Subject to Federal Reserve Requirements

- A. Full confidential version of the annual audited financial statements<sup>2</sup>: **5 months after fiscal year-end**
- B. Quarterly Report of Assets and Liabilities of U.S. Branches and Agencies of Foreign Banks on Form FFIEC 002/002S: **75 calendar days after quarter-end**
- C. Quarterly Exhibit A (see Appendix): **75 calendar days after quarter-end**
- D. Copy of any regulatory notification required to be made when a Member's capital or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- E. Notice in writing if the Member has become subject to a disciplinary action by its home country regulator: **Within 2 business days of becoming subject to the disciplinary action**
- F. Final current version (including any revisions made during the year) of the Member's risk management ("RM") procedures, which should include the identification of threats and risk elements associated with the Member's major business segments and operations, e.g. credit risks, market exposure, liquidity management, and operational risks, governance structure, regulatory requirements, internal control requirements, and monitoring processes: **5 months after fiscal year-end**
- G. Narrative of any material changes that have occurred in Member's RM procedures: **5 months after fiscal year-end, and within 30 calendar days of any material change in RM procedures**
- H. Final current version (including any revisions made during the year) of the Member's business continuity/disaster recovery procedures ("BC/DR"), which should include the identification of major vulnerability associated with business disruption, regulatory requirements related to disaster recovery, business processes that are critical that must be recovered in order to support businesses, information regarding back-up sites for technology and processing capabilities and personnel, internal oversight and controls related to disaster recovery: **5 months after fiscal year-end**
- I. Narrative of any material changes that have occurred in BC/DR procedures: **5 months after fiscal year-end, and within 30 calendar days of any material change in BC/DR procedures**
- J. Extension request, if applicable

## VIII. Insurance Companies

- A. Full confidential version of the annual audited financial statements<sup>2</sup>: **5.5 months after fiscal year-end**
- B. Reports filed with and/or filed in accordance with guidelines issued by the National Association of Insurance Commissioners ("NAIC") or other regulatory authority (e.g. Blue Book): **5.5 months after fiscal year-end**
- C. Copy of any regulatory notification required to be made when a Member's capital or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- D. Extension request, if applicable

## IX. Insurance Agencies

- A. Audited annual reports filed with relevant state insurance departments: **5.5 months after fiscal year-end**
- B. Copy of any regulatory notification required to be made when a Member's capital or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- C. Extension request, if applicable

## X. Domestic Investment Advisers

- A. Full confidential version of the annual audited financial statements<sup>2</sup>: **100 calendar days after fiscal year-end**
- B. Quarterly income statement and balance sheet as well as Assets Under Management: **45 calendar days after quarter-end**
- C. Form ADV: **5 calendar days after submission to SEC**
- D. Copy of any regulatory notification required to be made when a Member's capital or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- E. Extension request, if applicable

## XI. Foreign Investment Advisers

- A. Full confidential version of the annual audited financial statements<sup>2</sup>: **5 months after fiscal year-end**
- B. Quarterly income statement and balance sheet as well as Assets Under Management: **75 calendar days after quarter-end**
- C. Copy of any regulatory notification required to be made when a Member's capital or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- D. Extension request, if applicable

## XII. SEC-Registered 1940 Act Investment Companies

- A. Full confidential version of the annual audited financial statements (Form N-CSR )<sup>2</sup>: **70 calendar days after fiscal year-end**
- B. Quarterly Form N-Q: **60 calendar days after quarter-end (1<sup>st</sup> and 3<sup>rd</sup> Quarters)**
- C. Semi-Annual Form N-CSR: **70 calendar days after period-end**
- D. Copy of any regulatory notification or non-regulatory notification required to be made when a Member's capital or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- E. Extension request, if applicable

### **XIII. Central Securities Depositories (CSDs)**

- A. Full confidential version of the annual audited financial statements<sup>2</sup>: **5 months after fiscal year-end**
- B. Quarterly income statement and balance sheet: **75 calendar days after quarter-end**
- C. Copy of any regulatory notification required to be made when a Member's capital or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- D. Extension request, if applicable

### **XIV. Exchanges**

- A. Full confidential version of the annual audited financial statements<sup>2</sup>: **6 months after fiscal year-end**
- B. Quarterly Income Statement and Balance Sheet: **45 calendar days after quarter-end**
- C. Copy of any regulatory notification required to be made when a Member's capital or other financial requirements fall below prescribed levels: **Submitted concurrently with submission to the applicable primary regulator**
- D. Extension request, if applicable

### **XV. All Other Members**

- A. Full confidential version of the annual audited financial statements<sup>2</sup>: **5 months after fiscal year-end**
- B. Unaudited Quarterly Financial Information: **45 calendar days after quarter-end**
- C. Copy of any regulatory notification required to be made when a Member's capital or other financial requirements fall below levels prescribed by the applicable primary regulator: **Submitted concurrently with submission to the applicable primary regulator**
- D. Extension request, if applicable

**Members must provide all financial reports or other information requested by NSCC in English.**

## EXHIBIT A

**Form requesting key financial information  
(Foreign Banks, including those with a U.S. Branch or Agency)  
(Non-U.S. Banks (not Subject to Federal Reserve Requirements))**

Pursuant to NSCC's Rules and Important Notices as published from time to time by the Corporation on its website, [www.dtcc.com](http://www.dtcc.com), **Foreign Banks, including those with a U.S. Branch or Agency and non-U.S. Bank Members (not subject to Federal Reserve requirements) must complete and provide the attached form and the accompanying certification to NSCC by the 75th calendar day after the end of each fiscal quarter.** Please note that all material changes to the information provided must be submitted to NSCC as soon as practicable.

Please note that the certifying officer should be the Member's chief financial officer, chief executive officer, or similar high-ranking official. With respect to this certification, a "similar high-ranking official" is an officer of the Member that maintains oversight with respect to the preparation of, and has authority to approve the information contained in, this form. If the entity does not have officers with such titles, the highest ranking executive or financial official will be acceptable to NSCC.

I, \_\_\_\_\_ of  
[Officer's name and title]

\_\_\_\_\_ (the "Member"), hereby certify that:  
[Member firm name]

1. I am an authorized signer (or designee) as determined by my employer;
2. I have reviewed this interim financial data of \_\_\_\_\_;  
[Member firm name]
3. Based on my knowledge, the interim financial data fairly presents in all material respects the financial condition, results of operations, and other financial information of \_\_\_\_\_ as of, and for, the periods presented in this report.  
[Member firm name]

\_\_\_\_\_  
[Officer's signature]

\_\_\_\_\_  
[Date]

| <b>KEY FINANCIAL DATA</b>                                  |                                     |
|--|-------------------------------------|
| <b>Member Information</b>                                  |                                     |
| Member Name  |                                     |
| For the Quarter Ended                                      |                                     |
| Type of GAAP Used  |                                     |
| <b>Balance Sheet Items</b>                                 | <b>(US\$ thousands)</b>             |
| Total Loans  |                                     |
| Total Assets   |                                     |
| Total Deposits   |                                     |
| Total Liabilities  |                                     |
| Total Equity Capital                                       |                                     |
| <b>Income Statement Items</b>                              | <b>(US\$ thousands)</b>             |
| Net Interest Income  |                                     |
| Net Non-Interest Income                                    |                                     |
| Net Non-Interest Expense                                   |                                     |
| Pre-Tax Income   |                                     |
| Net Income   |                                     |
| <b>Asset Quality</b>                                       | <b>(Ratios to 2 decimal places)</b> |
| Non-Performing Loans to Loans                              |                                     |
| Loan Loss Reserve to Non-Performing Loans                  |                                     |
| Net Charge-Offs to Loans                                   |                                     |
| <b>Capital Adequacy</b>                                    |                                     |
| Total Risk Weighted Assets                                 |                                     |
| Tier 1 Risk-Based Capital Ratio                            |                                     |
| Total Risk-Based Capital Ratio                             |                                     |
| <b>Profitability</b>                                       |                                     |
| Return on Assets   |                                     |
| Return on Equity   |                                     |
| <b>Liquidity</b>   |                                     |
| Net Loans to Deposits                                      |                                     |
| Net Loans to Core Deposits                                 |                                     |
| <b>Bank to Parent Group</b>                                |                                     |
| Bank's Assets as a % of Consolidated Parent Group's Assets |                                     |
| Bank's Net Income as a % of Consolidated Parent Group's    |                                     |