



# TEXAS DEPARTMENT OF BANKING EXPANDED EXAMINATION REQUEST LIST - BANK HOLDING COMPANY

**[Insert bank name, city here]**

The following is a list of documents that may be used in the examination of your bank holding company. Only those items marked with an “X” are required to meet the scope of this examination. Examiners may need: (1) an electronic *copy* of a requested item for examination work papers; or, (2) *access* to the referenced information sometime during the onsite review. **To help expedite the examination process, please provide the name and number of the employee who may be contacted for each item requested.** Please submit the electronic documents using the Department’s upgraded Data Exchange System (**DEX 2.0**) which is accessed from the [Entity Log In](#) page of the Department website.

<b>#22 - RELATED ORGANIZATIONS AND BANK HOLDING COMPANY</b>				
<b>X</b>	<b>ITEM</b>	<b>AS OF</b>	<b>COPY OR ACCESS</b>	<b>CONTACT PERSON (Name and contact number)</b>
X	<b>22-H:</b> Directors’ and committee minute books of the holding company.	Since last exam	Access	
X	<b>22-I:</b> Directors’ minute books of nonbank subsidiary(ies), if applicable.	Since last exam	Access	
X	<b>22-J:</b> Financial records of the parent company – general ledger, check register, cash receipts and disbursements journal.	Since last exam	Access	
X	<b>22-K:</b> Financial records of the nonbank subsidiaries (if applicable) – general ledger, check register, cash receipts and disbursements journal.	Since last exam	Access	
X	<b>22-L:</b> Complete listing of bank holding company shareholders.	Most Recent	Copy	

X = Indicates information requested.

## #22 - RELATED ORGANIZATIONS AND BANK HOLDING COMPANY

X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and contact number)
X	<p><b>22-M:</b> Parent company only financial statements on a comparative basis for the last two fiscal years and the current year to date information as of the most current quarter, if applicable –</p> <ul style="list-style-type: none"> <li>• Balance Sheet</li> <li>• Income Statement</li> <li>• Changes in stockholder’s equity</li> <li>• Statement of Cash Flow</li> </ul>	2 Fiscal Years, Current YTD, Most Current Quarter	Copy	
X	<p><b>22-N:</b> Parent company trial balance. If the trial balance does not provide a complete roster of accounts, please detail items such as other assets, other liabilities, other income, and other expenses categories.</p>	Most recent	Copy	
X	<p><b>22-O:</b> If the holding company has any bank lines of credit committed to it, indicate the lender, maturity date, interest rate, compensating balances or fees, reciprocal arrangements, and use of proceeds.</p>	Most recent	Copy	
X	<p><b>22-P:</b> Do any affiliates maintain compensating balances or balances in excess of their normal working needs on behalf of, or to the benefit of, other affiliates? If so, identify the maintaining affiliate, balance and bank involved, and the affiliate receiving the benefit.</p>	Most recent	Copy	
X	<p><b>22-Q:</b> If the holding company guarantees any liabilities of any subsidiary or affiliate, please provide details. Also, prepare a list of any other contingent liabilities of the holding company, including unfunded loan commitments.</p>	Most recent	Copy	
X	<p><b>22-R:</b> If the parent company or any nonbank subsidiary is a defendant in any pending or threatened litigation, please describe. (Exclude normal bank subsidiary(ies) litigation.)</p>	Most recent	Copy	

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## #22 - RELATED ORGANIZATIONS AND BANK HOLDING COMPANY

X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and contact number)
X	<p><b>22-S:</b> Prepare a schedule of fidelity and indemnity insurance coverage for the parent company, if any. Indicate if directors' and officers' liability insurance is maintained. Indicate if the parent company is covered on the insurance coverage of the bank subsidiary(ies).</p>	Most recent	Copy	
X	<p><b>22-T:</b> If the parent company or any nonbank subsidiary extends credit to any officer, director and/or their interests, or has made investments in those same interests, please provide details on the attached form.</p>	Most recent	Copy of Form or Parent Company Document	
X	<p><b>22-U:</b> If information has changed from the latest F.R. Y-6 Annual Report filed by your company, please provide a list of all joint ventures, partnerships, associations, or corporations in which directors and executive officers of the parent company have an interest of 10 percent or more.</p>	Most recent	Copy	
X	<p><b>22-V:</b> Provide the following information for any director or officer of the parent company who was not an officer or director at the time of the most recent F.R. Y-6 Annual Report filing.</p> <ul style="list-style-type: none"> <li>• Name and address (City and State/County)</li> <li>• Title or position with:                             <ul style="list-style-type: none"> <li>(a) The Bank Holding Company</li> <li>(b) All subsidiaries of the bank holding company</li> </ul> </li> <li>• Title or position with any other business company in which the person is a director, trustee, partner, or officer.</li> <li>• Principal occupation, if other than with the Bank Holding Company</li> <li>• List of all joint ventures, partnerships, associations or corporations in which new directors and executive officers have an interest of 10 percent or more.</li> </ul>	Most Recent	Copy	

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## #22 - RELATED ORGANIZATIONS AND BANK HOLDING COMPANY

X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and contact number)
X	<p><b>22-W:</b> If any officer or director of the parent holding company has accepted a position as an officer or director of another financial institution since the filing of the last F.R. Y-6 Annual Report, please provide the following information:</p> <ul style="list-style-type: none"> <li>• Name of the officer or director</li> <li>• Name and address of the financial institution</li> <li>• Position held in the financial institution</li> <li>• Percentage ownership by the officer or director in the financial institution</li> </ul>	Most recent	Copy	
X	<p><b>22-X:</b> Provide details of any additional compensation paid (i.e. stock options, deferred compensation, club memberships, automobile allowance, credit life commissions, etc.). Indicate which entity (including bank subsidiaries) pays the compensation. For each executive officer and director, list any debt secured by shares of the bank holding company and the date such debt was last reported to the board of directors.</p>	Most recent	Copy	
X	<p><b>22-Y:</b> Does the parent company or any nonbank subsidiary plan to expand its activities or acquire additional banks or companies? If so, provide pertinent details and indicate if the parent company or nonblank subsidiary has entered into any written or oral agreements.</p>	Most recent	Copy	
X	<p><b>22-Z:</b> Provide a copy of the latest annual report furnished to the shareholders and the annual shareholder proxy statement. If the company is required to file reports with the SEC, please include copies of the latest filings.</p>	Most recent	Copy	

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X	ITEM	AS OF	COPY OR ACCESS	CONTACT PERSON (Name and contact number)
X	<b>22-AA:</b> Provide a copy, if any, of the written tax settlement agreement between the parent company and all subsidiaries. Describe the procedure in which tax payments/settlements are paid/ received by each subsidiary to the parent company and the IRS.	Most recent	Copy	
X	<b>22-BB:</b> Describe all specific services provided by the holding company to each subsidiary. Are fees charged for such services? If so, indicate the services for which fees are charged and the basis for determining such fees.	Most recent	Copy	
X	<b>22-CC:</b> Does the parent company's book investment in each subsidiary equal its proportionate ownership in the stockholders' equity of each subsidiary? If not, provide an explanation of any differences.	Most recent	Copy	

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