# STATE OF UTAH

**DEPARTMENT OF FINANCIAL INSTITUTIONS**

*324 South State Street, Suite 201, SLC, UT 84111*

**Mailing Address: PO Box 146800, Salt Lake City, UT 84114-6800**

**(801) 538-8830**

**7-1-703 - application for registration of financial institution holding company**

Initial Registration  Annual Renewal

Please complete the form and attach the required request list information. The information can be submitted to [dfi@utah.gov](mailto:dfi@utah.gov), or mailed to the Utah Department of Financial Institutions, PO Box 146800, Salt Lake City, UT 84114-6800.

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Financial Institution Holding Company (Registering Entity):**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name:** |  | **Website:** |  |
| **Address:** |  | **Date Incorporated:** |  |
| **City:** |  | **Fiscal Year End:** |  |
| **State:** |  | **Holding Company Type:** | Top Tier / Intermediate / Other |
| **Zip Code:** |  | **Number of Employees (Global)** |  |
| **Main Phone:** |  |

**Utah Chartered Financial Institution(s) Owned or Controlled by the Registering Entity:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Institution Name:** |  | **Website:** |  |
| **Address:** |  | **Date Incorporated:** |  |
| **City:** |  | **Bank Charter Type:** | Commercial / Industrial |
| **State:** |  |  |  |
| **Zip Code:** |  |  |  |

**Contact Person at Registering Entity**

This should be a holding company contact, and not a bank employee (unless a dual employee). The contact should be senior enough to answer Department questions about the registering entity.

|  |  |  |  |
| --- | --- | --- | --- |
| **Name:** |  | **Title:** |  |
| **Address:** |  | **Email Address:** |  |
| **City:** |  | **Phone:** |  |
| **State:** |  |  |  |
| **Zip Code:** |  |  |  |

**Audit Coverage**

|  |  |  |  |
| --- | --- | --- | --- |
| **External Audit Firm:** |  | **Financial As of Date:** |  |
| **Engaged Since (Year):** |  | **Opinion:** | Unqualified / Qualified |

|  |  |  |  |
| --- | --- | --- | --- |
| **Internal Audit:** | In-House / Outsourced / None |  |  |

**Control**

|  |  |  |  |
| --- | --- | --- | --- |
| **Classes of Shares and Number of Shares Authorized:** |  | **Classes of Shares and Number of Shares Issued:** |  |
| **List any individuals or entities owning over 10 percent of** |  | | |

Identify all banks over which the registering entity has control (expand as needed):

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Bank Name:** | **Chartering Body:** | **Primary Federal Regulator:** | **FDIC Certificate Number:** | **Total Assets as of Most Recent Call Report:** | **Under Formal Enforcement Action?** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

**Ratings Agencies**

If applicable, provide current ratings assigned by any Nationally Recognized Statistical Rating Organizations (e.g., S&P, Moody’s) and equity analysists for the registering entity (expand as needed):

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Rating Agency Name:** | **Short Term Debt:** | **Long Term Debt:** | **Equity:** | **Outlook:** | **As of Date:** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

**Significant Changes**

Please highlight any significant management, ownership, or structural changes since the prior registration at the registering entity (expand as needed):

|  |
| --- |
|  |

**Affidavit**

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, of the above-named corporation, do hereby certify that the foregoing information, attachments, and statements are true and correct.

Signature: Title: Date:

**Holding Company Registration Document Request List**

Please submit the following documents. If providing electronically, please number and name using the following convention:

|  |  |  |
| --- | --- | --- |
|  | **Request Item** | **Description** |
| **1.** | **Certificate of Good Standing** | Attach a certificate of good standing (certificate of existence) from the state in which in which the registering entity is incorporated. For Utah entities, the certificate of existence can be obtained at <https://secure.utah.gov/bes/index.html> for $12. |
| **2.** | **Financial Statements** | Attach the registering entity’s most recent audited financial statements |
| **3.** | **Articles of Incorporation** | Attach the registering entity’s current articles of incorporation, unless there have been no changes since the prior registration |
| **4.** | **Executive Officer List** | Attach of list of registering entity’s executive officers and titles |
| **5.** | **Director List** | Attach a list of registering entity’s directors and their principle occupations |
| **6.** | **Organization Chart** | Attach an organization chart which illustrates ownership of the bank up to the ultimate top-tier parent. Include the asset size of each entity. |
| **7.** | **Ownership Information** | Attach a list of any individuals or entities owning 10 percent or more of the registering entity’s voting shares, including ownership percentages. If the registering entity is not the top-tier parent, also include a list of any individuals or entities owning 10 percent or more the top tier parent, including ownership percentages. |