

**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):**

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

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

<b>Institution Name:</b>		<b>Website:</b>	
<b>Address:</b>		<b>Date Incorporated:</b>	
<b>City:</b>		<b>Bank Charter Type:</b>	Commercial / Industrial
<b>State:</b>			
<b>Zip Code:</b>			

**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.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>		<b>Email Address:</b>	
<b>City:</b>		<b>Phone:</b>	
<b>State:</b>			
<b>Zip Code:</b>			

**Audit Coverage**

<b>External Audit Firm:</b>		<b>Financial As of Date:</b>	
<b>Engaged Since (Year):</b>		<b>Opinion:</b>	Unqualified / Qualified

<b>Internal Audit:</b>	In-House / Outsourced / None		
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**Control**

<b>Classes of Shares and Number of Shares Authorized:</b>		<b>Classes of Shares and Number of Shares Issued:</b>	
<b>List any individuals or entities owning over 10 percent of</b>			

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

<b>Bank Name:</b>	<b>Chartering Body:</b>	<b>Primary Federal Regulator:</b>	<b>FDIC Certificate Number:</b>	<b>Total Assets as of Most Recent Call Report:</b>	<b>Under Formal Enforcement Action?</b>

**Ratings Agencies**

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

<b>Rating Agency Name:</b>	<b>Short Term Debt:</b>	<b>Long Term Debt:</b>	<b>Equity:</b>	<b>Outlook:</b>	<b>As of Date:</b>

**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

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

	<b>Request Item</b>	<b>Description</b>
1.	<b>Certificate of Good Standing</b>	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 <a href="https://secure.utah.gov/bes/index.html">https://secure.utah.gov/bes/index.html</a> for \$12.
2.	<b>Financial Statements</b>	Attach the registering entity's most recent audited financial statements
3.	<b>Articles of Incorporation</b>	Attach the registering entity's current articles of incorporation, unless there have been no changes since the prior registration
4.	<b>Executive Officer List</b>	Attach of list of registering entity's executive officers and titles
5.	<b>Director List</b>	Attach a list of registering entity's directors and their principle occupations
6.	<b>Organization Chart</b>	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.	<b>Ownership Information</b>	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.