

STATE OF UTAH
DEPARTMENT OF FINANCIAL INSTITUTIONS
Two Gateway Office, 60 South 400 West, Salt Lake City, UT 84101
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, 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:		Phone Number:	
Zip Code:		President's Name:	

Contact Person at Registering Entity

The designated contact should be a representative of the holding company, not a bank employee - unless the individual holds a dual role with both entities. This contact must possess sufficient knowledge of the holding company's structure and operations to effectively respond to inquiries from the Department, as well as questions from the public regarding the registered 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 analysts 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):

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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 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.