



## **FEDERAL DEPOSIT INSURANCE CORPORATION**

### **Agency Information Collection Activities: Proposed Collection Renewal; Comment Request (OMB No. 3064-0153)**

**AGENCY:** Federal Deposit Insurance Corporation (FDIC).

**ACTION:** Notice and request for comment.

**SUMMARY:** The FDIC, as part of its ongoing obligations under the Paperwork Reduction Act of 1995, invites the general public and other Federal agencies to take this opportunity to comment on the renewal of the existing information collection described below (OMB No. 3064-0153).

**DATES:** Comments must be submitted on or before **[INSERT DATE 60 DAYS FROM PUBLICATION IN THE FEDERAL REGISTER]**.

**ADDRESSES:** Interested parties are invited to submit written comments to the FDIC by any of the following methods:

- *<https://www.FDIC.gov/regulations/laws/federal>.*
- *Email: [comments@fdic.gov](mailto:comments@fdic.gov).* Include the name and number of the collection in the subject line of the message.

- *Mail:* Jennifer Jones (202-898-6768), Counsel, MB-3078, Federal Deposit Insurance Corporation, 550 17th Street NW, Washington, DC 20429.
- *Hand Delivery:* Comments may be hand-delivered to the guard station at the rear of the 17th Street Building (located on F Street), on business days between 7:00 a.m. and 5:00 p.m.

All comments should refer to the relevant OMB control number. A copy of the comments may also be submitted to the OMB desk officer for the FDIC: Office of Information and Regulatory Affairs, Office of Management and Budget, New Executive Office Building, Washington, DC 20503.

**FOR FURTHER INFORMATION CONTACT:** Jennifer Jones, Counsel, 202-898-6768, [jennjones@fdic.gov](mailto:jennjones@fdic.gov), MB-3105, Federal Deposit Insurance Corporation, 550 17th Street NW, Washington, DC 20429.

**SUPPLEMENTARY INFORMATION:**

Proposal to renew the following currently approved collection of information:

1. Title: Regulatory Capital Rules.

OMB Number: 3064-0153.

Affected Public: Insured state nonmember banks and state savings associations.

Burden Estimate:

ESTIMATED HOURLY BURDEN					
BASEL III Advanced Approaches: RECORDKEEPING, DISCLOSURE, and REPORTING	Type of Burden	Estimated Number of Respondents	Estimated Time per Response	Frequency of Response	Total Annual Estimated Burden
Implementation plan -- Section .121(b): Ongoing	Recordkeeping	1	330	On Occasion	330
Documentation of advanced systems -- Section .122(j): Ongoing	Recordkeeping	1	19	On Occasion	19
Systems maintenance -- Sections .122(a), .123(a), .124(a): Ongoing	Recordkeeping	1	27.90	On Occasion	28

Supervisory approvals -- Sections .122(d)-(h), .132(b)(3), .132(d)(1), .132(d)(1)(iii): Ongoing	Recordkeeping	1	16.82	On Occasion	17
Control, oversight and verification of systems -- Sections .122 to .124: Ongoing	Recordkeeping	1	11.05	On Occasion	11
(CCR) -- Section .132(b)(2)(iii)(A): One-time	Recordkeeping	1	80	On Occasion	80
(CCR) -- Section .132(b)(2)(iii)(A): Ongoing	Recordkeeping	1	16	On Occasion	16
(CCR) -- Section .132(d)(2)(iv): One-time	Recordkeeping	1	80	On Occasion	80
(CCR) -- Section .132(d)(2)(iv): Ongoing	Recordkeeping	1	40	On Occasion	40
(CCR) -- Section .132(d)(3)(vi): One-time	Recordkeeping	1	80	On Occasion	80
(CCR) -- Section .132(d)(3)(viii): One-time	Recordkeeping	1	80	On Occasion	80
(CCR) -- Section .132(d)(3)(viii) Ongoing	Recordkeeping	1	10	Quarterly	40
(CCR) -- Section .132(d)(3)(ix): One-time	Recordkeeping	1	40	On Occasion	40
(CCR) -- Section .132(d)(3)(ix): Ongoing	Recordkeeping	1	40	On Occasion	40
(CCR) -- Section .132(d)(3)(x): One-time	Recordkeeping	1	20	On Occasion	20
(CCR) -- Section .132(d)(3)(xi): One-time	Recordkeeping	1	40	On Occasion	40
(CCR) -- Section .132(d)(3)(xi): Ongoing	Recordkeeping	1	40	On Occasion	40
(OC) -- Section .141(b)(3), .141(c)(1), .141(c)(2)(i)-(ii), .153: One-time	Recordkeeping	1	40	On Occasion	40
(OC) -- Section .141(c)(2)(i)-(ii): Ongoing	Recordkeeping	1	10	Quarterly	40
Sections .142 and .171: Ongoing	Disclosure	1	5.78	On Occasion	6
(CCB and CCYB) -- Section .173, Table 4 (Securitization) -- Section .173, Table 9 (IRR) -- Section .173, Table 12: Ongoing	Disclosure	1	25	Quarterly	100
(CCB and CCYB) -- Section .173, Table 4 (Securitization) -- Section .173, Table 9 (IRR) -- Section .173, Table 12: One-time	Disclosure	1	200	On Occasion	200
(Capital Structure) -- Section .173, Table 2: Ongoing	Disclosure	1	2	Quarterly	8
(Capital Structure) -- Section .173, Table 2: One-time	Disclosure	1	16	On Occasion	16
(Capital Adequacy) -- Section .173, Table 3: Ongoing	Disclosure	1	2	Quarterly	8
(Capital Adequacy) -- Section .173, Table 3: One-time	Disclosure	1	16	On Occasion	16
(CR) -- Section .173, Table 5: Ongoing	Disclosure	1	12	Quarterly	48
(CR) -- Section .173, Table 5: One-time	Disclosure	1	96	On Occasion	96
Section .304 - Opt-In Relief and Related FDIC Approval: Ongoing	Reporting	7	12	On Occasion	84
SUBTOTAL: One-time Recordkeeping and Disclosure					788
SUBTOTAL: Ongoing Recordkeeping, Disclosure, and Reporting					875
TOTAL RECORDKEEPING, DISCLOSURE, and REPORTING					1,663
<b>Minimum Regulatory Capital Ratios: RECORDKEEPING</b>	<b>Type of Burden</b>	<b>Estimated Number of Respondents</b>	<b>Estimated Time per Response</b>	<b>Frequency of Response</b>	<b>Total Annual Estimated Burden</b>
(CCR Operational Requirements) -- Sections .3(d) and .22(h)(2)(iii)(A): Ongoing	Recordkeeping	3,489	16	On Occasion	55,824

SUBTOTAL: One-time Recordkeeping					0
SUBTOTAL: Ongoing Recordkeeping					55,824
TOTAL RECORDKEEPING					55,824
<b>Standardized Approach: RECORDKEEPING and DISCLOSURE</b>	<b>Type of Burden</b>	<b>Estimated Number of Respondents</b>	<b>Estimated Time per Response</b>	<b>Frequency of Response</b>	<b>Total Annual Estimated Burden</b>
(QCCP) -- Section _35(b)(3)(i)(A): One-time	Recordkeeping	1	2	On Occasion	2
(QCCP) -- Section _35(b)(3)(i)(A): Ongoing	Recordkeeping	3,489	2	On Occasion	6,978
(CT) -- Section _37(c)(4)(i)(E): One-time	Recordkeeping	1	80	On Occasion	80
(CT) -- Section _37(c)(4)(i)(E): Ongoing	Recordkeeping	3,489	16	On Occasion	55,824
(SE) -- Section _41(b)(3) and _41(c)(2)(i): One-time	Recordkeeping	1	40	On Occasion	40
(SE) -- Section _41(c)(2)(ii): Ongoing	Recordkeeping	3,489	2	On Occasion	6,978
(S.E.) -- Section _42(e)(2), (C.R.) Sections _62(a),(b),& (c), (Q&Q) Sections _63(a) & (b): One-time	Disclosure	1	226.25	On Occasion	226
(S.E.) -- Section _42(e)(2), (C.R.) Sections _62(a),(b),& (c), (Q&Q) Sections _63(a) & (b) and _63 Tables: Ongoing	Disclosure	1	131.25	Quarterly	525
SUBTOTAL: One-time Recordkeeping and Disclosure					348
SUBTOTAL: Ongoing Recordkeeping and Disclosure					70,305
TOTAL RECORDKEEPING and DISCLOSURE					70,653
<b>ESTIMATED COST TO RESPONDENTS ASSOCIATED WITH HOURLY BURDEN</b>					
Total One-Time Burden Hours					1,136
Total Ongoing Burden Hours					127,004
TOTAL BURDEN HOURS					128,140

General Description of Collection:

This collection comprises the disclosure and recordkeeping requirements associated with minimum capital requirements and overall capital adequacy standards for insured state nonmember banks, state savings associations, and certain subsidiaries of those entities. The data is used by the FDIC to evaluate

capital before approving various applications by insured depository institutions, to evaluate capital as an essential component in determining safety and soundness, and to determine whether an institution is subject to prompt corrective action provisions.

The annual burden for this information collection remains unchanged and is estimated to be 128,140 hours.

Request for Comment

Comments are invited on: (a) Whether the collection of information is necessary for the proper performance of the FDIC's functions, including whether the information has practical utility; (b) the accuracy of the estimates of the burden of the information collection, including the validity of the methodology and assumptions used; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology. All comments will become a matter of public record.

Federal Deposit Insurance Corporation.  
Dated at Washington, DC, on July 23, 2020.  
**James P. Sheesley,**  
*Acting Assistant Executive Secretary.*

**BILLING CODE 6714-01-P**

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