

BOARD OF GOVERNORS OR THE FEDERAL RESERVE SYSTEM  
SUMMARY REPORT OF EXAMINATION OF GOVERNMENT  
SECURITIES BROKER-DEALER AND CUSTODIAL ACTIVITIES

I. GENERAL INFORMATION

Name of Bank \_\_\_\_\_  
Address (Street Number) \_\_\_\_\_  
Address (City, State and Zip Code) \_\_\_\_\_

Examination as of \_\_\_\_\_  
Type of examination: Commercial \_\_\_\_\_ Trust \_\_\_\_\_  
Other (specify) \_\_\_\_\_

Type of Activity: Broker \_\_\_\_\_ Dealer: \_\_\_\_\_

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II. Numerical Data

Number of government securities:

(a) Principals \_\_\_\_\_  
(b) Representatives \_\_\_\_\_

Approximate number of active customer accounts:

(a) Institutional \_\_\_\_\_  
(b) Noninstitutional \_\_\_\_\_

Dollar amount of U.S. Treasury and agency securities  
held in trading account as of the end of the last quarter.      \$ \_\_\_\_\_

Dollar amount of U.S Treasury and agency securities  
purchased under agreements to resell as of the end of the  
last quarter.      \$ \_\_\_\_\_

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Approximate number of person days spent on examination:  
On-site: \_\_\_\_\_ Off-site: \_\_\_\_\_

Examiner \_\_\_\_\_



4. Describe any questionable practices noted during the course of the examination relating to the bank's government securities activities, either in its capacity as a government securities dealer, broker, or in a custodial capacity, whether or not covered by the Treasury Department Regulations.
  
5. Custodial Holdings: if the bank has adopted written policies and procedures covering government securities held in a fiduciary capacity that also apply to custodial holdings, the bank is exempt from the requirements of 17 CFR Part 450 (Section 450.3). Please comment regarding whether (i) the bank has adopted such policies and procedures, (ii) the policies and procedures applicable to fiduciary standards are adequate, and (iii) the bank relies on this exemption in lieu of complying with the requirements of 17 CFR Part 450.

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#### INSTRUCTIONS

1. Forward one copy of this report, or, alternatively, an examination report that includes the requisite information, directly to:  
  
Board of Governors of the Federal Reserve System  
Division of Banking Supervision and Regulation  
Market and Liquidity Risk Section, Mail Stop 185  
Washington, D.C. 20551
  
2. If the bank is a government securities dealer, government securities broker, or both, the examination team examining these activities must, under Treasury Department regulations, also examine for compliance with custodial requirements (17 CFR Part 450).

If there are any other matters of significance not addressed in this report, please indicate the nature of these questions or problems on supplemental pages.