THE **FEDERAL RESERVE**
Reporting Central

File Upload User Guide

FR Y-12

Consolidated Holding Company Report of
Equity Investments in Nonfinancial Companies

Federal Reserve System

STATISTICS FUNCTION
December 31, 2020

Overview

The Federal Reserve System's Reporting Central Application provides the ability to submit spreadsheet files (e.g., Microsoft Excel) via the internet. As a result, reporting institutions that use a spreadsheet to prepare their data will not have to key their data into a web page form. While this feature was provided for reporting institutions using spreadsheets, the file can be created by any other backend system that a reporting institution uses to generate its data.

This document provides the required file format for submitting the data via Reporting Central and shows how a reporting institution can create the file from a spreadsheet for the *FR Y-12— Consolidated Holding Company Report of Equity Investments in Nonfinancial Companies*. Formulas were used to pull the data from the spreadsheet worksheets containing the data and format them for transmission to Reporting Central.

Microsoft Excel was used in this example but the same process can be applied to other spreadsheet software. The method used to create the file is at the discretion of the reporter. This guide assumes that the data already exist in spreadsheet form.

File Format for FR Y-12

Report Header Record for FR Y-12

The Report Header Record must be the first record in the file.

Field	Length	Type	Value/Description
Report Institution ID	10	NUM	10-digit respondent identifier
Report Name	10	ALPHA	'FRY12' **followed by five blanks**
Report As-of date	10	NUM	10-digit date, MM-DD-YYYY, which represents the as of date of the report

Report Data Record for FR Y-12

There must be one Report Data Record for each line of the report form.

Field	Length	Type	Value/Description
Line Identifier	9	ALPHA	**L** followed by 8-character MDRM

The next pair of fields (the separator '+' sign and the data value) occurs as many times as there are columns on the online report form.

Field	Length	Type	Value/Description
+	1	ALPHA	'+' (plus) sign, used as column separator and indicates that financial data follows the separator.
Data Value	0-9	NUM	Numeric data value being reported for the cell defined by that row and column. Value must be in one of the following formats:

- an unsigned one to nine-digit value if positive (999999999);
- zero (unsigned) if zeros is the applicable value;
- null, if the data field is not applicable.

Note: Do not zero fill the report. If you do not have data for a cell, leave the cell null.

| Text Value | 1-20 | ALPHA | Text data value being reported for text cells. The delimiter for text is two underscores or '__'. The two underscores must be placed after the line identifier but before the text entry begins. Two more underscores must be placed at the end of the text entry. |

For most text entries, up to 20 characters are allowed. See pages 3-5 for actual character limits for text fields.

The Explanatory Message field for the entire report allows the entry of 4000 maximum characters.

How to create a FR Y-12 Text file from a spreadsheet

Example of the hard copy report form in a spreadsheet. Note that now the FR Y-12 as represented on Reporting Central is closer to how the actual report form looks. The rows contain multiple columns going across as opposed to the one single column. The file upload can be derived from the following spreadsheet, based on the hard copy report form as well as from the one that follows, based on the representation on Reporting Central. Most critical to the file upload are the cells that contain the item code and the item value amount.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	Schedule A: Type of Investments																			
2						(Column A) Acquisition Cost			(Column B) Unrealized holding gains (losses) on			(Column C) All Other unrealized holding gains (losses) on			(Column D) Carrying Value			(Column E) Publicly Quoted Value		
3						BHEI	Bil	Mil	BHEI	Bil	Mil	BHEI	Bil	Mil	BHEI	Bil	Mil	BHEI	Bil	Mil
4	1. Direct investments in public entities					C088			LF30			LF37			C090			C091		
5	2. Direct investments in nonpublic entities					C093			LF31			LF38			C095					
6	3. All indirect investments					C097			LF32			LF39			C099					
7	4. Total portfolio (sum of items 1, 2, and 3)					C101			LF33			LF40			C103					
8																				
9																Number of Companies				
10	Memoranda														BHEI	1-10	11-25	26-100	100+	
11	1. Total portfolio														C100					
12																				
13									(Column A) Acquisition Cost			(Column B) Unrealized holding gains (losses) on equity securities not held for trading1			(Column C) All Other unrealized holding gains (losses) on equity securities.			(Column D) Carrying Value		
14									BHEI	Bil	Mil	BHEI	Bil	Mil	BHEI	Bil	Mil	BHEI	Bil	Mil
15	Only for holding companies filing FR Y-9C																			
16	2. Investments held under Merchant Banking								C104			LE62			LF41			C106		
17																				
18																		Income Amount		
19																		BHEI	Bil	Mil
20	Only for holding companies filing FR Y-9C																			
21	3. Pre-tax impact on net income from items																	B498		
22																				
23																		OFF-Balance-Sheet		
24																		BHEI	Bil	Mil
25	For all holding companies																			
26	4. Investments managed for others																	C716		
27																				
28																		Income Amount		
29																		BHEI	Bil	Mil
30	Only for holding companies filing FR Y-9C																			
31	5. Pre-tax impact of management fee income																	J443		

Example of the FR Y-12 report form, Schedule A only, placed into a spreadsheet.

Schedule A: Type of Investments

		(Column A) Acquisition Cost	(Column B) Unrealized holding gains (losses) on	(Column C) All Other unrealized holding	(Column D) Carrying Value	(Column E) Publicly Quoted Value
		1	1	1	1	1
1. Direct investments in public entities	BHEIC088	100	100	100	100	
	BHEILF30					
	BHEILF37					
	BHEIC090					
	BHEIC091					
2. Direct investments in nonpublic entities	BHEIC093	100	100	100	100	
	BHEILF31					
	BHEILF38					
	BHEIC095					
3. All indirect investments	BHEIC097	100	100	100	200	
	BHEILF32					
	BHEILF33					
	BHEIC099					
4. Total portfolio (sum of items 1, 2, and 3)	BHEIC101	300	300	300	400	
	BHEILF33					
	BHEILF40					
	BHEIC103					

		Number of Companies
		1
Memoranda		
1. Total Portfolio - enter "1" for 1-10, "11" for 11-25, "26" for 26-100 or "100" for 100+ to represent the number of companies in your total portfolio.	BHEIC100	11

		(Column A) Acquisition Cost	(Column B) Unrealized holding gains (losses) on equity securities not held for trading1	(Column C) All Other unrealized holding gains (losses) on equity securities.	(Column D) Carrying Value
		1	1	1	1
Only for holding companies filing FR Y-9C					
2. Investments held under Merchant Banking (GLBA) authority	BHEIC104	85	0	0	98
	BHEILE62				
	BHEILF41				
	BHEIC106				

		Income Amount
		1
Only for holding companies filing FR Y-9C		
3. Pre-tax impact on net income from items 1,2,and 3 above	BHEIB498	53

		OFF-Balance- Sheet Amount
		1
For all holding companies		
4. Investments managed for others	BHEIC716	300

		Income Amount
		1
Only for holding companies filing FR Y-9C		
5. Pre-tax impact of management fee income (from item M4 above)	BHEIJ443	11

Step 1. Create an Excel spreadsheet against the hard-copy report form or against the online representation of the report form on Reporting Central. Either one will work as long as you can identify the cells that

contain the MDRM (item code) and the item value amount for the MDRM.

Once you have created an entire FR Y-12 report with no data values, save the spreadsheet as a blank report template in which to enter data values for future FR Y-12 reports.

Step 2. Make a copy of the blank report template. Enter all of the data values for a specific FR Y-12 as of date in the copy. Save the spreadsheet copy with the data values. Call this spreadsheet Sheet1. Strip all of the usability features such as column heading titles and horizontal row descriptions until you are left with just item codes (MDRMs) and values for them.

Sheet1 - example of the FR Y-12 report form, Schedule A only, stripped of all formatting aides, just MDRMs and values for the MDRMs remain.

BHEIC088	100	100	100	100
BHEILF30				
BHEILF37				
BHEIC090				
BHEIC091				
BHEIC093	100	100	100	100
BHEILF31				
BHEILF38				
BHEIC095				
BHEIC097	100	100	100	200
BHEILF32				
BHEILF39				
BHEIC099				
BHEIC101	300	300	300	400
BHEILF33				
BHEILF40				
BHEIC103				
BHEIC100	11			
BHEIC104	85	0	0	98
BHEILE62				
BHEILF41				
BHEIC106				
BHEIB498	53			
BHEIC716	300			
BHEIJ443	11			

Step 3. Make a copy of Sheet1 and call it Sheet2. Remove any rows and their associated MDRMs that do not contain any values. Be mindful of blank values in columns, e.g. the row designated with BHEIC088 has a blank value for the fifth column or implied MDRM BHEIC091.

When the extra MDRM rows are removed, Sheet2 will look like the following.

Sheet2, example for Schedule A only.

	A	B	C	D	E	F
1	BHEIC088	100	100	100	100	
2	BHEIC093	100	100	100	100	
3	BHEIC097	100	100	100	200	
4	BHEIC101	300	300	300	400	
5	BHEIC100	11				
6	BHEIC104	85	0	0	98	
7	BHEIB498	53				
8	BHEIC716	300				
9	BHEIJ443	11				

Step 4. Insert Sheet3 and create a formula in cell A1 of Sheet3 to pull in the data from Sheet2.

In cell A1 on Sheet3, type in.

="L"&Sheet2!A1&"+"&Sheet2!B1&"+"&Sheet2!C1&"+"&Sheet2!D1&"+"&Sheet2!E1&"+"&Sheet2!F1

Copy the formula downwards until all of your 8-character MDRMs representing rows are displayed on Sheet3.

The formula that you typed in cell A1 concatenates the 8-character MDRM for the first row on Schedule A and the data values entered in Columns A, B, C, D and E with '+' between them. Even though you removed the MDRMs for Columns B, C, D and E and are left only with the MDRM for Column A, the position of the '+' sign after the first MDRM will fetch the first MDRM for Column A, the second MDRM for Column B, the third MDRM for Column C, the fourth MDRM for Column D, and the fifth MDRM for Column E and place the data values from the file upload into the correct columns on Schedule A of the online reporting form where your file upload is loaded into Reporting Central.

Note: For MDRMs with less columns that appear on the **same schedule** as MDRMs that are represented by many more columns, enter the **maximum number of columns or '+' signs for the MDRMs with less columns**. For example, MDRM BHEIC100 is represented by just one column on Schedule A. However, since it is on the same schedule as BHEIC088, BHEILF30, BHEILF37, BHEIC090 and BHEIC091 which are represented by five columns or '+'signs against BHEIC088, use five '+' signs for BHEIC100 but place the value you want to report after the first '+' sign.

Step 5. Once you have entered all of the data to the report form and transformed the data using the formula after stripping out entry usability items such as headers, the contents of Sheet3 can be saved as a text file. From within the spreadsheet file do a File^ Save As and select the Text (Tab delimited) in the Save As type section. Type a name for the file and click the Save button. Then click OK and Yes to the two MS Excel prompts.

If you open the text file you saved with the Notepad application, you should see something like this – the maximum number of columns on Schedule A is five so five '+' signs have been entered for the MDRMs with less columns, such as BHEIC100.

```
LBHEIC088+100+100+100+100+
LBHEIC093+100+100+100+100+
LBHEIC097+100+100+100+200+
LBHEIC101+300+300+300+400+
LBHEIC100+11++++
LBHEIC104+85+0+98+0+
LBHEIB498+53++++
LBHEIC716+300+++++
LBHEIJ443+11++++
```

Step 6. The last step, once you have saved your report data from Sheet3 into a text file, is adding the respondent ID, as-of-date and the report form name as a header.

Open the newly created text file, place the cursor before the LBHEIC088 on the first row of data and press the return key to create an empty first row. Then type in your 10-digit respondent ID code immediately followed by FRY12 and five blank spaces (remember the report form name can be 10 characters long) and then the report's as-of-date for example 12-31-2020 in this particular date format. Save the file and you're done. Once done, your file upload should look similar in format to the file below.

```
0123456789FRY12        12-31-2020
LBHEIC088+100+100+100+100+
LBHEIC093+100+100+100+100+
LBHEIC097+100+100+100+200+
LBHEIC101+300+300+300+400+
LBHEIC100+11++++
LBHEIC104+85+0+98+0+
LBHEIB498+53++++
LBHEIC716+300+++++
LBHEIJ443+11++++
```

Now you can go ahead, using the File Upload feature, to upload the data for this report to Reporting Central.

APPENDIX — FR Y-12 Schedule Deliminators and MDRM Mappings

Unless indicated otherwise, all items are whole numbers, with a maximum data length of 14 digits.

The Line Identifier is "L" followed by the Deliminator MDRM (e.g., **LBHEIC088**)

Schedule A: Type of Investments

Item	Deliminator	1	2	3	4	5
1.	**BHEIC088**	BHEIC088	BHEILF30	BHEILF37	BHEIC090	BHEIC091
2.	**BHEIC093**	BHEIC093	BHEILF31	BHEILF38	BHEIC095	
3.	**BHEIC097**	BHEIC097	BHEILF32	BHEILF39	BHEIC099	
4.	**BHEIC101**	BHEIC101	BHEILF33	BHEILF40	BHEIC103	
M.1.	BHEIC100	BHEIC100				
M.2.	**BHEIC104**	BHEIC104	BHEILE62	BHEILF41	BHEIC106	
M.3.	**BHEIB498**	BHEIB498				
M.4.	**BHEIC716**	BHEIC716				
M.5.	**BHEIJ443**	BHEIJ443				

- BHEIC100 is reported with a maximum data length of 3 digits.

Schedule B: Type of Security

Item	Deliminator	1	2
1.	**BHEIC107**	BHEIC107	BHEIC108
2.	**BHEIC109**	BHEIC109	BHEIC110
3.	**BHEIC111**	BHEIC111	BHEIC112
4.	**BHEIC113**	BHEIC113	BHEIC114
M.1.	**BHEIC115**	BHEIC115	
M.2.	BHEIC717	BHEIC717	

- BHEIC717 is reported with a maximum data length of 1 digit.

Schedule C: Type of Entity within the Banking Organization

Item	Deliminator	1	2	3	4
1.a.	**BHEIC117**	BHEIC117	BHEILE63	BHEILF45	BHEIC118
1.b.	**BHEIC121**	BHEIC121	BHEILE64	BHEILF46	BHEIC122
1.c.	**BHEIC126**	BHEIC126	BHEILE65	BHEILF47	BHEIC127
2.a.	**BHEIC136**	BHEIC136	BHEILE66	BHEILF48	BHEIC137
2.b.	**BHEIC722**	BHEIC722	BHEILE67	BHEILF49	BHEIC724
2.c.	**BHEIC131**	BHEIC131	BHEILE68	BHEILF50	BHEIC132
2.d.	**BHEIC726**	BHEIC726	BHEILE69	BHEILF51	BHEIC728
2.e.	**BHEIC145**	BHEIC145	BHEILE70	BHEILF52	BHEIC146
3.	**BHEIC150**	BHEIC150	BHEILE71	BHEILF53	BHEIC151
M.1.	**BHEIC155**	BHEIC155	BHEILE72	BHEILF54	BHEIC156
M.2.	**BHEIC157**	BHEIC157	BHEILE73	BHEILF55	BHEIC158

Schedule D: Nonfinancial Investment Transactions During Reporting Period

Item	Deliminator	1	2	3	4	5	6
1.	**BHEIC731**	BHEIC731	BHEIC742	BHEIJ434	BHEIJ435	BHEIC733	BHEIC734
2.	**BHEIC735**	BHEIC735	BHEIC736	BHEIJ436	BHEIJ437	BHEIC737	BHEIC738
3.	**BHEIC739**		BHEIC739		BHEIJ438		BHEIC740
4.	**BHEIC741**	BHEIC741	BHEIC742	BHEIJ439	BHEIJ440	BHEIC743	BHEIC744
5.	**BHEIC745**	BHEIC745	BHEIC746	BHEIJ441	BHEIJ442	BHEIC747	BHEIC748

Cover Page

Report items on this page are treated as TEXT data values.

Item	Maximum Character Length	Deliminator	*1*
Contact Information - Name/Title	72	**BHEI8901**	BHEI8901
Contact Information - Phone Number	30	**BHEI8902**	BHEI8902
Contact Information - Email Address	72	**BHEI4086**	BHEI4086
Executive Officer - Name	72	**BHEIC490**	BHEIC490
Executive Officer - Title	72	**BHEIC491**	BHEIC491
Executive Officer - Date of Signature (MM/DD/YYYY)	30	**BHEIJ196**	BHEIJ196
Holding Company - Legal Name	72	**RSSD9017**	RSSD9017
Holding Company - Mailing Address	72	**RSSD9110**	RSSD9110
Holding Company - City	72	**RSSD9130**	RSSD9130
Holding Company - State	72	**RSSD9200**	RSSD9200
Holding Company - Zip Code	30	**RSSD9220**	RSSD9220
Is Confidential Treatment Requested	1	**BHEIC447**	BHEIC447
Confidential Letter Provided w/o Report	1	**BHEIKY38**	BHEIKY38

Prior to March 2019, these MDRMs were used instead of the MDRMs above:

- Contact Person Information:
    - TEXT8901 — Name/Title
    - TEXT8902 — Phone Number
    - TEXT9116 — FAX Number (eliminated in the March 2019 report form)
    - TEXT4086 — Email Address

- Holding Company's Legal Name and Address:
    - TEXT9010 — Legal Name
    - TEXT9110 — Mailing Address
    - TEXT9130 — City
    - TEXT9200 — State
    - TEXT9220 — Zip Code