

File Upload User Guide

FR Y-12A

Annual Report of Merchant Banking Investments Held for an Extended Period

Federal Reserve System

STATISTICS FUNCTION
December 31, 2019

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-12A — Annual Report of Merchant Banking Investments Held for an Extended Period***. 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.

PREPARING THE FILE UPLOAD FOR THE FRY12A

Report Header Record for FR Y-12A. The Report Header Record must be the first record in the file.

Field	Length	Type	Value Description
H	1	ALPHA	'H' identifies the header row
Report Institution ID	10	NUM	Respondent identifier
+	1	ALPHA	'+' (plus) sign, used as a delimiter between items in the header record
Report Series ID	6	ALPHA	FRY12A
+	1	ALPHA	'+' (plus) sign, used as a delimiter between items in the header record
Report As-of Date	10	ALPHA	Date of the report, using the MM-DD-YYYY format

Report Data Records for FR Y-12A

Individual items. For data items that are entered individually and not as part of a row of financial data, the following formatting is used. See the listing of MDRMs in Appendix A.

Field	Length	Type	Value Description
L	1	ALPHA	'L' separates items from each other or separates rows of items
MDRM	8	ALPHA	8-character identifier for items, see Appendix A
+	1	ALPHA	'+' (plus) sign, used as a delimiter between the MDRM and item content
Item Content	Variable	ALPHA	Item content

Rows of data. For data items that are entered as part of a row, the following formatting is used.

Field	Length	Type	Value Description
LFHMBF316	9	ALPHA	'LFHMBF316' identifies each new row of data
+	1	ALPHA	'+' (plus) sign, used as a delimiter for each of the 27 columns of the row

NOTE: There cannot be any line breaks for any data items in the File Upload file.

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

First, prepare an Excel workbook with three worksheets: Individual Items, Row Data, and Export.

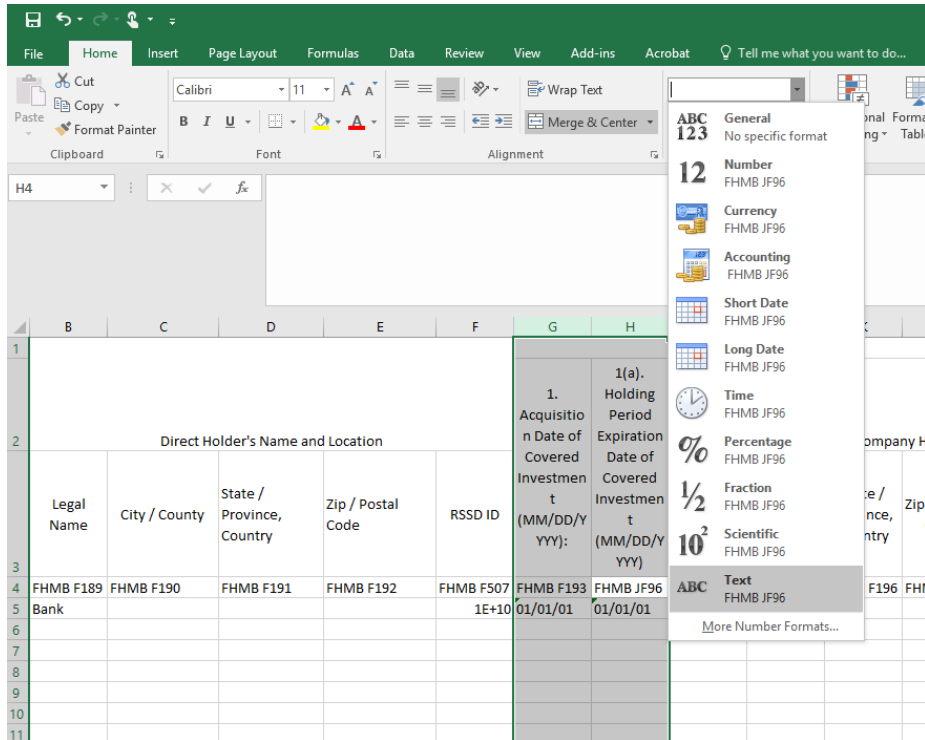
The **Individual Items** worksheet lists the individual items by MDRM (column D) and item content (column E).

NOTE: Signature of Executive Officer will not have item content in column E.

	A	B	C	D
1	FR Y-12A Annual Report of Merchant Banking Investments Held for an Extended Period			
2				
3				
4	Individual Items			MDRM
5	Legal Name of Reporter			RSSD9017
6	Physical Street Address			RSSD9028
7	City and County			RSSD9130
8	State / Province, Country			RSSD9200
9	Zip / Postal Code			RSSD9220
10	Reporter's Address (if different from physical street address)			FHMB9110
11	City			FHMBF206
12	State / Province, Country			FHMBF207
13	Zip / Postal Code			FHMBF208
14	Name and Title			FHMB8901
15	Area Code / Phone Number / Extension			FHMB8902
16	E-mail Address			FHMB4086
17	Contact's Address (if different from reporter's)			FHMB9185
18	City			FHMB9187
19	State / Province, Country			FHMBF209
20	Zip / Postal Code			FHMB9189
21	Printed Name of Executive Officer			FHMB490
22	Title of Executive Officer			FHMB491
23	Signature of Executive Officer			FHMBH321
24	Date of Signature (MM/DD/YYYY)			FHMBJ196
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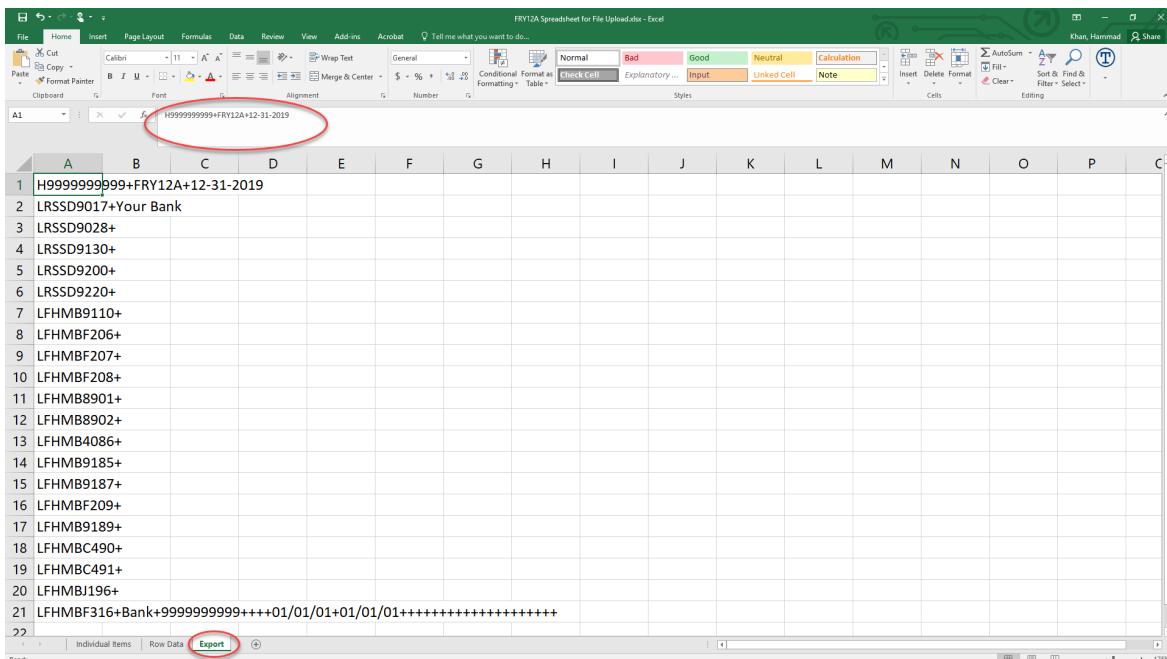
The **Row Data** worksheet contains the data for each record of the FR Y-12A. Note each record (row) is preceded by the MDRM “LFHMBF316.”

Note: In order for column C and column E to maintain the leading zero for dates where the month is a single digit, you need to customize the Number setting to TEXT.

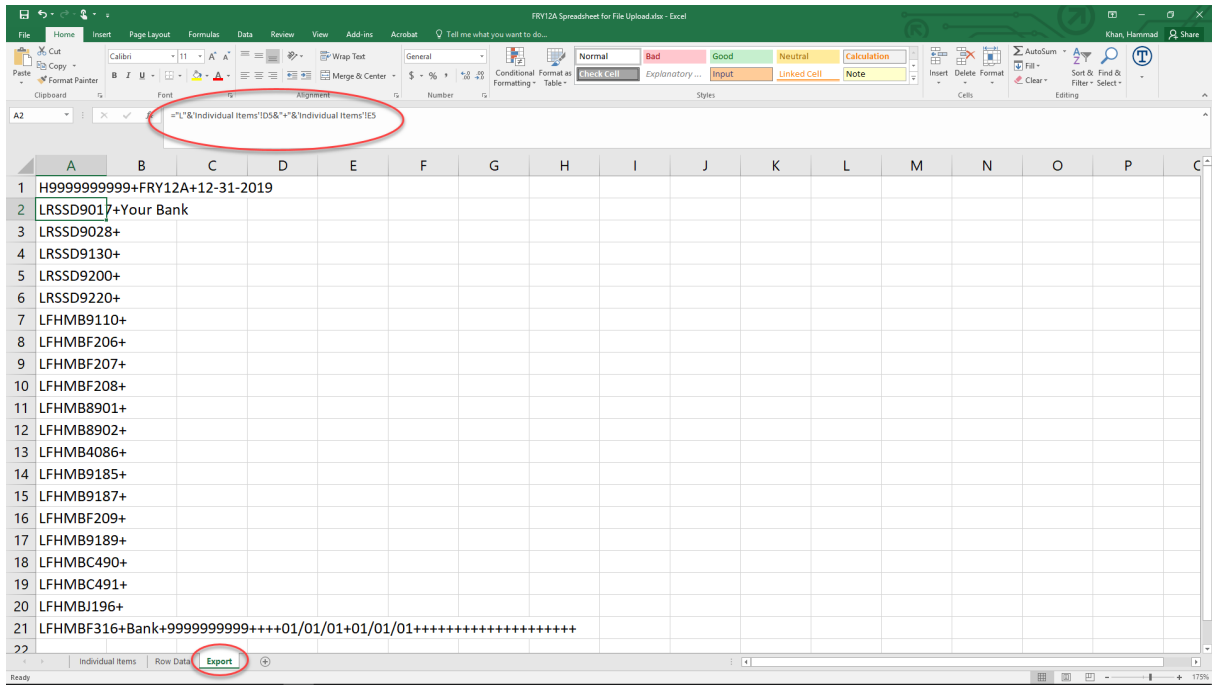


The **Export** worksheet contains the formulas that transform your worksheet entries to a format acceptable to Reporting Central.

Row 1 contains the file header record.



Rows 2-20 contain the formulas for the Individual Items worksheet.



The formula in Row 2 is written as:

=\"L\"&'Individual Items'!D5&\"+\"&'Individual Items'!E5

where

'Individual Items'!D5 is the MDRM in column D, row 5

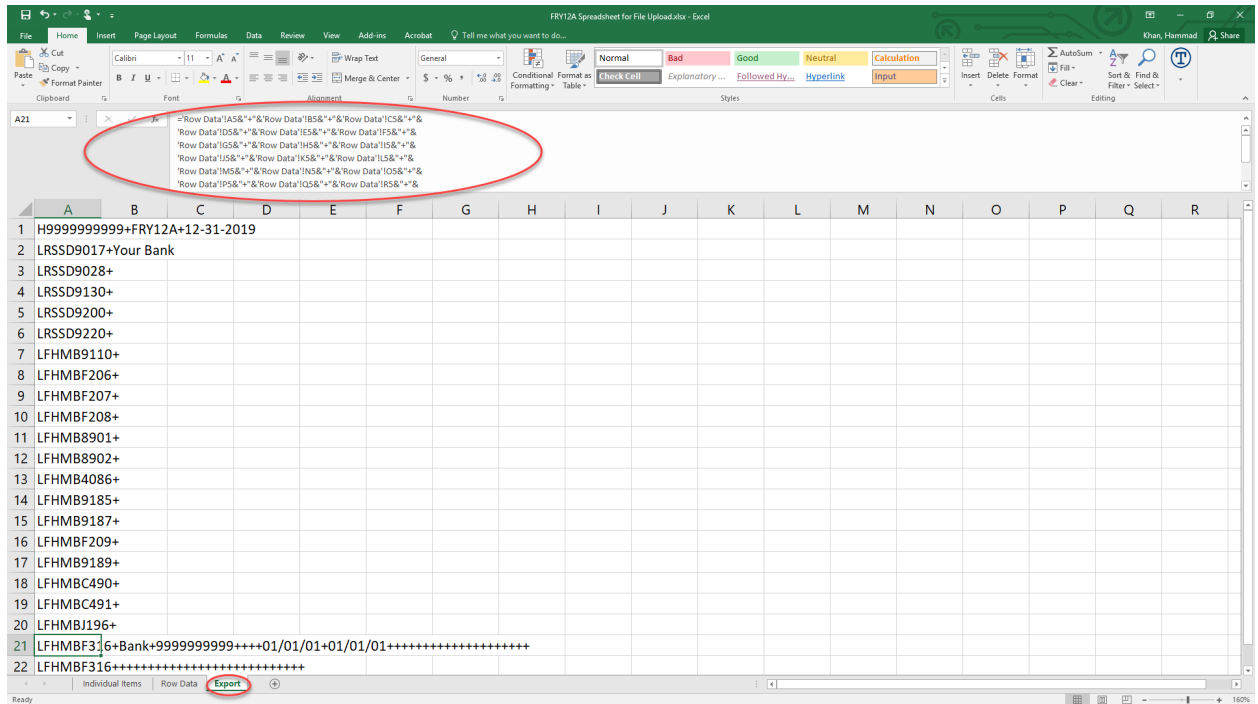
'Individual Items'!E5 is the content of column E, row 5

which transforms to:

LRSSD9017+Your Bank

Use the same formula for rows 3-20 (copy down the formula from Row 2 in the Export Tab).

Rows 21 and after contain the formulas for the Row Data worksheet.



The formula is written as:

```
= 'Row Data'!A5&"+&'Row Data!B5&"+&'Row Data!C5&"+&'
'Row Data!D5&"+&'Row Data!E5&"+&'Row Data!F5&"+&'
'Row Data!G5&"+&'Row Data!H5&"+&'Row Data!I5&"+&'
'Row Data!J5&"+&'Row Data!K5&"+&'Row Data!L5&"+&'
'Row Data!M5&"+&'Row Data!N5&"+&'Row Data!O5&"+&'
'Row Data!P5&"+&'Row Data!Q5&"+&'Row Data!R5&"+&'
'Row Data!S5&"+&'Row Data!T5&"+&'Row Data!U5&"+&'
'Row Data!V5&"+&'Row Data!W5&"+&'Row Data!X5&"+&'
'Row Data!Y5&"+&'Row Data!Z5&"+&'Row Data!AA5&"+&'
'Row Data!AB5
```

where

'Row Data'!A5 is the value of column A, row 5, through column AB, row 5

which transforms to:

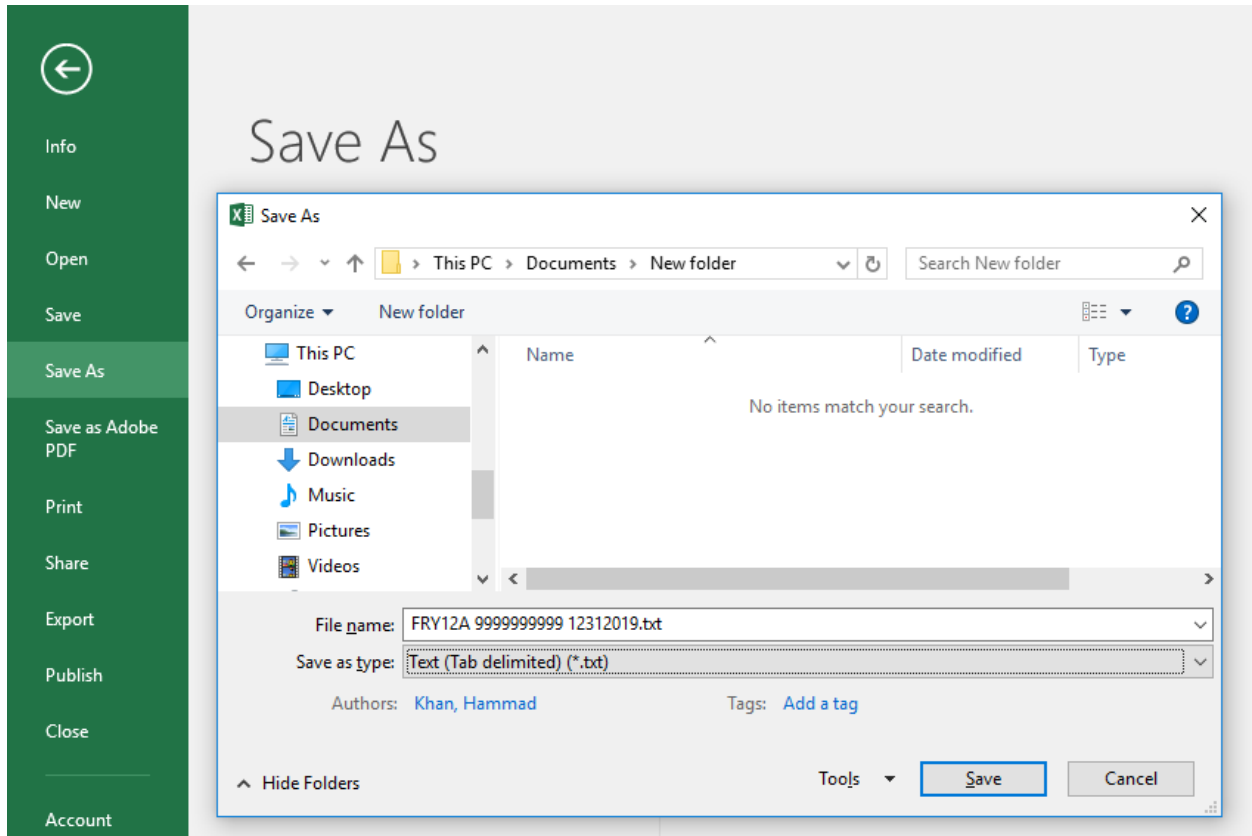
```
LFHMBF316+Bank+9999999999++++01/01/01+01/01/01+01/01/01+++++
```

Note the +'s here without any data items in between them. This represents null data points for the items in the report form that correspond to the position of these data points.

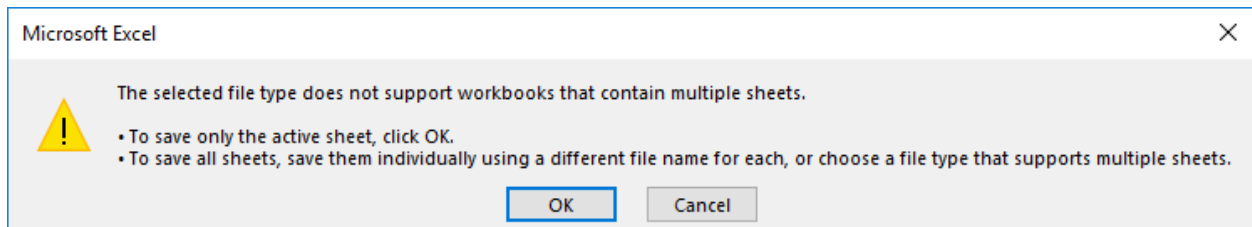
The same formula is copied to subsequent rows until all records in the Row Data worksheet have been addressed. In this example, there are only two records in the Row Data worksheet, so we only need two formulas to cover them in the Export worksheet.

Save the file in spreadsheet format. Navigate to the **Export** worksheet, then select the 'Save As' option under the File menu.

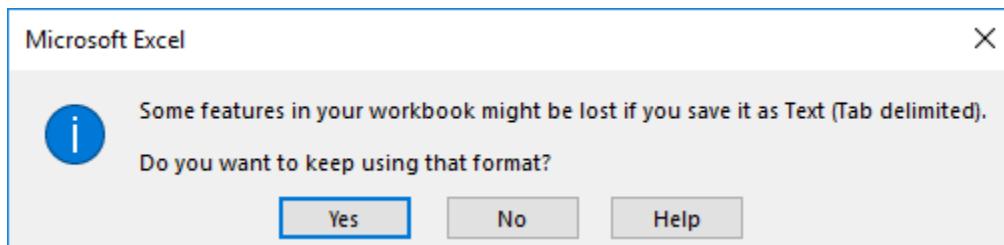
Select the file type as 'Text (Tab delimited) (*.txt)' and click Save.



If a message appears indicating that this file selection does not support workbooks with multiple worksheets, select 'OK.'



An additional message will be displayed concerning incompatibility features, select 'Yes.'

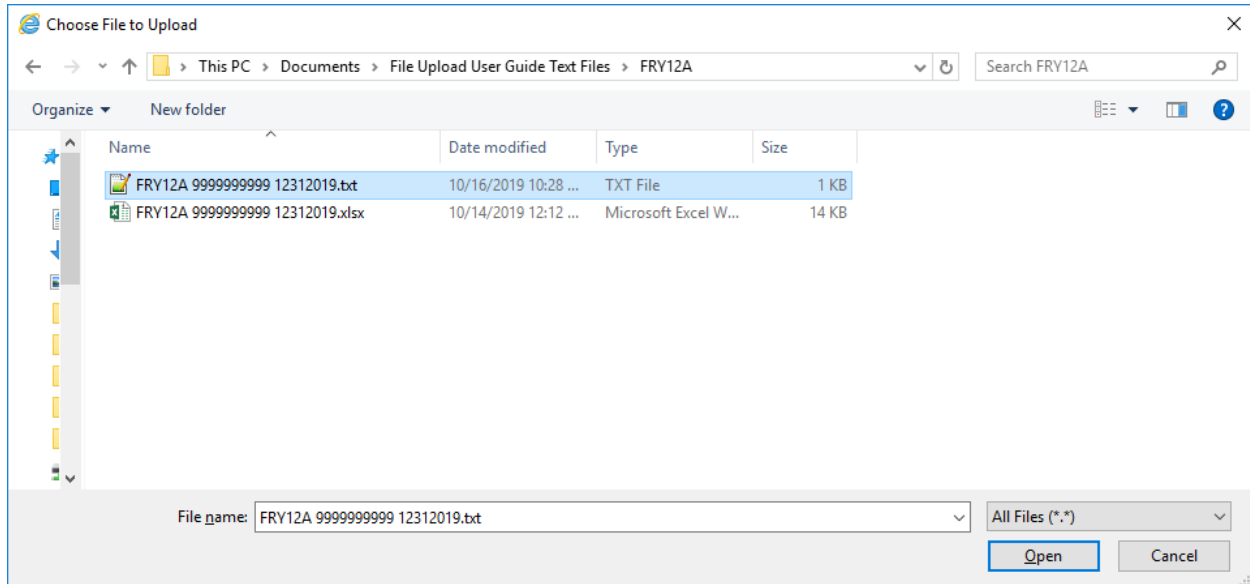


Your text file will look like this:

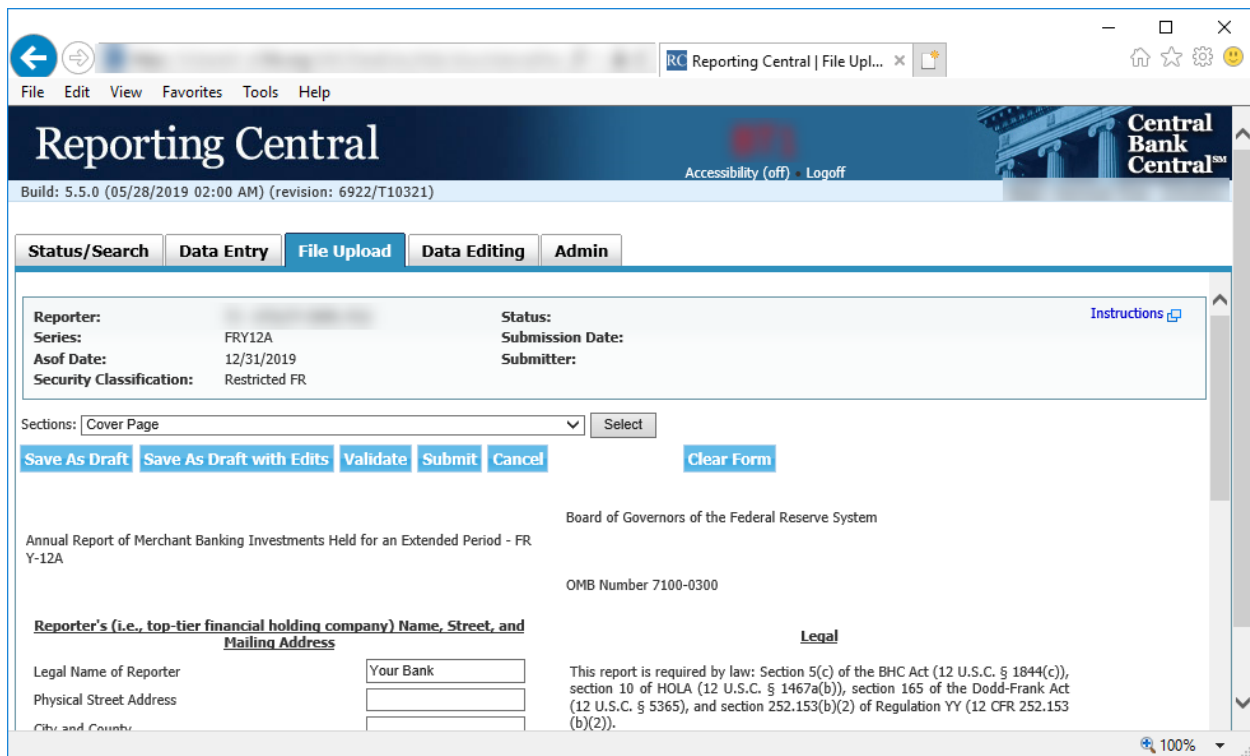
```
FRY12A 9999999999 12312019.txt - Notepad
File Edit Format View Help
H9999999999+FRY12A+12-31-2019
LRSSD9017+Your Bank
LRSSD9028+
LRSSD9130+
LRSSD9200+
LRSSD9220+
LFHMB9110+
LFHMBF206+
LFHMBF207+
LFHMBF208+
LFHMB8901+
LFHMB8902+
LFHMB4086+
LFHMB9185+
LFHMB9187+
LFHMBF209+
LFHMB9189+
LFHMB490+
LFHMB491+
LFHMBJ196+
LFHMBF316+Bank+9999999999++++01/01/01+01/01/01++++
LFHMBF316++++
```

UPLOADING FILE TO REPORTING CENTRAL

In Reporting Central, select the File upload tab and then click the “Browse...” button. Then, navigate to the stored text file and select the filename so it appears in the ‘File:’ box. Select “Continue” to upload.



If there are no formatting issues during the file upload the data will load directly into the report screen.



The report data can then be validated and saved. If errors exist in the text file error messages will appear in the file upload window, which can be used to troubleshoot any formatting issues.

APPENDIX A

Item Description	Type	Limit ¹	MDRM
Individual Items			
Legal Name of Reporter	Text	72	RSSD9017
Physical Street Address	Text	72	RSSD9028
City and County	Text	72	RSSD9130
State / Province, Country	Text	72	RSSD9200
Zip / Postal Code	Text	30	RSSD9220
Reporter's Address (if different from physical street address)	Text	72	FHMB9110
City	Text	72	FHMBF206
State / Province, Country	Text	72	FHMBF207
Zip / Postal Code	Text	30	FHMBF208
Name and Title	Text	72	FHMB8901
Area Code / Phone Number / Extension	Text	30	FHMB8902
E-mail Address	Text	72	FHMB4086
Contact's Address (if different from reporter's)	Text	72	FHMB9185
City	Text	72	FHMB9187
State / Province, Country	Text	72	FHMBF209
Zip / Postal Code	Text	30	FHMB9189
Printed Name of Executive Officer	Text	72	FHMB490
Title of Executive Officer	Text	72	FHMB491
Date of Signature (MM/DD/YYYY)	Date	10,0	FHMBJ196
Row Items (in order from left to right)			
Direct Holder's Name and Location: Legal Name	Text	72	FHMBF189
Direct Holder's Name and Location: City / County	Text	72	FHMBF190
Direct Holder's Name and Location: State/ Province, Country	Text	72	FHMBF191
Direct Holder's Name and Location: Zip / Postal Code	Text	30	FHMBF192
Direct Holder's Name and Location: RSSD ID	Integer	10,0	FHMBF507
Acquisition Date of Covered Investment (MM/DD/YYYY)	Date	10,0	FHMBF193
Holding Period Expiration Date of Covered Investment	Date	10,0	FHMBJF96
Name and Location of Company Held: Legal Name	Text	72	FHMBF194
Name and Location of Company Held: City / County	Text	72	FHMBF195
Name and Location of Company Held: State/ Province, Country	Text	72	FHMBF196
Name and Location of Company Held: Zip / Postal Code	Text	30	FHMBF197
Primary Activity of Company Held: NAICS Activity Code	Integer	11,0	FHMBF198
Primary Activity of Company Held: Description of Activity (if no Activity Code applicable)	Text	219	FHMBF199
Type of interest held by Financial Holding Company: Common Stock	Integer	2,0	FHMBF200
Type of interest held by Financial Holding Company: Preferred Stock	Integer	2,0	FHMBF276
Type of interest held by Financial Holding Company: General Partner	Integer	2,0	FHMBF277
Type of interest held by Financial Holding Company: Limited Partner	Integer	2,0	FHMBF278
Type of interest held by Financial Holding Company: Warrants	Integer	2,0	FHMBF279
Type of interest held by Financial Holding Company: Options	Integer	2,0	FHMBF280

Item Description	Type	Limit ¹	MDRM
Type of interest held by Financial Holding Company: Convertible Debt	Integer	2,0	FHMBF281
Type of interest held by Financial Holding Company: Other	Integer	2,0	FHMBF282
Type of Interest held by Financial Holding Company : If other, please describe	Text	219	FHM8F200
Percentage of Ownership held by Financial Holding Company: % Voting Equity	Integer	2,0	FHMBF201
Percentage of Ownership held by Financial Holding Company: % Nonvoting Equity	Integer	6,0	FHMBF202
Acquisition Cost of the Covered Investment: (in thousands of U.S. dollars)	Integer	14,0	FHMBF203
Carrying Value of the Covered Investment: (in thousands of U.S. dollars)	Integer	14,0	FHMBF204
Past Efforts and Future Plan, Including Timing, to Achieve Disposition of Covered Investment Within the Holding Period	Text	3504	FHMBF205

1 Item limits, where applicable, are provided in (x,y) format, where “x” is the maximum number of digits/characters allowed for the item, “y” is the maximum number of digits allowed after the decimal, and subtracting “y” from “x” is the maximum number of digits allowed before the decimal.