



Selected Supervision and Regulation (SR) Letters

April 27, 2015

Below is a list of Supervision and Regulation (SR) Letters that may be helpful to holding companies.

SR Letters

[SR 09-4](#)

Applying Supervisory Guidance and Regulations on the Payment of Dividends, Stock Redemptions, and Stock Repurchases at Bank Holding Companies

[SR 08-9](#)

Consolidated Supervision of Bank Holding Companies and the Combined U.S. Operations of Foreign Banking Organizations

[SR 06-04](#)

Interagency Advisory on the Unsafe and Unsound Use of Limitation of Liability Provisions in External Audit Engagement Letters

[SR 04-19](#)

Interagency Statement on the Purchase and Risk Management of Life Insurance

[SR 04-18](#)

Bank Holding Company Rating System

[SR 04-04](#)

Accounting for deferred compensation agreements

[SR 03-22](#)

Framework for Assessing Consumer Compliance Risk at Bank Holding Companies

[SR 03-19](#)

Guidance on Change in Bank Control Procedures

SR 03-13

Instructions for Reporting Trust Preferred Securities on Schedule HC-R of the FR Y-9C

SR 03-05

Amended Interagency Guidance on the Internal Audit Function and its Outsourcing

SR 03-02

Adoption of Regulation W Implementing Sections 23A and 23B of the Federal Reserve Act

SR 02-24

Suspicious Activity Report Filing Requirements for Nonbank Subsidiaries of Bank Holding Companies and State Member Banks

SR 02-20

The Sarbanes-Oxley Act of 2002

SR 02-01 (SUP)

Revisions to Bank Holding Company Supervision Procedures for Organizations with Total Consolidated Assets of \$5 Billion or Less

SR 00-17 (SPE)

Guidance on the Risk Management of Outsourced Technology Services

SR 00-13 (SUP)

Framework for Financial Holding Company Supervision

SR 00-9 (SPE)

Supervisory Guidance on Equity Investment and Merchant Banking Activities

SR 99-18 (SUP)

Assessing Capital Adequacy in Relation to Risk at Large Banking Organizations and Others with Complex Risk Profiles

SR 99-15 (SUP)

Risk-Focused Supervision of Large Complex Banking Organizations

[SR 98-38 \(SUP\)](#)

Interagency Policy Statement on Income Tax Allocation in a Holding Company Structure

[SR 98-9 \(SUP\)](#)

Assessment of Information Technology in the Risk-Focused Frameworks for the Supervision of Community Banks and Large Complex Banking

[SR 97-25 \(SUP\)](#)

Risk-Focused Framework for the Supervision of Community Banks

[SR 97-24 \(SUP\)](#)

Risk-Focused Framework for Supervision of Large Complex Institutions

[SR 97-17 \(SUP\)](#)

Access to Books and Records of Financial Institutions During Examinations and Inspections

[SR 97-13 \(APP\)](#)

Streamlined Section 4 Procedures for Well-Capitalized and Well-Managed Banking Organizations

[SR 97-12 \(APP\)](#)

Streamlined Section 3 Procedures for Well-Capitalized and Well-Managed Banking Organizations

[SR 96-39 \(APP\)](#)

Joint Venture Proposals Pursuant to Regulation Y: Guidance Regarding Issues, and Criteria for Delegation

[SR 96-28 \(SUP\)](#)

Subchapter S Election for Federal Income Taxes

[SR 96-21 \(SUP\)](#)

FDIC Final Rule Regarding "Golden Parachutes" and Indemnification Payments

[SR 96-14 \(SUP\)](#)

Risk-focused Safety and Soundness Examinations and Inspections

[SR 95-51 \(SUP\)](#)

Rating the Adequacy of Risk Management Processes and Internal Controls at State Member Banks and Bank Holding

Companies

SR 95-46 (SPE)

Interpretation of Interagency Statement on Retail Sales of Nondeposit Investment Products

SR 94-34 (FIS)

Examination Procedures for Retail Sales of Nondeposit Investment Products

SR 94-11 (FIS)

Interagency Statement on Retail Sales of Nondeposit Investment Products

SR 93-37 (FIS)

Split-Dollar Life Insurance

SR 93-19 (FIS)

Supplemental Guidance for the Inspection of Nonbank Subsidiaries of Bank Holding Companies

SR 91-4 (SA)

Guidelines for the Inspection of Investment Adviser Subsidiaries of Bank Holding Companies

SR 90-31 (FIS)

Bank Holding Company Funding from Sweep Accounts

SR 90-26 (FIS)

Examination and Inspection Reports

SR 90-23 (FIS)

Questions and Interpretations Relating to the Implementation of the Risk-Based Capital Framework

SR 90-20 (FIS)

Bank Holding Company Funding and Liquidity

SR 90-19 (FIS)

Sale of Uninsured Debt Obligations and Securities Issued by Bank Holding Companies, Nonbank Affiliates, or State Member Banks on Retail Banking Premises