

**INSTRUCTIONS FOR EMPLOYEES FILING FORM FDIC 2410/07A  
CONFIDENTIAL REPORT OF INTEREST IN FDIC-INSURED DEPOSITORY  
INSTITUTION SECURITIES**

**Why the form FDIC 2410/07A is required**

Form FDIC 2410/07A helps ensure compliance with Section 3201.103 of the Supplemental Standards of Ethical Conduct for FDIC employees (5 CFR Part 3201). Section 3201.103 prohibits FDIC employees, their spouses, and minor children from acquiring, owning, or controlling, directly or indirectly, a security of an FDIC-insured depository institution, or an affiliate of an FDIC-insured depository institution.

There are certain exceptions to the general prohibition, including one for securities held prior to FDIC employment, that can be found at Section 3201.103(b)(1-6).

Form FDIC 2410/07A also helps ensure compliance with 18 U.S.C. Section 208, which prohibits employees from participating in any particular matter that might affect their financial interest.

**"Security" is defined broadly**

Form FDIC 2410/07A uses the broad definition of "security" found at Section 3201.101(d)(7) and includes interests in debt and equity instruments such as bonds, debentures, notes, securitized assets, commercial paper, and all types of preferred and common stock. "Security" includes an interest or a right in a security, whether current or contingent, a beneficial or legal interest derived from a trust, the right to acquire or dispose of any long or short position, an interest convertible into a security, and an option, right, warrant, put, or call with respect to a security. "Security" does not include a deposit account.

**Who must file the form FDIC 2410/07A and when**

All new FDIC employees, within 30 days of entering on duty, and current employees must file an updated form FDIC 2410/07A if:

- < He/she divests a previously reported security (within 30 days of divestiture);
- < He/she acquires a security pursuant to one of the exceptions to Section 3201.103.(b)(1-6) (within 30 days of the acquisition); or
- < A business in which he/she has a security converts from not being FDIC-insured to being FDIC-insured (within 30 days of receiving notice of the conversion).

**Information to include in Part I of form FDIC 2410/07A**

In Part I an employee reports any security of an FDIC-insured depository institution or affiliate that the employee, his/her spouse, and minor children have acquired, own or control.

If no securities are owned: If neither the employee, his/her spouse, nor minor children own a security of an FDIC-insured depository institution or its affiliate, mark the "None" box.

If securities are owned: If the employee, his/her spouse, or minor children own a security of an FDIC insured depository institution or affiliate, provide the following information:

- < Identify who owns the security by marking "SF" for self, "S" for the employee's spouse, "MC" for an employee's minor child, and "J" for joint ownership;
- < Identify the organization that is an FDIC-insured depository institution (or an affiliate of one) in which one of the persons covered by the rule owns a security;
- < Identify the type of security that is owned (e.g. stock, bond); and
- < Identify the date that the security was acquired or divested and how it was acquired or divested (e.g., purchase, gift, inheritance, marriage, or exercise of preemptive right).

## **Information to include in Part II of form FDIC 2410/07A**

In Part II an employee reports any financial interest that the employee, his/her spouse, or minor child holds through a pension or retirement plan, trust or other arrangement with an FDIC-insured depository institution. For example, an employee may have worked for an FDIC-insured depository institution before working for the FDIC and may keep a pension arrangement with his/her former employer. Even if the pension arrangement does not involve the employee's ownership of a security in the FDIC-insured depository institution, the arrangement with the FDIC-insured depository institution must be reported in Part II.

If no such interests are held: If neither the employee, his/her spouse, nor minor children have an interest that must be reported mark the "None" box.

If an interest is held: If the employee, his/her spouse, or minor children hold a financial interest with an FDIC-insured depository institution or its affiliate, provide the following information:

- < Identify who has the interest by marking "SF" for self, "S" for the employee's spouse, and "MC" for minor child;
- < Identify the organization that is an FDIC-insured depository institution (or an affiliate of one) with whom the interest is held;
- < Identify the nature of the interest (e.g., a pension plan); and
- < Identify the date that the interest was acquired or divested and how it was acquired or divested (e.g., acquired through the employee's previous employment).

## **Part III**

### **Signature and Certification. By his/her signature an employee certifies:**

- < His/her understanding that FDIC employees, their spouses and minor children are generally prohibited from acquiring, owning, or controlling, directly or indirectly, a security of an FDIC-insured depository institution, or an affiliate of an FDIC-insured depository institution, unless allowed by a specific exception to section 3201.103;
- < That if a security in an FDIC-insured depository institution is held pursuant to one of the exceptions to the general prohibition, the employee understands that he/she is disqualified from participating in any official FDIC business involving any FDIC-insured depository institution in which he/she holds a security or with whom he/she has a financial interest; and
- < That all of the information provided is true, complete and correct, and that the employee agrees to comply with the regulation.

### **What to do with the completed form FDIC 2410/07A**

- < Sign a completed copy of the form;
- < Make two copies of the completed and signed form;
- < Send the form with your original signature and one copy to your Deputy Ethics Counselor; and
- < Keep one copy for you records.

### **If you use the pre-printed triplicate form FDIC 2410/07:**

- < Keep the pink copy for your records; and
- < Send the white and the yellow copies to your Deputy Ethics Counselor.

See Page 2 for PRIVACY ACT STATEMENT prior to completing this form.

Federal Deposit Insurance Corporation  
**CONFIDENTIAL REPORT OF INTEREST IN FDIC-INSURED DEPOSITORY  
INSTITUTION SECURITIES**

**SECTION I - EMPLOYEE INFORMATION**

NAME (Last, First, MI)		SOCIAL SECURITY NUMBER	OFFICE TELEPHONE NUMBER
TITLE	BRANCH/SECTION	DIVISION/OFFICE/UNIT	LOCATION (W/O, R/O, SC, F/O)

**PART I - INTEREST IN FDIC-INSURED DEPOSITORY INSTITUTION SECURITIES**  **NONE**

List any financial interest through ownership of stock, stock options, bonds, or other securities in any FDIC-insured depository institution or affiliate, including a depository institution holding company held by you (SF), your spouse (S), jointly (J), or your minor child (MC).

**NOTICE:** FDIC employees are prohibited from acquiring, owning or controlling, directly or indirectly, a security of an FDIC-insured depository institution or an affiliate thereof, except as permitted by FDIC regulation. You are advised to read all of the Supplemental Standards of Ethical Conduct for FDIC employees, 5 CFR Part 3201.

SF, S, J, MC	NAME AND ADDRESS OF ORGANIZATION	NATURE OF INTEREST (Stocks, Bonds, etc.)	DATE AND MANNER OF ACQUISITION OR DIVESTITURE

**PART II - OTHER INTERESTS**  **NONE**

List any financial interest through a pension or retirement plan, trust or other arrangement, including arrangements resulting from any current or prior employment or business association, with any FDIC-insured depository institution or affiliate, including a depository institution holding company, held by you (SF), your spouse (S), or your minor child (MC).

SF, S, MC	NAME AND ADDRESS OF ORGANIZATION	NATURE OF INTEREST (Pension Plans, Trusts, etc.)	DATE AND MANNER OF ACQUISITION OR DIVESTITURE

**PART III - EMPLOYEE STATEMENT AND CERTIFICATION**

A. I understand that I may not acquire stock or exercise stock options in any FDIC-insured depository institution(s) unless permitted by law. Further, I fully understand that for as long as I hold any such interests, I am disqualified from participating in any official FDIC business involving any FDIC-insured depository institution(s) or any affiliate(s) thereof listed in Parts I and II above.

B. I certify that I have read and understand the notice and instructions on and accompanying this form. All information provided by me on this form is true, complete and correct to the best of my knowledge and belief; and I agree to comply with the regulation.

EMPLOYEE'S SIGNATURE	DATE
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**PART IV - EVALUATION OF ETHICS OFFICIAL (Mark an "x" in the applicable box below.)**

I have reviewed the above statements in light of the present and prospective duties of the individual to ensure that both actual and apparent conflicts of interests are avoided.

- Ownership of the interests disclosed above is in compliance with 5 CFR 3201.
- Ownership of the interests is NOT in compliance with 5 CFR 3201. Refer to the Ethics Section in Washington for resolution.

NAME OF ETHICS OFFICIAL (Please print)	ETHICS OFFICIAL'S SIGNATURE	DATE
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## PRIVACY ACT STATEMENT

**AUTHORITY:** The collection of the information required to be provided on this form is authorized by Title I of the Ethics in Government Act of 1978 (5 U.S.C. App.), E.O. 12674, 5 CFR Part 2634, Subpart I of the Office of Government Ethics regulations, 12 U.S.C. ' 1819, and 44 U.S.C. ' 3101.

**PURPOSE AND USE:** The primary use of the information reported on this form will be to determine compliance with the Supplemental Standards of Ethical Conduct for Employees of the Federal Deposit Insurance Corporation, 5 CFR Part 3201, supplement to 5 CFR Part 2635, the Office of Government Ethics regulations. The information reported on this form will not be disclosed to any requesting person unless authorized by law. All or part of the information may be disclosed outside the FDIC only where the Director of the Office of Government Ethics or the Chairman of the FDIC's Board of Directors determines that good cause has been shown for such disclosure:

- (1) To the appropriate Federal, state, or local agency or authority responsible for investigating or prosecuting a violation of, or enforcing or implementing a statute, rule, regulation, or order when the information indicates a violation or potential violation of law whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute or by regulation, rule, or order issued pursuant thereto.
- (2) To a congressional office in response to an inquiry made at the request of the subject individual.
- (3) To any source where necessary to obtain information relevant to a conflict-of-interest investigation or determination.
- (4) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to counsel or witnesses in the course of civil discovery, litigation or settlement negotiations, or in connection with criminal proceedings.

**EFFECTS OF NONDISCLOSURE AND FALSE STATEMENTS:** Disclosure of the requested information is mandatory. Falsification of information or failure to file or report information required to be reported may subject you to disciplinary action, including dismissal, by the Federal Deposit Insurance Corporation or other appropriate authority. Knowing and willful falsification of information required to be filed may also subject you to criminal prosecution under 18 U.S.C. ' 1001.