

**STATE OF NEW YORK**

**DEPARTMENT OF FINANCIAL SERVICES**

INITIAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF EQUITY SECURITIES  
(Filed pursuant to Section 130(7) of the Banking Law)

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(Name of bank or trust company)

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(Name of person whose ownership is reported)

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(Business address of such person)

Relationship of such person to the bank or trust company (See Instruction #5)

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Date of event which requires the filing of this statement (See Instruction #8)

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**EQUITY SECURITIES BENEFICALLY OWNED**

Title of equity security (Instruction #7)	Nature of ownership (Instruction #10)	Amount owed (Instruction #9)

Remarks: (See Instruction #11 and 12)

Date of statement \_\_\_\_\_

\_\_\_\_\_  
**Signature**

## Instructions

**1. Persons required to file statements.** A statement is required to be filed by every person who, at any time during any calendar month, was (i) directly or indirectly the beneficial owner of more than 10 percent of any class of equity securities of a bank or trust company, or (ii) a director or officer of the bank or trust company which is the issuer of such securities, and who, during such month, had any change in the nature or amount of his beneficial ownership of any class of equity securities of such bank or trust company. The term "officer" means a Chairman of the Board of Directors, Vice Chairman of the Board, Chairman of the Executive Committee, President, Vice President (except as indicated in the next sentence), Cashier, Treasurer, Secretary, Comptroller, and any other person who participates in major policy-making functions. In some institutions (particularly banks with officers bearing titles such as Executive Vice President, Senior Vice President, or First Vice President as well as a number of "Vice Presidents"), some or all "Vice Presidents" do not participate in major policy-making functions, and such persons are not officers for the purpose of this statement.

**2. When statements are to be filed.** Statements are required to be filed on or before 10<sup>th</sup> day after the end of each calendar month in which any change in the nature or amount of beneficial ownership has occurred.

**3. Where and how statements are to be filed.** Three copies of each statement, including at least one signed copy, shall be filed with the Superintendent of Financial Services, One State Street, New York, NY 10004.

**4. Separate statement for each bank or trust company.** A separate statement shall be filed with respect to the equity securities of each bank or trust company beneficially owned by a person required to report.

**5. Relationship of reporting person to bank or trust company.** Indicate clearly the relationship of the reporting person to the bank or trust company; for example, "Director", "Director and officer", "10% owner", etc.

**6. Transactions and holding to be reported.** Persons required to file statements shall include in their statements all changes during the calendar month in their beneficial ownership, and their beneficial ownership at the end of the month, of all classes of equity securities of the bank or trust company.

Every change in beneficial ownership shall be reported even though purchases and sales during the month are equal or the change involves only the nature of beneficial ownership (for example, from direct to indirect ownership or from one type of indirect ownership to another). Beneficial ownership at the end of the month of all classes of equity securities of the bank or trust company shall be shown even though there has been no reportable change during the month in the ownership of equity securities of a particular class.

**7. Title of equity security.** The statement of the title of an equity security should clearly distinguish it from any securities of other classes issued by the bank or trust company indicated.

**8. Date of transaction.** The exact date (month, day, and year) of each transaction shall be stated.

**9. Statement of amounts of equity securities.** In stating the amount of equity securities acquired, disposed of, or beneficially owned, give the face amount of convertible debt securities or the number of shares of stock or other units of other equity securities. In the case of equity securities owned indirectly, the entire amount of equity securities involved in the transaction or owned by the partnership, corporation, trust, or other entity shall be stated. The person whose ownership is reported may, if they so desire, also indicate in a footnote or other appropriate manner, the extent of their interest in the transaction or holdings of the partnership, corporation, trust or other entity.

**10. Nature of ownership.** Under "Nature of ownership", state whether ownership of the equity securities is "direct" or "indirect". If the ownership is indirect, i.e. through a partnership, corporation, trust, or other entity, indicate in a footnote or other appropriate manner, the name or identity of the medium through which the securities are indirectly owned. The fact that equity securities are held in the name of the broker or other nominee does not, of itself, constitute indirect ownership. Equity securities owned indirectly shall be reported on separate lines from those owned directly and also from those owned through a different type of indirect ownership.

**11. Character of transaction.** If the transaction in equity securities was with the bank or trust company, so state. If it involved the purchase of equity securities through the exercise of warrants or options, so state, give the termination date of the option or warrant, and give the exercise price per share. If any other purchase or sale was effected otherwise than in the open market, that fact shall be indicated. If the transaction was not a purchase or sale, indicate its character; for example, gift or stock dividend, stock split, or other type of pro rata distribution, etc., as the case may be. The foregoing information may be appropriately set forth in the table or under "Remarks" below the table.

**12. Inclusion of additional information.** If all or any part of the equity securities beneficially owned by the person required to report is pledged as collateral for a loan, the statement should indicate the name of the lender, the amount of the loan and the number of shares pledged. A statement may also include any additional information or explanation deemed relevant by the person filing the statement.

**13. Signature.** If the statement is filed for a corporation, partnership, trust, etc. the name of the organization shall appear over the signature of the officer or other person authorized to sign the statement. If the statement is filed for an individual, it shall be signed by the individual or the person authorized to sign on their behalf.