

million with debt outstanding to the general public or engaged in certain nonbank activities must file the FR Y-9C.

The FR Y-9LP includes standardized financial statements filed quarterly on a parent company only basis from each BHC that files the FR Y-9C. In addition, for tiered BHC's, a separate FR Y-9LP must be filed for each lower tier BHC.

The FR Y-9SP is a parent company only financial statement filed semiannually by one-bank holding companies with total consolidated assets of less than \$150 million, and multibank holding companies with total consolidated assets of less than \$150 million that meet certain other criteria. This report, an abbreviated version of the more extensive FR Y-9LP, is designed to obtain basic balance sheet and income statement information for the parent company, information on intangible assets, and information on intercompany transactions.

The FR Y-9CS is a free form supplement that may be utilized to collect any additional information deemed to be critical and needed in an expedited manner. It is intended to supplement the FR Y-9C and FR Y-9SP reports.

Current actions: On July 30, 2002, the Federal Reserve published a notice soliciting comments for 60 days on proposed revisions to the Financial Statements for Bank Holding Companies (67 FR 49356). The notice described the Federal Reserve proposal to implement the Financial Statements for Employee Stock Ownership Plan Bank Holding Companies (FR Y-9ES). The Federal Reserve Board has approved the implementation of the FR Y-9ES report effective for December 31, 2002. The FR Y-9ES will be filed annually by BHC's that are Employee Stock Ownership Plans (ESOP's) that currently submit either the FR Y-9LP or the FR Y-9SP. The FR Y-9ES will be collected as of December 31 and submitted to the Federal Reserve by July 31.

The Federal Reserve received comments from three financial institutions in response to the initial Federal Register notice. All three commenters were in favor of adopting the FR Y-9ES citing reduction in burden and the collection of data more representative of the activities of an ESOP. The Federal Reserve specifically sought comment on the proposed deadline for the FR Y-9ES. One response specifically addressed the proposed filing extension beyond the July 31 deadline for those institutions that have been granted extension for filing their IRS/DOL Form 5500. The comment strongly recommended that

adoption of the extension stating that institutions may be forced to estimate the data to meet the July 31 deadline and amend the report once Form 5500 was filed. The Federal Reserve has decided to grant extensions for respondents that send a copy of their IRS Form 5558 to the appropriate Reserve Bank by July 31.

Board of Governors of the Federal Reserve System, October 23, 2002.

**Jennifer J. Johnson,**

*Secretary of the Board.*

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## FEDERAL RESERVE SYSTEM

### Change in Bank Control Notices; Acquisition of Shares of Bank or Bank Holding Companies

The notificants listed below have applied under the Change in Bank Control Act (12 U.S.C. 1817(j)) and § 225.41 of the Board's Regulation Y (12 CFR 225.41) to acquire a bank or bank holding company. The factors that are considered in acting on the notices are set forth in paragraph 7 of the Act (12 U.S.C. 1817(j)(7)).

The notices are available for immediate inspection at the Federal Reserve Bank indicated. The notices also will be available for inspection at the office of the Board of Governors. Interested persons may express their views in writing to the Reserve Bank indicated for that notice or to the offices of the Board of Governors. Comments must be received not later than November 12, 2002.

**A. Federal Reserve Bank of Kansas City** (Susan Zubradt, Assistant Vice President) 925 Grand Avenue, Kansas City, Missouri 64198-0001:

1. *Nancy Louis Smith and Patrick Allen Brooks*, both of Chickasha, Oklahoma; to acquire voting shares of First Independent Bancorp, Inc., Chickasha, Oklahoma, and thereby indirectly acquire voting shares of The First National Bank and Trust Company, Chickasha, Oklahoma, Chickasha, Oklahoma.

Board of Governors of the Federal Reserve System, October 23, 2002.

**Robert deV. Frierson,**

*Deputy Secretary of the Board.*

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## FEDERAL RESERVE SYSTEM

### Formations of, Acquisitions by, and Mergers of Bank Holding Companies

The companies listed in this notice have applied to the Board for approval, pursuant to the Bank Holding Company Act of 1956 (12 U.S.C. 1841 *et seq.*) (BHC Act), Regulation Y (12 CFR Part 225), and all other applicable statutes and regulations to become a bank holding company and/or to acquire the assets or the ownership of, control of, or the power to vote shares of a bank or bank holding company and all of the banks and nonbanking companies owned by the bank holding company, including the companies listed below.

The applications listed below, as well as other related filings required by the Board, are available for immediate inspection at the Federal Reserve Bank indicated. The application also will be available for inspection at the offices of the Board of Governors. Interested persons may express their views in writing on the standards enumerated in the BHC Act (12 U.S.C. 1842(c)). If the proposal also involves the acquisition of a nonbanking company, the review also includes whether the acquisition of the nonbanking company complies with the standards in section 4 of the BHC Act (12 U.S.C. 1843). Unless otherwise noted, nonbanking activities will be conducted throughout the United States. Additional information on all bank holding companies may be obtained from the National Information Center website at [www.ffiec.gov/nic/](http://www.ffiec.gov/nic/).

Unless otherwise noted, comments regarding each of these applications must be received at the Reserve Bank indicated or the offices of the Board of Governors not later than November 22, 2002.

**A. Federal Reserve Bank of Chicago** (Phillip Jackson, Applications Officer) 230 South LaSalle Street, Chicago, Illinois 60690-1414:

1. *Herky Hawk Financial Corp.*, Monticello, Iowa; to acquire 100 percent of the voting shares of Munter Agency, Inc., Strawberry Point, Iowa, and thereby indirectly acquire voting shares of Union Bank and Trust Company, Strawberry Point, Iowa.

Board of Governors of the Federal Reserve System, October 24, 2002.

**Robert deV. Frierson,**

*Deputy Secretary of the Board.*

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