

**Spreadsheet File Transfer User Guide For
FFIEC009A**

Federal Reserve System

Federal Reserve Bank of New York
Application Development Services Function

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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 demonstrates how a reporting institution can create the file from a spreadsheet.

We used Microsoft Excel© for our examples but the same process can be applied to other spreadsheet software. The method utilized to create the file is at the discretion of the reporter. This guide assumes that your data already exist in a spreadsheet.

This document demonstrates how to create the file for the FFIEC009A (Country Exposure Information Report). We used formulae to pull the data from the spreadsheet worksheets containing the data and format them for Reporting Central.

File Format for FFIEC009A (Effective from 09/30/2016)

Report Header Record for FFIEC009A

The Report Header Record must be the first record in the file.

<u>Field</u>	<u>Length</u>	<u>Type</u>	<u>Value/Description</u>
Report Institution ID	10	NUM	10-digit respondent identifier
Report Name	10	ALPHA	'FIEC009A' followed by two blanks Note: The name of this series should be entered exactly as it is above, with one 'F'
Report As-of-date	10	NUM	10-digit date (MM-DD-YYYY) which represents the as-of-date of the report

Report Data Record for FFIEC009A

There must be one Report Data Record for each line of the report form.

<u>Field</u>	<u>Length</u>	<u>Type</u>	<u>Value/Description</u>
Line Identifier	6	ALPHA	L followed by 5-character Line Identifier of the line of the report form – see next section of this document for Line Identifiers.

The next pair of fields (the separator and the data value) **occurs 24 times**, once for each data column of the report, in the case of the FFIEC009A report, there are 24 columns per Line identifier.

+	1	ALPHA	'+' plus sign, used as field separator
Data Value	0-9	NUM	Numeric data value being reported for the particular data cell defined by that row and column. Value must be in one of the following formats: <ul style="list-style-type: none"> . An unsigned one to nine-digit value if positive (999999999); . zero (unsigned) if zero is the applicable value; . null, if the data field is not applicable.

Note: Do not zero fill the report. If you do not have data for a cell, please leave the cell null.

Report Text Record for FFIEC009A

<u>Field</u>	<u>Length</u>	<u>Type</u>	<u>Value/Description</u>
Line Identifier	9	ALPHA	L followed by 8-character Line Identifier - see next section of this document for Line Identifiers.
Beginning of text indicator	2	ALPHA	'__' 2 underscores used to indicate the beginning of the text.
Text	0-6,000	ALPHA	Variable length text field; apostrophe, double quotes, backslash, less than, underscore, and carriage control characters (e.g., hard return, tab) are not valid characters
End-of-text indicator	2	ALPHA	'__' 2 underscores used to indicate the end-of-text

Line Identifiers to be used for FFIEC009A

PART A - Information on exposure (as defined for Column 4) to any country that exceeds 1 percent of the reporting institution's total assets or 20 per-cent of its total capital, whichever is less.

<u>Code</u>	<u>Foreign Countries</u>	<u>Line Identifier</u>
<u>Europe</u>		
15105	Albania	L15105
10103	Andorra	L10103
16519	Armenia	L16519
10189	Austria	L10189
16527	Azerbaijan	L16527
13307	Bank for International Settlements	L13307
16209	Belarus	L16209
10251	Belgium	L10251
14109	Bosnia & Herzegovina	L14109
15202	Bulgaria	L15202
14214	Croatia	L14214
10405	Cyprus	L10405
15288	Czech Republic	L15288
10502	Denmark	L10502
15407	Estonia	L15407
13501	European Central Bank	L13501
10618	Faroe Islands	L10618
10707	Finland	L10707
10804	France	L10804
16535	Georgia	L16535
11002	Germany	L11002
11088	Gibraltar	L11088
11207	Greece	L11207
10545	Greenland	L10545
13006	Guernsey	L13006
13102	Holy See	L13102
15504	Hungary	L15504
11304	Iceland	L11304
11401	Ireland	L11401
13008	Isle of Man	L13008

11509	Italy	L11509
13007	Jersey	L13007
16543	Kazakhstan	L16543
13471	Kosovo	L13471
16551	Kyrgyzstan	L16551
15601	Latvia	L15601
11606	Liechtenstein	L11606
15709	Lithuania	L15709
11703	Luxembourg	L11703
14419	Macedonia	L14419
11819	Malta	L11819
16306	Moldova	L16306
12009	Monaco	L12009
13625	Montenegro	L13625
12106	Netherlands	L12106
12203	Norway	L12203
15768	Poland	L15768
12319	Portugal	L12319
15806	Romania	L15806
16101	Russia	L16101
12408	San Marino	L12408
13218	Serbia	L13218
15318	Slovakia	L15318
14338	Slovenia	L14338
12505	Spain	L12505
12602	Sweden	L12602
12688	Switzerland	L12688
16578	Tajikistan	L16578
12807	Turkey	L12807
16616	Turkmenistan	L16616
16403	Ukraine	L16403
13005	United Kingdom	L13005
16705	Uzbekistan	L16705

LATIN AMERICA/CARIBBEAN

30104	Argentina	L30104
35718	Belize	L35718
30201	Bolivia	L30201
30309	Brazil	L30309
30406	Chile	L30406
30503	Colombia	L30503
30589	Costa Rica	L30589
31003	Ecuador	L31003
31089	El Salvador	L31089
36307	Falkland Islands	L36307
36404	French Guiana	L36404
31208	Guatemala	L31208
31305	Guyana	L31305
31488	Honduras	L31488
31704	Mexico	L31704
31801	Nicaragua	L31801
31887	Panama	L31887
32107	Paraguay	L32107
32204	Peru	L32204
37702	Suriname	L37702
32603	Uruguay	L32603
32719	Venezuela	L32719
30228	Anguilla	L30228
35203	Antigua and Barbuda	L35203
35254	Aruba	L35254
35319	Bahamas	L35319
30155	Barbados	L30155
35602	Bermuda	L35602
36161	Bonaire, St Eustatius & Saba	L36161
36137	Cayman Islands	L36137
30708	Cuba	L30708
36188	Curacao	L36188
36218	Dominica	L36218
30805	Dominican Republic	L30805

35416	Eastern Caribbean Central Bank	L35416
36706	Grenada	L36706
36803	Guadalupe (and smaller French islands)	L36803
31402	Haiti	L31402
31607	Jamaica	L31607
37001	Martinique	L37001
37109	Montserrat	L37109
36471	St. Martin and St. Barthelemy	L36471
37303	St. Kitts and Nevis	L37303
37508	St. Lucia	L37508
36196	St. Maarten	L36196
37605	St. Vincent & the Grenadines	L37605
32409	Trinidad and Tobago	L32409
37818	Turks and Caicos islands	L37818
35807	Virgin Islands, British	L35807

ASIA/MIDDLE EAST

40401	Afghanistan	L40401
40703	Bahrain	L40703
40746	Bangladesh	L40746
40819	Bhutan	L40819
41009	Brunei	L41009
41106	Burma	L41106
41203	Cambodia	L41203
41408	China: Mainland	L41408
45004	East Timor	L45004
42005	Hong Kong	L42005
42102	India	L42102
42218	Indonesia	L42218
42307	Iran	L42307
42404	Iraq	L42404
42501	Israel	L42501
42609	Japan	L42609
42706	Jordan	L42706
44407	Korea, North	L44407

43001	Korea, South	L43001
43109	Kuwait	L43109
43303	Laos	L43303
43419	Lebanon	L43419
43508	Macau	L43508
43605	Malaysia	L43605
43702	Maldives	L43702
43818	Mongolia	L43818
44202	Nepal	L44202
44105	Oman	L44105
44709	Pakistan	L44709
44806	Philippines	L44806
45101	Qatar	L45101
45608	Saudi Arabia	L45608
46019	Singapore	L46019
41319	Sri Lanka	L41319
46205	Syria	L46205
46302	Taiwan	L46302
46418	Thailand	L46418
46604	United Arab Emirates	L46604
46906	Vietnam	L46906
47201	West Bank & Gaza	L47201
47104	Yemen	L47104

AFRICA

50105	Algeria	L50105
50202	Angola	L50202
50318	Bank of Central African States (BEAC)	L50318
51802	Benin	L51802
50504	Botswana	L50504
57118	Burkina Faso	L57118
50806	Burundi	L50806
51004	Cameroon	L51004
51209	Cape Verde	L51209
51306	Central African Republic	L51306

50644	Central Bank of West African States (BCEAO)	L50644
51403	Chad	L51403
51519	Comoros	L51519
51608	Congo (Brazzaville)	L51608
51705	Congo (Kinshasa)	L51705
53007	Cote d'Ivoire (Ivory Coast)	L53007
52302	Djibouti	L52302
57002	Egypt	L57002
51942	Equatorial Guinea	L51942
52019	Eritrea	L52019
52108	Ethiopia	L52108
52418	Gabon	L52418
52507	Gambia, The	L52507
52604	Ghana	L52604
52701	Guinea	L52701
54402	Guinea-Bissau	L54402
53104	Kenya	L53104
53155	Lesotho	L53155
53201	Liberia	L53201
53309	Libya	L53309
53406	Madagascar	L53406
53503	Malawi	L53503
53589	Mali	L53589
53708	Mauritania	L53708
53805	Mauritius	L53805
54518	Mayotte	L54518
54003	Morocco	L54003
54089	Mozambique	L54089
54127	Namibia	L54127
54208	Niger	L54208
54305	Nigeria	L54305
54607	Reunion	L54607
55018	Rwanda	L55018
55107	Saint Helena	L55107
55204	Sao Tome and Principe	L55204
55301	Senegal	L55301

55409	Seychelles	L55409
55506	Sierra Leone	L55506
55603	Somalia	L55603
55719	South Africa	L55719
53392	South Sudan	L53392
56103	Sudan	L56103
56219	Swaziland	L56219
56405	Tanzania	L56405
56502	Togo	L56502
56707	Tunisia	L56707
56804	Uganda	L56804
56006	Western Sahara	L56006
57207	Zambia	L57207
54704	Zimbabwe	L54704

OTHER CONTRIES

60089	Australia	L60089
60208	British Indian Ocean Territory	L60208
60402	Cook Islands	L60402
60607	Fiji	L60607
60704	French Polynesia	L60704
60526	Kiribati	L60526
61204	Marshall Islands	L61204
60305	Micronesia, Federated States of	L60305
61301	Nauru	L61301
61409	New Caledonia	L61409
61689	New Zealand	L61689
61808	Niue	L61808
62502	Palau	L62502
61751	Papua New Guinea	L61751
62103	Pitcairn Islands	L62103
62219	St. Pierre and Miquelon	L62219
62618	Samoa	L62618
62308	Solomon Islands	L62308
62405	Tokelau Islands	L62405

62448	Tonga	L62448
60518	Tuvalu	L60518
61603	Vanuatu	L61603
60119	Wallis and Fortuna	L60119
29998	Canada	L29998

INT'L & REGIONAL

72907	International	L72907
73903	European	L73903
74918	Latin American	L74918
74942	Caribbean	L74942
75906	Asian	L75906
76902	African	L76902
77909	Middle Eastern	L77909

PART B - Information on exposures (as defined in Part A, Column 4) to any country **not** listed in Part A, where exposure exceeds 0.75 percent but does not exceed 1 percent of the reporting institution's assets or is between 15 percent and 20 percent of its total capital, whichever is less.

NOTE: For each of the following 15 Country lines, you must enter a country code or a null (i.e., a plus sign "+") followed by eight (8) trailing nulls, such as: (e.g., L9201+15105+++++).

Use Part A to determine the 5-digit country code of the country you are reporting.

<u>Foreign Countries</u>	<u>Code</u>	<u>Line Identifier</u>
Country #1	Code of country where exposures meet the reporting criteria stated for Part B	L9201
Country #2	Code of country where exposures meet the reporting criteria stated for Part B	L9202
Country #3	Code of country where exposures meet the reporting criteria stated for Part B	L9203
Country #4	Code of country where exposures meet the reporting criteria stated for Part B	L9204
Country #5	Code of country where exposures meet the reporting criteria stated for Part B	L9205

Country #6	Code of country where exposures meet the reporting criteria stated for Part B	L9206
Country #7	Code of country where exposures meet the reporting criteria stated for Part B	L9207
Country #8	Code of country where exposures meet the reporting criteria stated for Part B	L9208
Country #9	Code of country where exposures meet the reporting criteria stated for Part B	L9209
Country #10	Code of country where exposures meet the reporting criteria stated for Part B	L9210
Country #11	Code of country where exposures meet the reporting criteria stated for Part B	L9211
Country #12	Code of country where exposures meet the reporting criteria stated for Part B	L9212
Country #13	Code of country where exposures meet the reporting criteria stated for Part B	L9213
Country #14	Code of country where exposures meet the reporting criteria stated for Part B	L9214
Country #15	Code of country where exposures meet the reporting criteria stated for Part B	L9215
TOTAL	Total amount of exposure to all of the countries listed in Part B	L5223

Part B

Text Item

CEXA5224	Statement by management of the reporting institution concerning the information reported above	L5224
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NOTE1: The Statement text should not contain underscores before and after the text (as is done for other text fields) but the + separator should be used before and after the text, such as: (e.g., L5224+Sample Remarks+).

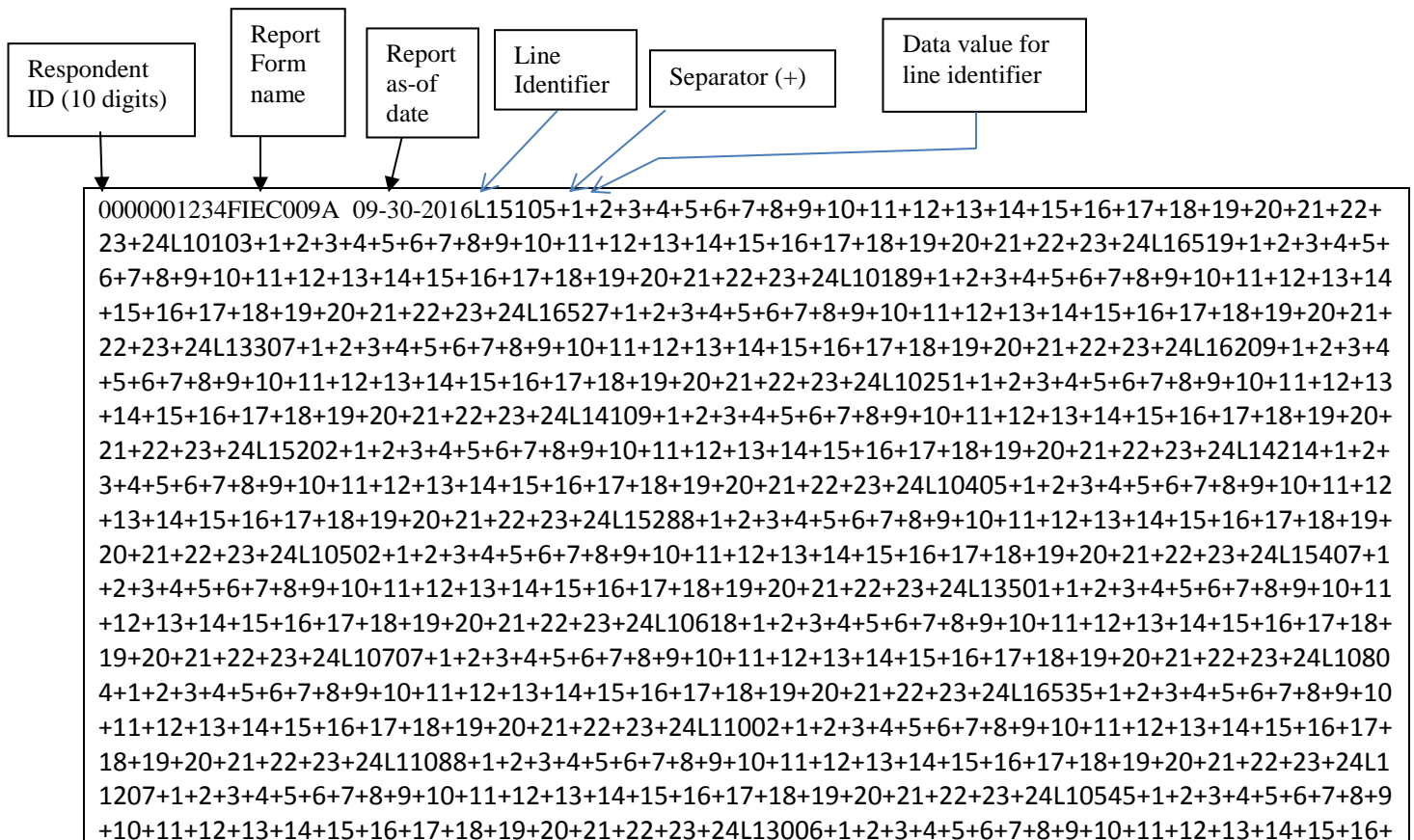
NOTE2: There is a limitation that the Statement text cannot contain a capital L, because it will be considered a Line Identifier.

Cover Page

Text Item

CEXA9017	Reporting institution	LCEXA9017
CEXA9130	City	LCEXA9130
CEXA9200	State	LCEXA9200
CEXA9224	Legal Entity Identifier (LEI) of the Reporting Institution (Report only if the reporting institution already has an LEI)	LCEXA9224
CEXA8901	Name of the person to whom inquiries regarding this report may be directed	LCEXA8901
CEXAC496	Title of the person to whom inquiries regarding this report may be directed	LCEXAC496
CEXA8902	Phone number of the person to whom inquiries regarding this report may be directed	LCEXA8902

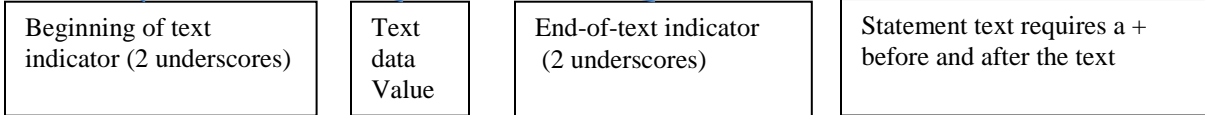
FIGURE 1 - EXAMPLE TEXT FILE FOR FFIEC009A




```

13+14+15+16+17+18+19+20+21+22+23+24L61689+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+18+19+2
0+21+22+23+24L61808+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+18+19+20+21+22+23+24L62502+1+
2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+18+19+20+21+22+23+24L61751+1+2+3+4+5+6+7+8+9+10+11+
12+13+14+15+16+17+18+19+20+21+22+23+24L62103+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+18+1
9+20+21+22+23+24L62219+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+18+19+20+21+22+23+24L62618
+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+18+19+20+21+22+23+24L62308+1+2+3+4+5+6+7+8+9+10+
11+12+13+14+15+16+17+18+19+20+21+22+23+24L62405+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+1
8+19+20+21+22+23+24L62448+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+18+19+20+21+22+23+24L60
518+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+18+19+20+21+22+23+24L61603+1+2+3+4+5+6+7+8+9+
10+11+12+13+14+15+16+17+18+19+20+21+22+23+24L60119+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+1
7+18+19+20+21+22+23+24L29998+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+18+19+20+21+22+23+24
L72907+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+18+19+20+21+22+23+24L73903+1+2+3+4+5+6+7+8
+9+10+11+12+13+14+15+16+17+18+19+20+21+22+23+24L74918+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+1
6+17+18+19+20+21+22+23+24L74942+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+18+19+20+21+22+23
+24L75906+1+2+3+4+5+6+7+8+9+10+11+12+13+14+15+16+17+18+19+20+21+22+23+24L76902+1+2+3+4+5+6+
7+8+9+10+11+12+13+14+15+16+17+18+19+20+21+22+23+24L77909+1+2+3+4+5+6+7+8+9+10+11+12+13+14+
15+16+17+18+19+20+21+22+23+24+9L9201+15105+++++L9202+10103+++++
+++++L9203+16519+++++L9204+10189+++++L9205+16527+++++
+++++L9206+13307+++++L9207+16209+++++L9208
+10251+++++L9209+14109+++++L9210+15202+++++
+++++L9211+14214+++++L9212+10405+++++L9213+15288+++++
+++++L9214+10502+++++L9215+115407+++++L5223+
34+++++L5224+Sample Remarks+ LCEXA9017__The Big Bank N.A.__
LCEXA9130__Woodmere__LCEXA9200__NY__LCEXA8901__Joe Blow__LCEXAC496__EVP__LCEXA8902__516-
371-9999__LCEXA9224__112233445566778000__

```



Note: Do not zero fill the report. If you do not have data for a cell, please leave the cell null.

The Text file can be generated automatically via applications or manually on a text editor, such as notepad or it can also be created in MS Excel file and then saved as a text file. Just remember that the final format has to follow the above format and in the proper Line identifier sequence.

How to create a FFIEC009A Text file from a spreadsheet

Step 1. Create a spreadsheet with a layout similar to the FFIEC009A report form, along with its corresponding Line identifiers and its data value for each item on the FFIEC009A report form. A sample picture of a portion of the form is displayed below. In this sample, the respondent ID, series and date are in rows 1 to 3, cover page text in rows 7 to 13, and the PART A data start at line 15. Columns A and B are for documentation purposes, the line identifier in column C, and values 1 through 24 in columns D through AA. Note that this is an example. The actual position of the items in Sheet 1 can be different and the formulas in Sheet 2 adjusted accordingly. The cover page items can be at the beginning or at the end of the spreadsheet and text file.

	A	B	C	D	E	F	G	H	I	J
1			Line Identifier	Col 1 Value	Col 2 Value	Col 3 Value	Col 4 Value	Col 5 Value	Col 6 Value	Col 7 Value
2	Respondent ID	0000001511								
3	Series	FFIEC009A								
4	as-of-date	09/30/2016								
5										
6	Cover Page									
7		Reporting Institution	LCEXA9017	The Big Bank N.A.						
8		City	LCEXA9130	Woodmere						
9		State	LCEXA9200	NY						
10		Name	LCEXA8901	Joe Blow						
11		Title	LCEXAC496	EVP						
12		Area Code/Phone Number	LCEXA8902	516-371-9999						
13		Legal Entity Identifier	LCEXA9224	112233445566778000						
14	PART A									
15	15105	Albania	L15105		1	1	1	1	1	1
16	10103	Andorra	L10103							
17	16519	Armenia	L16519							
18	10189	Austria	L10189							
19	16527	Azerbaijan	L16527							
20	13307	Bank for International Settlements	L13307							
21	16209	Belarus	L16209							
22	10251	Belgium	L10251							

Assumption: Your data is entered in Sheet1.

Note: The entire 24 columns of data that the FFIEC009A form contains cannot be displayed in the above picture. The column titles were given a generic column number name, but you may type in the correct column description as it appears on the actual FFIEC009A form name. The data values were entered as a number sequence for illustrative purposes, you will have to type in the correct data values.

The PART B data start after the last line of PART A, line identifier L77909. Format is similar to that of PART A except that there is only one column of data.

	A	B	C	D	E
			Line Identifier	Col 1 Value	Col 2 Value
3	77909	Middle Eastern	L77909		
4					
5	PART B				
5		Part B country 1	L9201		31488
7		Part B country 2	L9202		13005
3		Part B country 3	L9203		
9		Part B country 4	L9204		
0		Part B country 5	L9205		
L		Part B country 6	L9206		
2		Part B country 7	L9207		
3		Part B country 8	L9208		
4		Part B country 9	L9209		
5		Part B country 10	L9210		
5		Part B country 11	L9211		
7		Part B country 12	L9212		
3		Part B country 13	L9213		
9		Part B country 14	L9214		
0		Part B country 15	L9215		
L					
2		Part B Total	L5223		38888
3		Part B Optional comment	L5224	No comment	
4					

Step 2. Once the entire report form is populated on a spreadsheet and the data values have been entered, it is time to format all of your entries from Line identifier L15105 up to and including L77909 into a Reporting Central required format. The assumption for the following formulas is that the line identifier starts in Cell C15 on the MS Excel file and the data values for the first identifier starts in column D15 and goes up to cell AA15.

Create a formula in cell A1 of Sheet2 to format the respondent ID, series and date from Sheet 1:

```
=TEXT(Sheet1!B2,"0000000000")&LEFT(TRIM(Sheet1!B3)&" ",10)&TEXT(Sheet1!B4,"mm-dd-yyyy")
```

Create a formula in cell A2 of Sheet 2 to format the cover page text from row 7 of Sheet 1:

```
=Sheet1!C7&"__"&Sheet1!D7&"__"
```

Copy this formula for the other cover page text items.

Create a formula in cell A9 to pull in the data from row 15 of Sheet 1:

```
=Sheet1!C15&"+"&Sheet1!D15&"+"&Sheet1!E15&"+"&Sheet1!F15&"+"&Sheet1!G15&"+"&Sheet1!H15&"+"&Sheet1!I15&"+"&Sheet1!J15&"+"&Sheet1!K15&"+"&Sheet1!L15&"+"&Sheet1!M15&"+"&Sheet1!N15&"+"&Sheet1!O15&"+"&Sheet1!P15&"+"&Sheet1!Q15&"+"&Sheet1!R15&"+"&Sheet1!S15&"+"&Sheet1!T15&"+"&Sheet1!U15&"+"&Sheet1!V15&"+"&Sheet1!W15&"+"&Sheet1!X15&"+"&Sheet1!Y15&"+"&Sheet1!Z15&"+"&Sheet1!AA15
```

Then copy the formula down until L77909 is displayed on Sheet2.

The formula that you typed in concatenates the line identifier with all of the data values but separated with a plus sign.

For the Part B data lines, create formula similar to that of Part A and copy to all the lines.

```
=Sheet1!C266&"+"&Sheet1!D266&"+"&Sheet1!E266&"+"&Sheet1!F266&"+"&Sheet1!G266&"+"&Sheet1!H266&"+"&Sheet1!I266&"+"&Sheet1!J266&"+"&Sheet1!K266&"+"&Sheet1!L266&"+"&Sheet1!M266&"+"&Sheet1!N266&"+"&Sheet1!O266&"+"&Sheet1!P266&"+"&Sheet1!Q266&"+"&Sheet1!R266&"+"&Sheet1!S266&"+"&Sheet1!T266&"+"&Sheet1!U266&"+"&Sheet1!V266&"+"&Sheet1!W266&"+"&Sheet1!X266&"+"&Sheet1!Y266&"+"&Sheet1!Z266&"+"&Sheet1!AA266
```

The formula for the Part B text line is similar to that of the Cover Page text lines:

```
=Sheet1!C283&"__"&Sheet1!D283&"__"
```