

2023 NYC BANK DESIGNATION PROCESS

A recording of the session will be made available on the NYC Banking Commission section of the Department of Finance website.

[NYC Banking Commission](#)

HOSTS

- ▶ Mary Christine Jackman, Treasurer
- ▶ Hua Tan, Banking Director
- ▶ Antonio Whitaker, Dep. Director

AGENDA

- ▶ NYC Banking Commission - Bank Designation Requirements
- ▶ Certified Statement Certificates
- ▶ 2023 Designation Requirements Checklist
- ▶ Axway Secure Transport Instructions
- ▶ Q&A session

BANK DESIGNATION REQUIREMENTS

- ▶ Role of NYC Banking Commission
- ▶ Purpose & requirements for bank designation
- ▶ Criteria for meeting designation requirements

TITLE 22: BANKING COMMISSION

DESIGNATION REQUIREMENTS

CERTIFIED STATEMENTS CERTIFICATES

- ▶ Explanation of certified statement certificates
- ▶ Process for obtaining certificates
- ▶ Filing with City Clerk

(Certificates # 10, 11, and 16)

NYC

Non-discrimination in Hiring Certificate
Pursuant to NYC Charter § 1524(2)(a)(2)
Item #10 of Designation Requirements

I, _____ (print), the undersigned, a duly authorized officer of _____ (bank name) do hereby certify the following:

1. The bank's board of directors has established and will adhere to the attached policy of hiring and promotion of employees and officers without regard to race, color, religion, religious affiliation, sex, sexual orientation, national origin, marital status, disability, or age and further the bank has affirmatively taken the attached list of steps to implement said policy.
2. This certificate has been filed with the City Clerk, a true copy of which is attached.

IN WITNESS WHEREOF, I have affixed my signature on this _____ (day) of _____ (month), 2023.

Signature: _____

Officer Name: _____

Office Title: _____

Date: _____

#10

NYC

Non-discrimination in Banking Services
Pursuant to 22 RCNY § 1-03(c)(2)(ii)
Item #11 of Designation Requirements

I, _____ (print), the undersigned, a duly authorized officer of _____ (bank name) do hereby certify the following:

1. The bank adheres and will adhere to all equal credit opportunity laws and the bank's board of directors has established and will adhere to the attached policy of nondiscrimination in the bank's delivery of banking services to all customers in New York City, including account openings and the offering and extension of credit, which dealings shall at all times be conducted without regard to race, color, religion, religious affiliation, sex, sexual orientation, national origin, marital status, disability or age; and further the bank has developed the attached detailed plan and affirmatively taken the further attached list of steps to implement and monitor said policy.
2. This certificate has been filed with the City Clerk, a true copy of which is attached.

IN WITNESS WHEREOF, I have affixed my signature on this _____ (day) of _____ (month), 2023.

Signature: _____

Officer Name: _____

Office Title: _____

Date: _____

#11

NYC

Report on Branch Network
Pursuant to 22 RCNY § 1-03(c)(3)
Item #12 of Designation Requirements

I, _____ (print), the undersigned, a duly authorized officer of _____ (bank name) do hereby certify the following:

- Attached is a report on the branch network activities of our bank, that includes, but is not limited to:
- (i) the address, county, ZIP code and census tract of each branch that was opened, closed, or involved in a consolidation, acquisition or sale during the three prior calendar years and during the current calendar year, or that is planned to be opened, closed or involved in a consolidation, acquisition or sale during the current calendar year, and the date such transaction became or will become effective; and
 - (ii) for each branch closing occurring in the prior calendar year:
 - (A) the reasons for such closing, with any supporting information stated in belief;
 - (B) the past three years', present and projected financial analyses of deposits at the closed branch, including but not limited to historical and projected profit and loss information, and brief descriptions of other material factors in the closing of the branch; and
 - (C) a detailed map of the general area served by such branch, showing the distance from remaining bank facilities or offices of such bank or other institutions providing branch banking services within such area.

IN WITNESS WHEREOF, I have affixed my signature on this _____ (day) of _____ (month), 2023.

Signature: _____

Officer Name: _____

Office Title: _____

Date: _____

#12

NYC

Policy on Branching Closings Certificate
Pursuant to 22 RCNY § 1-03(c)(2)(iii)
Item #16 of Designation Requirements

I, _____ (print), the undersigned, a duly authorized officer of _____ (bank name) do hereby certify the following:

1. Attached is the bank's policy regarding branch closings, and the specific steps affirmatively taken by the bank to implement and monitor said policy. Such policy includes but is not limited to:
 - (A) the criteria for evaluating the necessity of a branch closing;
 - (B) the process of assessing the impact of the branch closing on the community;
 - (C) the procedure for notifying a community of a branch closing, including but not limited to, the persons to be notified and the timing of such notification; and
 - (D) any plans for the continuation of service to the affected community.
2. This certificate has been filed with the City Clerk, a true copy of which is attached.

IN WITNESS WHEREOF, I have affixed my signature on this _____ (day) of _____ (month), 2023.

Signature: _____

Officer Name: _____

Office Title: _____

Date: _____

#16

NYC

Changes in Branch Network Certification
Pursuant to 22 RCNY § 1-03(c)(5)
Item #17 of Designation Requirements

I, _____ (print), the undersigned, a duly authorized officer of _____ (bank name) do hereby certify the following:

- The bank will submit written notice to the Commission of changes in the bank's branch network, as follows:
- (i) for a branch closing, notice of at least ninety days in advance of the date such closing becomes effective;
 - (ii) for a branch sale, notice of at least ninety days in advance of the date such sale becomes effective, or upon approval of the transaction by the bank regulator, whichever is later; and
 - (iii) for a change in location of an existing branch, notice of at least ninety days in advance of such change or when the date of such change in location is known, whichever is later.

Notices should be sent to NYCBankingCommission@finance.nyc.gov.

IN WITNESS WHEREOF, I have affixed my signature on this _____ (day) of _____ (month), 2023.

Signature: _____

Officer Name: _____

Office Title: _____

Date: _____

#17

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DESIGNATION REQUIREMENT CHECKLIST

Overview of the 2023 checklist

Detail each item on the checklist

Importance of following
checklist for compliance

AXWAY SECURE TRANSPORT INSTRUCTIONS

- ▶ Explanation of secure transport importance
- ▶ Steps to ensure secure transport
- ▶ Examples of secure transport methods

Q&A

**THANK YOU FOR
JOINING US!**