

• To the Firm-Wide Metrics section, severance costs would be added, and certain data items that correspond to FR Y-9C would be added to the annual worksheet to collect projection data in order to compare the business line perspective of the FR Y-14 to the FR Y-9C items.

The Federal Reserve also proposes a one-time collection of the historical data only for these new data items on the *PPNR Submission worksheet*, the *PPNR NII worksheet*, and the *PPNR Metrics worksheet* (from first quarter 2009 through second quarter 2012) including elimination of the one-time data items exclusions. BHCs should have the historical data for the new data items available or would be able to calculate them. In third quarter 2011, the Federal Reserve collected data dating back to 2009 when PPNR data was collected for the first time under the FR Y-14. The historical data previously collected is used to assess trends in PPNR results among the BHCs and to assess whether the projections presented in the FR Y-14A are consistent with past performance. Based on the reasons stated above the Federal Reserve also proposes requiring BHCs that are newly subject to the FR Y-14 reporting requirements to submit historical data (back to first quarter 2009) with their first quarter data submission.

General Revisions to the FR Y-14A/Q/M

Respondent Panel

The Federal Reserve proposes revising the respondent panel to be consistent with the scope of application in the notice of proposed rulemaking regarding enhanced prudential standards. As revised, the respondent panel would be defined as: "Any top-tier bank holding company (other than a foreign banking organization), that has \$50 billion or more in total consolidated assets, as determined based on: (i) The average of the bank holding company's total consolidated assets in the four most recent quarters as reported quarterly on the bank holding company's Consolidated Financial Statements for Bank Holding Companies (FR Y-9C); or (ii) the average of the bank holding company's total consolidated assets in the most recent consecutive quarters as reported quarterly on the bank holding company's FR Y-9Cs, if the bank holding company has not filed an FR Y-9C for each of the most recent four quarters." The Federal Reserve also proposes expanding the respondent panel to include the 11 large BHCs that meet the asset threshold for reporting but that did not participate in the

previous 2009 SCAP or CCAR 2011 exercises, except for SR 01-01 firms. As of September 30, 2011, there were approximately 33 large BHCs.¹⁵ The asset threshold of \$50 billion is consistent with the threshold established by section 165 of the Dodd-Frank Act relating to enhanced supervision and prudential standards for certain BHCs.

Attestation

The Federal Reserve proposes requiring the signature of the BHCs' CFO (or the individual performing this equivalent function) on the FR Y-14 submission. The Federal Reserve proposes adding a new cover page to provide the appropriate attestation language (consistent, as appropriate, with the FR Y-9C) and stating in the general reporting instructions for the FR Y-14A, Q, and M the following:

The Capital Assessments and Stress Testing (FR Y-14A/Q/M) data submission must be signed by the Chief Financial Officer of the BHC (or by the individual performing this equivalent function). By signing the cover page of this report, the authorized officer acknowledges that any knowing and willful misrepresentation or omission of a material fact on this report constitutes fraud in the inducement and may subject the officer to legal sanctions provided by 18 U.S.C. 1001 and 1007.

Bank holding companies must maintain in their files a manually signed and attested printout of the data submitted. The cover page from the Federal Reserve's Web site reporting form should be used to fulfill the signature and attestation requirement and this page should be attached to the printout placed in the bank holding company's files.

Contact Information

The Federal Reserve proposes collecting contact information for each of the reported schedules to facilitate and expedite responses to follow up questions. Consistent with the cover page of the FR Y-9C, each schedule would include the statement, "Person to whom questions about this schedule should be directed," and would collect name/title, phone number, fax number, and email address.

Request for Additional Feedback

The Federal Reserve is seeking additional feedback on the following questions from first-time respondents of

the FR Y-14Q/M on ways to reduce reporting burden:

1. Should the Federal Reserve allow a transition period during which first-time respondents of the FR Y-14Q/M may (1) use a tailored materiality threshold, (2) submit the schedules under an extended filing deadline, or (3) both?

2. If a transition period is allowed, how long should it be? Would a tailored materiality threshold of 25% of tier 1 capital or a threshold of 100% of tier 1 capital be more appropriate? For the quarterly and monthly filings, how much additional time should the Federal Reserve allow for filing the schedules?

The Federal Reserve is seeking feedback on the following question from all respondents on the Basel III/Dodd-Frank schedule.

3. On June 12, 2012, the Federal Reserve Board, the OCC, and the FDIC published a joint press release seeking comment on three proposed rulemakings that would revise and replace the agencies' current capital rules (the Basel III proposed rulemakings) and announcing the finalization of the Market Risk Capital rulemaking. The Board's press release with the pre-published rulemakings is available on the Board's public Web site at: www.federalreserve.gov/newsevents/press/bcreg/20120612a.htm. With respect to the annual and quarterly Basel III/Dodd-Frank schedules (except for that portion which relates to market RWAs), what are the costs and benefits associated with allowing BHCs to continue to follow existing BCBS guidance on Basel III, given that some aspects of any final rule implementing Basel III in the United States, may differ significantly from the BCBS guidance, and in particular those aspects of the guidance involving securitization exposures and credit ratings? On what basis (BCBS guidance, the proposed rulemakings, or some combination thereof) should the Basel III/Dodd-Frank schedules be based and why?

Board of Governors of the Federal Reserve System, June 29, 2012.

Jennifer J. Johnson,
Secretary of the Board.

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¹⁵ Although 33 BHCs currently meet the reporting asset threshold, three are SR 01-01 BHCs and are therefore exempt from reporting. SR 01-01 (Application of the Board's Capital Adequacy Guidelines to BHCs owned by Foreign Banking Organizations) states, "as a general matter, a U.S. BHC that is owned and controlled by a foreign bank that is an FHC that the Board has determined to be well-capitalized and well-managed will not be required to comply with the Board's capital adequacy guidelines."

FEDERAL RESERVE SYSTEM

Change in Bank Control Notices; Acquisitions of Shares of a Bank or Bank Holding Company

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 shares of 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 offices 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 July 16, 2012.

A. Federal Reserve Bank of Minneapolis (Jacqueline G. King, Community Affairs Officer) 90 Hennepin Avenue, Minneapolis, Minnesota 55480-0291:

1. *Thomas Watson, Grand Forks, North Dakota, as an individual and as trustee, and Thomas Watson and Toby Kommer*, Fargo, North Dakota, as trustees of the Bank Forward Employee Stock Ownership Plan, Hannaford, North Dakota ("ESOP"), to acquire control of Security State Bank Holding Company, Fargo, North Dakota ("Company"), and thereby indirectly acquire control of Bank Forward, Hannaford, North Dakota. In addition, Mr. Watson and Mr. Kommer, and the ESOP, have applied as a group acting in concert to control Company.

Board of Governors of the Federal Reserve System, June 29, 2012.

Jennifer J. Johnson,
Secretary of the Board.

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DEPARTMENT OF HEALTH AND HUMAN SERVICES

Designation of a Class of Employees for Addition to the Special Exposure Cohort

AGENCY: National Institute for Occupational Safety and Health (NIOSH), Centers for Disease Control and Prevention, Department of Health and Human Services (HHS).

ACTION: Notice.

SUMMARY: HHS gives notice of a decision to designate a class of employees from the Feed Materials Production Center (FMPC) in Fernald, Ohio, also known as the Fernald Environmental Management Project (FEMP), as an addition to the Special Exposure Cohort (SEC) under the Energy Employees Occupational Illness

Compensation Program Act of 2000. On June 27, 2012, the Secretary of HHS designated the following class of employees as an addition to the SEC:

All employees of DOE, DOE contractors, or subcontractors who worked at all locations at the Feed Materials Production Center (FMPC) in Fernald, Ohio, also known as the Fernald Environmental Management Project (FEMP), from January 1, 1968, through December 31, 1978, for a number of work days aggregating at least 250 work days, occurring either solely under this employment or in combination with work days within the parameters established for one or more classes of employees included in the Special Exposure Cohort.

This designation will become effective on July 27, 2012, unless Congress provides otherwise prior to the effective date. After this effective date, HHS will publish a notice in the **Federal Register** reporting the addition of this class to the SEC or the result of any provision by Congress regarding the decision by HHS to add the class to the SEC.

FOR FURTHER INFORMATION CONTACT:

Stuart L. Hinnefeld, Director, Division of Compensation Analysis and Support, NIOSH, 4676 Columbia Parkway, MS C-46, Cincinnati, OH 45226, Telephone 1-877-222-7570. Information requests can also be submitted by email to DCAS@CDC.GOV.

John Howard,

Director, National Institute for Occupational Safety and Health.

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DEPARTMENT OF HEALTH AND HUMAN SERVICES

Office of the Secretary

Findings of Research Misconduct

AGENCY: Office of the Secretary, HHS.

ACTION: Notice.

SUMMARY: Notice is hereby given that the Office of Research Integrity (ORI) has taken final action in the following case:

Sinae Kim, Ph.D., Emory University: Based on the report of an investigation conducted by Emory University (EU) and additional analysis conducted by ORI in its oversight review, ORI found that Dr. Sinae Kim, former Postdoctoral Fellow, Department of Medicine, EU, engaged in research misconduct in research supported by National Heart, Lung, and Blood Institute (NHLBI), National Institutes of Health (NIH), grants R01 HL079137, R01 HL084471, and R03 HL096325, and National Institute of General Medical Sciences (NIGMS), NIH, grant RC1 GM092035.

FOR FURTHER INFORMATION CONTACT: John Dahlberg, Ph.D., Director, Division of Investigative Oversight, Office of Research Integrity, 1101 Wootton Parkway, Suite 750, Rockville, MD 20852, (240) 453-8800.

SUPPLEMENTARY INFORMATION: ORI found that the Respondent engaged in research misconduct by falsifying data that were included in five (5) manuscripts submitted in 2009 for publication to *Blood*, *Nature*, *Nature Biotechnology*, *Nature Medicine*, and *Science*, one (1) poster presented at the 2009 American Heart Association (AHA) meeting, four (4) laboratory meeting presentations, one (1) image file, three (3) funded NIH grants (RC1 GM092035, R01 HL079137, and R03 HL096325), and five (5) submitted NIH grant applications (RC1 HL100648-01, RC2 HL101600-01, RC4 HL106748-01, R01 HD067130-01, and U01 HL107444-01). The manuscripts submitted in 2009 were not accepted for publication.

Specifically, ORI finds that the Respondent knowingly and intentionally:

1. Falsified three (3) figures for immunocytochemistry and alkaline phosphatase (AP) staining images, karyotyping and real-time reverse transcription polymerase chain reaction (RT-PCR) results by using experimental results from her prior work in Korea with human embryonic stem cells (hESCs) to confirm the generation, differentiation, and verification of human induced pluripotent stem cells (iPSCs). The false data were included in:
 - a. Figures 1c and 2i (panels #4 & 13) in the *Nature* 2009, *Science* 2009, and *Nature Biotechnology* 2009 manuscripts and Supplementary Figure 4 in the *Nature* 2009 manuscript
 - b. Supplementary Figure 5 in the *Nature Biotechnology* 2009 manuscript
 - c. Figures S1B and S1D (panels #4 & 13) in the *Blood* 2009 manuscript
 - d. Supplementary Figures 8B and 8D (panels #4 & 13) in the *Nature Medicine* 2009 manuscript
 - e. Figure 9 in the RC1 GM092035 grant
 - f. Figure 8 in the R01 HL079137 grant
 - g. Figure 2 in the RC1 HL100648 grant
 - h. Figure 8 in the RC2 HL101600 grant
 - i. Figure 3 in the R01 HD067130 grant
 - j. Figure 1 in the RC4 HL106748 grant
 - k. Figures 1C, 1H, and 1I (panel #3) in the R03 HL096325 grant
 - l. Figure 5 in the U01 HL107444 grant
 - m. Figures 2C and 3I (panels #4 & 13) in the poster presented at the 2009 AHA meeting
 - n. The presentations 'Figures_Sinae_Kim_120808.ppt' and 'Figures_Sinae_Kim_121508.ppt'