Guide to the Corporate Applications Search

In May of 2013, the OCC introduced a new format for the Weekly Bulletin. The new format follows the introduction of a new system called the Central Application Tracking System (CATS). CATS, which went live internal to the OCC at the end of April, facilitates the submission of electronic applications to the OCC.

Along with the new Weekly Bulletin, the OCC launched the Corporate Applications Search (CAS). CAS allows the user to search for an application by bank name, charter number, OCC control number (also known as application number), application type or OCC action. The search results include a “Details” link allowing users to see additional application information such as the old and new addresses for a branch relocation.

APPLICATIONS QUERY
Using the search tool you can find national bank application information by specifying any combination of search criteria:

- Any date range
- Any bank name or even a partial name of a bank – the latter will return data for all matches
- Any charter number
- A control number for a specific application
- Any of a number of specific actions via a drop-down list of 12 discrete actions or “all” – possible selections include received, approved, denied, consummated/effective, etc.
- (In the bottom section) Any of 24 specific application types in any combination, including “all”
- Banks or branches in any state – for example, to find all new branch applications for national bank branches in Maryland, select “MD,” click on the “Branch Location” radio button and check the “Branch Establishments” checkbox; or, if you want to find all branch closing notices for national banks headquartered in Ohio, select “OH,” click on the “Bank Headquarters Location” radio button and check the “Branch Closings” checkbox
When your search is complete, you’ll be presented with a display that shows the applications and actions meeting your search criteria in an easy-to-read format. For example, try a search for applications to establish new branches in Maryland during the month of January, 2013. Here is the result from the search:

![Corporate Applications Search Criteria](image)

<table>
<thead>
<tr>
<th>Date Range: 1/1/2013 - 1/31/2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>State: MD</td>
</tr>
<tr>
<td>Application Types: Branch Establishments</td>
</tr>
</tbody>
</table>

Search results:

<table>
<thead>
<tr>
<th>Action</th>
<th>Date</th>
<th>Type</th>
<th>Application Number</th>
<th>Branch Name</th>
<th>Location</th>
<th>City</th>
<th>State</th>
<th>County</th>
<th>End Cmt D</th>
</tr>
</thead>
<tbody>
<tr>
<td>Receipt</td>
<td>2013-01-16</td>
<td>Branch Establishment</td>
<td>2013-NE-05-0011</td>
<td>FESTIVAL AT RIVA@GIANT 2223 FOREST DRIVE ANAPOLIS MD Anne Arundel County</td>
<td>2013-02-16</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

There was only one such application received during the month of January. Notice that since we asked for the branch location, that is what appears.

You can just as easily search for multiple application types. Here are the results from a query of all application events from January of this year, using the default of “Bank Headquarters Location.” There are well over 300 actions listed, with only the first several illustrated below:

![Corporate Applications Search Criteria](image)

<table>
<thead>
<tr>
<th>Date Range: 1/1/2013 - 1/31/2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>State: MD</td>
</tr>
<tr>
<td>Application Types: All</td>
</tr>
</tbody>
</table>

Search results:

<table>
<thead>
<tr>
<th>Date</th>
<th>Type</th>
<th>Application Number</th>
<th>Bank Name</th>
<th>Location</th>
<th>City</th>
<th>State</th>
<th>County</th>
<th>End Cmt D</th>
</tr>
</thead>
<tbody>
<tr>
<td>Receipt</td>
<td>2013-01-01 Branch Establishment</td>
<td>2013-NE-02-0011</td>
<td>FIRST CITIZENS NB</td>
<td>2801 FOURTH STREET, E/W</td>
<td>MASON CITY</td>
<td>IA</td>
<td>Cerro Gordo County</td>
<td>2013-12-15</td>
</tr>
<tr>
<td>Receipt</td>
<td>2013-01-01 Branch Establishment</td>
<td>2013-NE-02-0011</td>
<td>FIRST INY PLANVIEW</td>
<td>100 WEST BROADWAY</td>
<td>PLANVIEW</td>
<td>MN</td>
<td>Winona County</td>
<td>2013-01-10</td>
</tr>
<tr>
<td>Receipt</td>
<td>2013-01-01 Branch Establishment</td>
<td>2013-NE-02-0011</td>
<td>HARRINGTON NB</td>
<td>17 SOUTH HIGH STREET</td>
<td>COLUMBUS</td>
<td>OH</td>
<td>Franklin County</td>
<td>2013-01-10</td>
</tr>
<tr>
<td>Receipt</td>
<td>2013-01-01 Branch Establishment</td>
<td>2013-NE-02-0011</td>
<td>OLD NB</td>
<td>1 MAIN STREET</td>
<td>EVANSVILLE</td>
<td>IN</td>
<td>Vanderburgh County</td>
<td>2013-02-07</td>
</tr>
</tbody>
</table>

More detailed results, tailored to each application type, can be achieved by clicking on the “Details” link to the left of each row. So, if we want to know the old address and new address for the application to relocate a branch (see the “Branch Relocation” indicator under the Type column), for instance, clicking Details would display the following. The information we are looking for appears in the “Affected Branch” section.
Note, post the introduction of CATS, the OCC control number (also known as the application number) format changed slightly. The new format continues to identify the district and the year in which the application was filed plus, it now includes an alpha description of the application type. Applications that have a pre-CATS control number and a new CATS control number can be search on using either control numbers.

**QUERY TIPS FOR “BANK NAME” AND “OCC CONTROL #”**

**Bank Name** - You can enter either the full name or a portion of the name. CAS is not case sensitive.

**Example:** JPMorgan Chase Bank, National Association  
**Possible Searches:**  
jp  
JP  
jpmorgan  
jpmorgan chase  
morgan  
chase
**OCC CONTROL#** - Each application is assigned a unique identifier referred to as the OCC control number or the application number. For control numbers created in CATS, you can enter the full control number or a portion of the number. For pre-CATS control numbers, the entire number, including the hyphens, must be entered. Again, CAS is not case sensitive.

**Example:** 2013-WO-Combination-133793  
**Possible Searches:** 2013-wo-combination-133793  
2013-WO-Combination-133793  
133793

**Example:** 2013-WO-02-0001  
**Possible Searches:** 2013-wo-02-0001  
2013-WO-02-0001

**SUBSIDIARIES AND EQUITIES**

To determine if the subsidiary filing is for an operating subsidiary, a financial subsidiary, or a non-controlling investment, search on Subsidiaries and Equities and within the search results, click on the Details link. The Details page will then identify the subsidiary type in the “Transaction Form” field. Future enhancements will include the requested activity.