

Please submit completed forms or any questions to the following email address: RA-BNTRUSTSUPRVSNINQ@pa.gov



Pennsylvania
**Department of Banking
and Securities**

MARKET SQUARE PLAZA | 17 N SECOND STREET, 13TH FL | HARRISBURG, PA 17101
Ph 717.787.2665 Fx 717.787.8773 W www.pa.gov/dobs

FOREIGN FIDUCIARY NOTICE
(7 P.S. § 106(b))

For use by institutions chartered by another state that plan to offer trust services in Pennsylvania.

1. Institution name and address of principal place of business:

2. Type of institution:

- ☐ Independent Trust Company (Non-Depository Trust Company)
- ☐ Bank and Trust Company (Commercial Bank with a Trust Department)
- ☐ Savings Bank with Trust Powers
- ☐ Savings Association with Trust Powers
- ☐ Other (please specify):

3. Contact person for questions/issues related to proposed activities:

Name: Telephone:

Title: Facsimile:

Address:

E-Mail:

4. Chartering (home) state and primary regulator(s):

5. Current capital level:

\$ as of (date)

6. Address of each proposed trust office (if proposing to establish trust offices in Pennsylvania):

ATTACHMENTS:

- A. Certificate of authorization to engage in fiduciary activity evidencing applicant's authority to engage in fiduciary activity, issued by the appropriate regulatory authority of the jurisdiction in which the applicant is chartered or organized.
- B. Letter of reciprocity evidencing that equivalent privileges are provided to institutions chartered by the Commonwealth of Pennsylvania, issued by the appropriate regulatory authority of the jurisdiction in which the applicant is chartered or organized.
- C. Certified statement of the applicant that the applicant has and maintains two million dollars of minimum capital in compliance with the minimum capital requirements applicable to foreign fiduciaries under Section 106(b)(ii) of the Pennsylvania Banking Code of 1965 (7 P.S. § 106(b)(ii)), and evidence documenting the level of capital. Examples include, but are not limited to, call reports and audited financial statements. The minimum capital must be liquid, such as cash, certificates of deposit or securities.
- D. Certificate of authority to do business in the Commonwealth of Pennsylvania issued by the Pennsylvania Department of State pursuant to 15 Pa. C.S. Ch. 41 (relating to foreign business corporations).

Submit this form with all attachments to the Department of Banking and Securities, Trusts Office.