

April 14, 2021

TO: The Chief Executive Officer

RE: 2021 Annual Oath and Roster Forms

Pursuant to the provisions of Section 1406(b) of the Pennsylvania Banking Code of 1965, your institution is required to submit Oath of Directors/Trustees (Oath) and Report of Election of Directors/Trustees and Officers (Roster) forms to the Pennsylvania Department of Banking and Securities (Department).

After the Bank's 2021 annual meeting, please submit an electronic copy of the Oath and Roster forms to the Department's Resource Account email address as follows:

RA-BNOathRosterForms@pa.gov.

Attached for your convenience are the **Directors/Trustees and Officers – Shareholder Elected** Oath and Roster forms to be completed and submitted to the above email address after the annual meeting.

The Oath and Roster forms may also be downloaded from the Department's website at www.dobs.pa.gov. At the top of the Department's homepage on the right, please select the links **BUSINESSES – BANKING – BANKS**. On the right side of the webpage for **BANKS**, in the **RESOURCES** menu box, select *Forms and Applications, Directors and Officers*. Select the appropriate Oath and Roster forms, which are also listed below as direct links for your reference.

[Directors/Trustees and Officers - Shareholder Elected](#)

Oath and Roster forms to be submitted to the Department for the election of Directors/Trustees and Officers after the annual meeting each year.

[Director/Trustee - Board Elected](#)

Oath and Roster forms to be submitted to the Department in the event that a new director is elected to fill a vacancy or to increase the size of the Board.

When completing the Oath and Roster forms, it may be beneficial to review Sections 1403, 1404 and 1406 of the Pennsylvania Banking Code of 1965, and to review the applicable sections of your institution's bylaws.

The Oath forms provide sufficient space to enable all Directors/Trustees to execute a joint oath. However, due to vacations, illness, etc., this is not always possible. The available Directors/Trustees should execute a joint oath, and the form should be forwarded to the Department without delay. The Directors/Trustees that are not available to take the joint oath should file individual oaths with the Department as soon as possible.

After the Bank's 2021 annual meeting, please complete and electronically submit all pages of the **Directors/Trustees and Officers – Shareholder Elected** Oath and Roster forms to the Department's Resource Account email address as referenced above. On page 1 of the forms, please provide the Bank's Name and Headquarters Address. It is necessary to complete only one Oath of Directors/Trustees page 2, one Report of Elections of Directors/Trustees page 4, and one Report of Elections of Officers page 5. On page 6 in Additional Information, please explain Director or Officer changes that occurred, and include the effective dates.

If you are unable to provide an electronic copy of the Oath and Roster forms, please mail your completed forms to:

Robert C. Lopez, Director
Bureau of Bank Supervision
PA Department of Banking and Securities
17 N. 2nd Street, Suite 1300
Harrisburg, PA 17101

This request is made under Section 733-403.A. of the Department of Banking and Securities Code (the Department Code), 71 P.S. § 733-403, which authorizes the Department to require reports from institutions. Section 733-403.E. of the Department Code, 71 P.S. § 733-403.E., authorizes the Department to impose penalties for failure to submit the required reports.

If you have any questions regarding the above requests, please contact the resource account at RA-BNOathRosterForms@pa.gov.

Sincerely,



Robert C. Lopez
Bureau of Bank Supervision

Attachments