

0200 Bank and Financial Industries Research Tools

Bank and financial industries are regulated by various government agencies. The following sections provide resources to better understand the industries and search for public information filed with these agencies.

0210 Terminologies

- Some of the websites have a comprehensive dictionary used by the banking and financial industries, such as www.oxfordreference.com/(Dictionary of Finance and Banking), www.merriam-webster.com/legal; and the law dictionary (www.lawdictionary.org)
- Investopedia website provides financial acronyms and terms used in the banking and financial industries (www.investopedia.com)
- Comptroller's Handbook at OCC webpage and FIDC webpage provide glossary and abbreviation list of terms used in the banking industry
 - Visit www.occ.gov or www.fdic.gov
 - Search list of glossary
- SEC's Office of Investor Education and Advocacy provides online resource to the public. It has glossary of terms use in the industry
 - Visit www.investor.gov
 - Select glossary from Education Resources option

0250 Additional Research Tools

- California Department of Business Oversight (www.dbo.ca.gov)

Topic	Process
Find a State chartered bank	<ul style="list-style-type: none">• Select For Licensees• Select Banks• Select Directory of State Chartered Banks
Find a California Trust	<ul style="list-style-type: none">• Select Regulated Industries• Select Trust Companies and Department• Directory of Trust Companies (for stand-alone trust) or directory of trust department of state charter banks (trust within a bank)

- California Legislative Information (www.leginfo.legislature.ca.gov/)

Topic	Process
California financial code	<ul style="list-style-type: none">• Select California Law• Select Financial Code – FIN• Select Division 1- Financial Institution• Select Chapter 1- Definitions

- Federal Deposit Corporation (<http://www.fdic.gov>)

Topic	Process
Glossary	<ul style="list-style-type: none"> • Search "List of glossary"
Is the entity a bank?	<ul style="list-style-type: none"> • Select BankFind • Enter the name of the bank or financial institution

- Federal Financial Institutions Examination Council (www.ffiec.gov)

Topic	Process
Who is the bank's regulator?	<ul style="list-style-type: none"> • Select Consumer Help Center • Select Bank Complains or Questions • Enter the name of the bank or financial institution
Did the financial institution file its call report?	<ul style="list-style-type: none"> • Select FDIC Institution Directory • It directs to FDIC webpage • Enter the name of the bank or financial institution
Find a call report	<ul style="list-style-type: none"> • Select Financial Institution Information • Select Public Information; View or download data • Enter the name of the bank or financial institution and select type of report • Select date range
Understand a call report	<ul style="list-style-type: none"> • Select Reports; Reporting Forms • It has a list of all forms and instructions • Select FFIEC 031, FFIEC 041; FFIEC 051 • Select Instructions for Preparation of Consolidated Reports of Condition and Income

- Office of Comptroller (www.occ.gov)

Topic	Process
Glossary	<ul style="list-style-type: none"> • Search "List of glossary"
Banking guides	<ul style="list-style-type: none"> • Select Publications for specific topic or type

- Securities and Exchange Commission (www.sec.gov)

Topic	Process
Securities Laws	<ul style="list-style-type: none"> • Select About • Select Securities Laws • It has a list of laws that govern the securities industry
Broker-Dealers Guide	<ul style="list-style-type: none"> • Select Divisions, Trading and Markets • Select Broker-Dealers
Banks on Dealer Exceptions and Rules	<ul style="list-style-type: none"> • Select Divisions, Trading and Markets • Select Banks and Other Depository Institutions • Guide to Banks on Dealer Statutory Exceptions and Rules
Find a focus report	<ul style="list-style-type: none"> • Select Filings • Select Company Filings Search • Enter the name of the company • Select the broker-dealers entity • Select Form X 17A-5
Understand a focus report	<ul style="list-style-type: none"> • Search focus report instruction
10K (public company)	<ul style="list-style-type: none"> • Select Filings, Edgar search tools • Select Company or fund name, ticker symbol, CIK • Enter Company name

- United States Code (uscode.house.gov/)

Topic	Process
Banks and Banking	<ul style="list-style-type: none"> • Select Title 12
National Banks	<ul style="list-style-type: none"> • Select Title 12, Chapter 2
Internal Revenue Code	<ul style="list-style-type: none"> • Select Title 26, Subtitle A, Chapter 1, Subchapter H

For California Tax Law, Legislation and Forms Updates go to www.ftb.ca.gov/Law

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