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| **Tier 3** | **Tier 4** | **Tier 5** |
| **Bank or B/D** | **Entity Type and Significance≥ 0.5% to <1% of BAC Consolidated** | **Op Co or Trust Co with:** | **IHC with:** | **Subjective** | **Does Not MeetT1-3, 5 Criteria** | **TransactionEntity** | **In Liquidation** |
| **Op CoTrust Co** | **3P Assets** | **3P Liab** | **3P Rev** | **3P Debt ≥ $10mm** | **Mortgage Banking** | **Asset Securitization** | **Orig & Sell Assets to Affiliates** | **3P Deriv Activity** | **FR Y-9LP Rep to FRB** | **3P Debt ≥ $10mm** | **Signif Risks** | **Relies on affil. Bank funding** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |