

Former Office of Thrift Supervision (OTS)

Enforcement Order Listing Definitions

The file **OTS-Enforcement_Order_Listing.xls** is a historical listing of all Enforcement Actions issued by the Office of Thrift Supervision (OTS) against federally chartered savings associations and thrift holding companies from 1/13/1999 to 7/21/2011. This file is no longer updated and is now available on the OCC Web site at: <http://occ.gov/news-events/newsroom/news-issuances-by-year/ots-issuances/index-ots-issuances.html>. Enforcement Actions issued against federally chartered savings associations after 7/21/2011 may be found on the OCC Website with the Enforcement Actions Search Tool. Enforcement Actions issued against thrift holding companies after 7/21/2011 may be found on the Board of Governors of the Federal Reserve System Website.

Because this file contains hyperlinks, it has been saved in an Excel compatible format. The first row of the file contains all of the field names contained in the file.

The fields and definitions follow:

"Record ID" – an incremental record ID applied to this record. It was incrementally assigned as actions were posted to the OTS Website and has no bearing on the data.

"Docket Number" – unique identifier assigned internally by OTS for each federally chartered savings association and thrift holding company it regulated. Holding companies were designated by with an "H".

"Link to Enforcement Action" – this link will take you to a copy of the Enforcement Action.

"Order Number" – the OTS regional offices assigned each Enforcement Actions with an Order Number. "SA" stands for Supervisory Agreement; Supervisory Agreements were not assigned numbers.

"Institution Name" – the name of the institution at the time the Enforcement Action was issued.

"First Name" "Last Name" – if the Enforcement Action was issued to an individual, this field will be populated.

"City" "State" – the city and state of the institution at the time the Enforcement Action was issued.

"OTS Region" - the OTS Region that issued the Enforcement Action.

"Issue Date" – the date the Enforcement Action was issued.

"Type Description" – describes the type of Enforcement Action. Possible types include:

- Amended Orders to Cease and Desist
- Amended Supervisory Agreements
- Capital Directives
- Cease and Desist
- Civil Money Penalty
- Decision/Opinion and Order
- Modification to Cease and Desist
- Orders of Removal/Prohibition
- Prompt Corrective Action
- Supervisory Agreement
- Termination of Cease and Desist
- Termination of Prohibition
- Termination of Prompt Corrective Action
- Termination of Supervisory Agreement

“Notes” – contains any notes associated with the Enforcement Action, including in some cases whether the Enforcement Action was terminated or modified.