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U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

FORM
SA-52311A

DUE DATE

2001 SERVICE ANNUAL SURVEY

Investment Banking and Securities Dealing

137 SAS_F
523110 T

(Please correct any error in name, address, or ZIP Code)

NOTICE — Your report to the Census Bureau is **confidential** by law (Title 13, U.S. Code). It may be seen only by persons sworn to uphold the confidentiality of Census Bureau information and may be used only for statistical purposes. The law also provides that copies retained in your files are **immune from legal process.**

RETURN COMPLETED FORM TO

U.S. CENSUS BUREAU
1201 East 10th Street
Jeffersonville, IN 47132-0001

Any questions call 1–800–772–7851 weekdays, 8:30 a.m. to 5:00 p.m. EST

YOUR RESPONSE IS REQUIRED BY LAW. Title 13, U.S. Code, requires businesses and other organizations that receive this questionnaire to answer the questions and return the report to the Census Bureau.

Item 1 SURVEY COVERAGE

This report covers all domestic locations operated by your company and its subsidiaries primarily engaged in underwriting, originating and/or maintaining markets for issues of securities. Investment bankers act as principals (i.e., investors who buy or sell on their own account) in firm commitment transactions or act as agents in best effort and standby commitments. Locations act as principals in buying or selling securities generally on a spread basis, such as securities dealers or stock option dealers. Examples include bond dealing, securities underwriting, and stock option dealing.

Does the above coverage describe this firm's business activity?

0001 1 ☐ Yes – *Continue with Item 3*
2 ☐ No – *Specify your business activity and continue with Item 3*

0002

Item 2 NOT APPLICABLE TO THIS FORM

Item 3 REPORT PERIOD

Mark (X) the one box which best describes the period covered by your report.

If the data reported are for a period other than the "calendar year," please enter the beginning and ending dates.

0006 1 ☐ Calendar year – *Go to Item 4A*
2 ☐ Fiscal year
3 ☐ Less than 12 months

	2001		
	Month	Day	Year
From 0007			
To 0008			

Item 4A SOURCES OF REVENUE

An estimate is acceptable if a book figure is not available.
Do not combine data for two or more detail lines.
Enter "0" in items where applicable.
Exclude intracompany transfers.

Include interest, dividends, royalties, net realized capital gains (losses); commissions and fees from all sources, including fees earned from exchanging currencies, selling money orders, and cashing checks; and net gains (losses) from the sale of real estate property owned by a firm for investment, rent, or lease (NOT gross sales). Report sources of revenue for this company as whole dollar figures.

	Key code	2001 Bil.	Mil.	Thou.	Dol.
1. Commissions from the sale of securities (including investment company securities) and commodities	500				
2. Net gains (losses) in trading accounts in securities and commodities:					
a. Net interest income from trading accounts in securities	501				
b. Net gains (losses) from trading accounts in securities	502				
c. Net gains (losses) in trading accounts in commodities	503				
3. Net gains (losses) from underwriting and selling groups of securities:					
a. Mortgage Backed Securities (MBS), Collateralized Mortgage Obligations (CMO), and Real Estate Mortgage Investment Conduits (REMIC) transactions	504				
b. All other securities transactions	505				
4. Net gains (losses) on investment accounts (**Note:** Report interest income from investment accounts on line 6)	506				
5. Dividend income	507				
6. Margin interest and other interest income, including Repurchase Agreement (REPO)	508				
7. Other investment income (net); (e.g., income from partnership(s), loans, notes, mortgages, equipment and facilities, goodwill [net of accumulated amortization], real estate, and other assets).	509				
8. Asset/portfolio management fees, 12b-1 fees, including investment advisory fees where investment decisions are made for clients; fees from investment consulting and advice (no investment management for clients); merger/acquisition fees; private placement fees; etc. Report other consulting and advice on line 9.	510				
9. Other revenue including income from fiduciary (trust, custody, and escrow) activities, royalties, insurance and annuity commissions, and any other revenue source(s) — *If other revenue is greater than 20% of total revenue – Specify* 1001	511				
10. Total Revenue	002				

Item 4B EXPORTED SERVICES

An estimate is acceptable if a book figure is not available.

Note — An exported service is a service performed for a customer or client (individual, government, business establishment, etc.) located outside the United States (i.e., outside the 50 states, District of Columbia, U.S. Commonwealth Territories, or U.S. possessions). Services performed for unaffiliated and affiliated foreign firms (i.e., foreign parent firms, subsidiaries, branches, etc.) are included. **Exclude** services provided to domestic subsidiaries of foreign firms.

	Key code	2001 Bil.	Mil.	Thou.	Dol.
Did the total revenue reported in item 4A include any amounts received for exported services or products? 0009 1 ☐ Yes → 2 ☐ No	004				

Item 4C E-COMMERCE RECEIPTS/REVENUE

E-commerce includes sales, commissions, rents, or fees collected from any transaction completed over an Internet, extranet, EDI network, electronic mail or other online system. Transactions are agreements between buyers and sellers to transfer ownership of, or rights to use, goods or services. Payment for these goods and services may or may not be made online. Please see the General Instruction sheet for further clarification before completing this item.

An estimate is acceptable if a book figure is not available.

1. Did your firm have e-commerce receipts/revenue during 2001? 0011
1 ☐ Yes — *Enter the date your firm began e-commerce sales.* → 0010 | Month (i.e., June=06) | Year (i.e., 2001=01)
2 ☐ No — *Continue to Item 5.*

	Key code	2001 Bil.	Mil.	Thou.	Dol.
2. What were your firm's e-commerce receipts/revenue for 2001? (Include e-commerce receipts/revenue in Item 4A. **Exclude** sales taxes.) →	005				

Item 5 **SALES TAXES AND OTHER TAXES**

Were sales taxes or other taxes (i.e. amusement, occupancy, use, etc.) collected from customers and forwarded directly to taxing authorities?

0077 1 ☐ Yes – *Report the amount of such taxes* →
2 ☐ No – *Continue to Item 6.*

Key code	2001 Bil.	Mil.	Thou.	Dol.
007				

Item 6 **NUMBER OF LOCATIONS**

Enter the total number of service locations covered by this report as of December 31, 2001. →

2001 Number
0012

Item 7 **OWNERSHIP OR CONTROL**

a. Does another firm own more than 50 percent of the voting stock or have the power to control the management and policies of this company?

0013 1 ☐ Yes →
2 ☐ No

0014 Name of owning or controlling company

Number and street

City, State, and ZIP Code

0015 EIN → ___ – ___

b. Did this firm acquire or merge with another company during 2001?

0016 1 ☐ Yes →
2 ☐ No

0017 Name of company acquired or merged with

Number and street

City, State, and ZIP Code

Date of merger or acquisition → 0018 Month Year

0019 EIN → ___ – ___

Item 8 **REMARKS –** ***Please use this space for any explanations that may be helpful in understanding your reported data. For any separate correspondence pertaining to this report, please include the IDENTIFICATION number shown in the address label area or at the top of the page.***

0027

Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Paperwork Project 0607-0422, Room 3110, FB 3, U.S. Census Bureau, Washington, DC 20233-1500. You may e-mail comments to Paperwork@census.gov; use "Paperwork Project 0607-0422" as the subject. PLEASE INCLUDE FORM NAME AND NUMBER IN ALL CORRESPONDENCE. Respondents are not required to respond to any information collection unless it displays a valid approval number from the Office of Management and Budget. This 8-digit number appears in the top right corner on the front of this form.

Item 9 **CERTIFICATION –** This report is substantially accurate and has been prepared in accordance with instructions.

0020 Name of person completing this report – *Please print*

0021 Address *(Number and street, city, State, ZIP Code)*

0022 Telephone — Area code | Number | Extension

Signature of authorized person

0023 Fax — Area code | Number | Extension

0024 Title

0025 Date

0026 E-mail address

Please return the completed form in the enclosed envelope.
If you prefer, you may fax the completed form to 1–800–447–4613.

SAS-F(I)
(7-9-2001)

U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

SERVICE ANNUAL SURVEY

SECURITIES, COMMODITY CONTRACTS, AND OTHER FINANCIAL INVESTMENTS

GENERAL INSTRUCTIONS

Your report should be completed and returned in the preaddressed envelope provided on or before the due date. **If the report does not appear to apply to your kind of business or activity, describe your business or activity in Item 1 and complete the remainder of the form as accurately as possible.**

If filing within the required time frame will cause an undue burden and you would like an extension, or if you have any questions, please write to the

U.S. Census Bureau
1201 East 10th Street
Jeffersonville, IN 47132-0001

or call our Census Bureau representative in Jeffersonville, Indiana at 1–800–772–7851, weekdays from 8:30 a.m. to 5:00 p.m., eastern time.

Always include your identification number, located in the address label, in any correspondence.

IF BOOK FIGURES ARE NOT AVAILABLE, ESTIMATES ARE ACCEPTABLE.

Please read all instructions before making your entries.

Report data for the calendar year specified. If calendar year records are not available, we will accept fiscal year data. Please note, however, that we prefer estimates for the calendar year to book figures covering a different time period. Report all values in dollars (omit cents). Enter "0" in items where appropriate. Please do not combine data for two or more revenue lines.

For location(s) sold or acquired during the year specified, report only for the period that the location(s) were operated by this firm.

SPECIFIC INSTRUCTIONS

All Firms

Revenue

Report revenue for all services rendered and any sales of merchandise for the calendar year specified, even though payment may have been received at a later date. **Firms operating on a commission basis should report commissions, fees, and other operating income, not gross billings or sales.**

Include –

- Total value of service contracts.
- Amounts received for work subcontracted to others.
- Market value of compensation in lieu of cash.
- Revenue from services performed by domestic locations for FOREIGN parent firms, subsidiaries, branches, etc.
- Dues and assessments from members and affiliates.
- Income from investments, sales of company-owned real estate (land and building) or other assets, (except inventory held for resale), securities, gifts, loans, contributions, royalties or grants.
- Interest earned from sales, rent or lease under capital, finance, or full-payout leases.
- Net realized gains as well as (losses) within specified area(s) of activity.

Exclude –

- Taxes (sales, amusement, occupancy, use, or other) collected directly from customers or clients and paid directly to a local, State, or Federal tax agency.
- Revenue from a domestic parent organization, or from franchise locations owned by others and any franchise or license fees.
- Rents from and revenue of separately operated departments, concessions, etc., which are leased to others.
- Commissions from vending machine operators.
- Revenue of foreign subsidiaries (those located outside the U.S., i.e., outside the 50 states, District of Columbia, U.S. Commonwealth Territories, or U.S. Possessions).
- Revenue from the sale of used equipment.

SERVICE ANNUAL SURVEY
SECURITIES, COMMODITY CONTRACTS, AND OTHER FINANCIAL INVESTMENTS
SPECIFIC INSTRUCTIONS – Continued

E-commerce Revenue

(In the following instructions, online refers to any transaction completed over an Internet, extranet, EDI network, electronic mail or other online system.)

Include –

- Revenue from online orders for goods or services placed by a buyer.
- Revenue from online services provided where charges are based on the usage of those services (e.g., commissions or fees from use of computerized reservation systems, financial transaction processing systems, etc.)
- Commissions or fees from the trading of securities or the sale of other financial products online (e.g., insurance, loans, etc.).
- Commissions or fees from selling or from facilitating the sale of third party products (e.g., click-through including referral fees) through your company's Web site.
- Revenue from orders or contracts negotiated online with a buyer and seller on the price and terms for transferring ownership or the rights to use goods or services.
- Revenue from telephone transactions using interactive voice response systems.

Exclude – revenue from:

- Online billings where the order or contract was not negotiated online.
- Delivery of services online where the order or contract was not negotiated online.
- Provision of telecommunications and related infrastructure systems (e.g., data transfer, Web hosting, Internet access) where the order or contract for such services was not negotiated online.
- Orders for goods or services placed by facsimile machine or over switched telephone network.