

2009 Annual Services Report Service Annual Survey Portfolio Management

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



FORM

SA-5239T

137 SAS_F
523920

REPORT DUE

Any questions call **1-800-772-7851**
M-F, 8:30 a.m. to 5:00 p.m. EST.
or

Visit our web site:
www.census.gov/econhelp/sas

Please correct any error in the name, address, or ZIP Code.

Internet Reporting

To complete this report online go to: www.census.gov/econhelp/sas
Click on "Census Taker" and use your username and password to login.

Username:

Password:

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.

YOUR RESPONSE IS CONFIDENTIAL BY LAW

Title 13, U.S. Code, requires that your response 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**.

YOUR RESPONSE IS IMPORTANT

The services industries account for nearly 70 percent of all economic activity. We conduct this survey to obtain timely, comprehensive and consistent measures needed by policy-makers, businesses, and the public to accurately assess domestic economic performance.

Annual Services Report

- This report should be completed and returned on or before the due date in the preaddressed envelope provided.
- 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:

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

or call a Census Bureau Representative at 1-800-772-7851, weekdays from 8:30 a.m. to 5:00 p.m., Eastern Standard Time.

1 Report Coverage

This report covers all domestic locations that report payroll for the Federal Employer Identification Number (EIN) shown above the address label primarily engaged in managing the portfolio assets (i.e., funds) of others on a fee or commission basis. Locations have the authority to make investment decisions, and derive fees based on the size and/or overall performance of the portfolio. Examples include managing trusts, mutual fund managing, pension fund managing, and portfolio fund managing.

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

- 0001 1 ☐ Yes – Go to 2
- 2 ☐ No – Specify the firm's business activity and complete the report where applicable beginning with 2. →
- 0002

2 Report Periods

What periods of time will this data represent?

- Report data for the 2009 calendar year if possible.
- For locations that were sold or acquired during the year, only report for the periods that this firm operated the locations.

- 0006 1 ☐ 2009 calendar year – Go to 3
- 2 ☐ Other than calendar year – Enter the periods this report will cover.
 (e.g., fiscal years, periods with less than a full calendar year).

2009			
	Month	Day	Year
0007			
From			
0008			
To			

3 Operating Revenue

Report the total operating revenue for this firm's locations defined in **1** for the following categories.

- Enter "0" where applicable.
- Estimates are acceptable.

Exclude:

- Transfers made within the company.

1. Financial Planning and Investment Management Products

a. Financial planning and investment management services for individuals –

Financial planning, advisory, and investment management services for private individuals. **Exclude** corresponding services for trust accounts, report in line 3. 2104

2009 Operating Revenue				
	Bil.	Mil.	Thou.	Dol.
Mark "X" if None				
\$				

b. Financial planning and investment management services for businesses –

Providing financial planning, advisory, and investment management services for businesses. 2105

2009 Operating Revenue				
	Bil.	Mil.	Thou.	Dol.
Mark "X" if None				
\$				

c. Financial planning and investment management services for governments –

Providing financial planning, advisory, and investment management services for governments. 2106

2009 Operating Revenue				
	Bil.	Mil.	Thou.	Dol.
Mark "X" if None				
\$				

2. Brokering and dealing products – equities – Brokering and dealing in equity securities (e.g., common stock, preferred stock, convertible bonds, warrants, industrial corporations, commercial corporations, non-financial services corporations, financial corporations, holding companies, American Depositary Receipts, Estate Contribution Certificates, and all other equity products) 2101

2009 Operating Revenue				
	Bil.	Mil.	Thou.	Dol.
Mark "X" if None				
\$				

3. Trust products – Trust products involve one party establishing a fiduciary relationship with a second party, such that the second party manages property for the benefit of either the first party or others. 6411

2009 Operating Revenue				
	Bil.	Mil.	Thou.	Dol.
Mark "X" if None				
\$				

4. All other operating revenue – Revenue not reported in lines 1–3. If this item is greater than 20% of the total operating revenue, specify the primary source of the revenue here ↗

2009 Operating Revenue				
	Bil.	Mil.	Thou.	Dol.
Mark "X" if None				
\$				

5. TOTAL OPERATING REVENUE – Sum of lines 1–4. 1800

2009 Operating Revenue				
	Bil.	Mil.	Thou.	Dol.
\$				

4 Source of Brokering and Dealing Equity Revenue

Report the percent of revenue derived from fees and commissions, interest income from trading accounts (including margin interest), and net gains in trading accounts for brokering and dealing equity products reported in **3** line 2.

- Enter "0" where applicable.
- Estimates are acceptable.

Source of Brokering and Dealing Equity Revenue

2009	
1. Fees and commissions.	2107 %
2. Interest income from trading accounts (including margin interest).	2108 %
3. Net gains in trading accounts.	2109 + %
100%	

5 Operating Expenses

Report operating expenses for this firm's locations as defined in 1 for the following categories.

- Enter "0" where applicable.
- Estimates are acceptable.

Exclude:

- Transfers made within the company
- Capitalized expenses
- Bad debt
- Impairment
- Income tax

Personnel Costs

		2009 Operating Expenses				
		Bil.	Mil.	Thou.	Dol.	
1. Gross annual payroll – Total annual Medicare salaries and wages for all employees as reported on your firm's IRS Form 941, Employer's Quarterly Federal Tax Return, line 5(c) for the four quarters that correspond to the survey period or IRS Form 944 Employer's Annual Federal Tax Return, line 4(c).	1821	☐	\$			
		Mark "X" if None				
2. Employer's cost for fringe benefits – Employer's cost for legally required programs and programs not required by law. Include insurance premiums for hospital plans, medical plans, and single service plans (e.g., dental, vision, prescription drugs); premium equivalents for self-insured plans and fees paid to third-party administrators (TPAs); defined benefit pension plans; defined contribution plans (e.g., profit sharing, 401K and stock option plans); and other fringe benefits (e.g., Social Security, workers' compensation insurance, unemployment tax, state disability insurance programs, life insurance benefits, Medicare). Exclude employee contributions.	1822	☐	\$			
		Mark "X" if None				
3. Temporary staff and leased employee expense – Total costs paid to Professional Employer Organizations (PEOs) and staffing agencies for personnel. Include all charges for payroll, benefits, and services.	1823	☐	\$			
		Mark "X" if None				

Expensed Materials, Parts and Supplies (not for resale)

4. Expensed equipment – Expensed computer hardware and other equipment (e.g., copiers, fax machines, telephones, shop and lab equipment, CPUs and monitors). Report packaged software in line 6. Report leased and rented equipment in line 8.	1824	☐	\$			
		Mark "X" if None				
5. Expensed purchases of other materials, parts, and supplies – Materials and supplies used in providing services to others; materials and parts used in repairs; office and janitorial supplies; small tools; containers and other packaging materials; and motor fuels.	1825	☐	\$			
		Mark "X" if None				

Expensed Purchased Services

6. Expensed purchases of software – Purchases of prepackaged, custom coded, or vendor customized software. Include software developed or customized by others, web-design services and purchases, licensing agreements, upgrades of software; and maintenance fees related to software upgrades and alterations.	1826	☐	\$			
		Mark "X" if None				
7. Purchased electricity and fuels (except motor fuels) – If the cost of electricity and heating fuels (e.g., natural gas, propane, oil, coal) are included in lease or rental payments, report in line 8.	1827	☐	\$			
		Mark "X" if None				
8. Lease and rental payments – For land, buildings, offices, structures, machinery, equipment, and other tangible items. Include lease and rental of transportation equipment without operators; and penalties incurred for broken leases. Exclude capital and financing lease agreements and licensing/leasing of software.	1828	☐	\$			
		Mark "X" if None				

5 Operating Expenses – (Continued)

Report operating expenses for this firm's locations as defined in **1** for the following categories.

- Enter "0" where applicable.
- Estimates are acceptable.

Exclude:

- Transfers made within the company
- Capitalized expenses
- Bad debt
- Impairment
- Income tax

Expensed Purchased Services – (Continued)

- 9. Purchased repair and maintenance** – Include expensed repair and maintenance to buildings and integral building components (e.g., elevators, heating and cooling systems), structures, offices, machinery, vehicles, equipment, and computer hardware. **Exclude** materials, parts, and supplies used for repair and maintenance performed by this firm's employees. Report janitorial and grounds maintenance services in line 14.

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1829	\$			

- 10. Purchased advertising and promotional services** – Include marketing and public relations services.

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1830	\$			

Other Operating Expenses

- 11. Depreciation and amortization charges** – Include depreciation charges taken against tangible assets owned and used by your firm, tangible assets and improvements owned by your firm within leaseholds, tangible assets obtained through capital lease agreements, and amortization charges against intangible assets (e.g., patents, copyrights). **Exclude** impairment.

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1831	\$			

- 12. Governmental taxes and license fees** – Payments to government agencies for taxes and licenses. **Include** business and property taxes. **Exclude** income taxes, and sales and excise taxes collected from customers.

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1832	\$			

- 13. Operating interest expense** – Report non-operating interest expense in **6** line 1 below.

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
2110	\$			

- 14. All other operating expenses** – All other operating expenses not reported above, unless specifically excluded in the general instructions at the top of the page. **Include** office postage and package delivery. **Exclude** purchases of merchandise for resale and non-operating expenses.

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1899	\$			

- 15. TOTAL OPERATING EXPENSES** – Sum of lines 1–14.

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1900	\$			

6 Non-operating Interest Expense

Report non-operating interest expense for all this firm's locations as defined in **1** for the following category.

- Enter "0" where applicable.
- Estimates are acceptable.

Exclude:

- Transfers made within the company
- Capitalized interest

- 1. Non-operating interest expense** – Non-operating interest expenses incurred in the financing of operations and long lived assets used in continuing operations.

2009 Non-operating Interest Expense				
	Bil.	Mil.	Thou.	Dol.
1857	\$			

7 Not Applicable

8 E-Commerce Revenue

E-commerce includes sales, receipts, and contributions 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.

Did the revenue reported in **3** include any e-commerce revenue?

2009 E-Commerce Revenue
Bil. Mil. Thou. Dol.

- 1 ☐ Yes – What was this firm's e-commerce revenue?2000 \$
- 2 ☐ No – Go to **9**

9 Export Revenue

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).

Include:

- Services performed for unaffiliated and affiliated foreign firms (i.e., foreign parent firms, subsidiaries, branches, etc.).

Exclude:

- Services provided to domestic subsidiaries of foreign firms.

Did the revenue reported in **3** include any revenue from exports?

2009 Export Revenue

Bil. Mil. Thou. Dol.

- 1 ☐ Yes – What was this firm's revenue from exports?2100 \$
- 2 ☐ No – Go to **11**

10 Not Applicable

11 Change in Structure

Did you have an Employer Identification Number (EIN) change in 2009?

0015

- 0013 1 ☐ Yes – Enter the new EIN. EIN –
- 2 ☐ No – Continue

Was there a change in ownership or control?

0018 Month Year

- 0016 1 ☐ Yes – Provide the date of the change and the firm's information.
(for multiple mergers, provide each firm's information as an attachment to this report)
- 2 ☐ No – Go to 12

0017

Name of company acquired or merged with

Street address

City, State, ZIP Code

0019

EIN

–

Specify the nature of this change here →

0035

12 Remarks – Please provide an explanation for any inconsistent or incomplete data that would aid in understanding this report. For any separate correspondence pertaining to this report, please include the identification number shown in the address label area at the top of the first page.

0027

13 Certification – This report is substantially accurate and has been prepared in accordance with the instructions.

0020 Name of person completing this report – Please print

0024 Title

0025 Date

0021 Address (Street address, City, State, ZIP Code)

0022 Telephone number

Area code	Number	Extension
<input type="text"/>	<input type="text"/>	<input type="text"/>

0023 Fax number

Area code	Number
<input type="text"/>	<input type="text"/>

0026 E-mail address

Return Completed form to:
U.S. CENSUS BUREAU
1201 East 10th Street
Jeffersonville, IN 47132-0001

or fax to: 1-800-447-4613

Public reporting burden for this collection of information is estimated to average 4.0 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, U.S. Census Bureau, 4600 Silver Hill Road, AMSD-3K138, Washington, DC 20233. 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.

To see aggregate industry results of previous Service Annual Surveys, go to the following website: www.census.gov/services/index.html

2009 Annual Services Report

Instructions for Finance and Insurance Firms

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

General Instructions

- Report data on an accrual basis, except payroll.
- Dollars should be rounded to the nearest dollar.
- If a figure is \$1,030,280,456 it should be reported as →

Bil.	Mil.	Thou.	Dol.
1	030	280	456

Include in revenue:

- Report gross billings, except where noted elsewhere on the form.
- Amounts received for work subcontracted to others.
- Revenue from services performed by domestic locations of 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, or grants.
- Interest earned from financing leases. Interest earned from sales, rent or lease under capital, finance, or full payout. Also include interest, dividends, and royalties.
- Net realized gains as well as (losses) within specified area(s) of activity.
- Rents from separately operated departments, concessions, etc., which are leased to others.

Exclude from revenue:

- Net unrealized gains (losses).
- Taxes collected directly from customers or clients and paid directly to a local, state, or federal tax agency.
- Revenue of separately operated departments, concessions, etc., which are leased to others.
- Revenue from customers for carrying or other credit charges.
- 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.

Item Specific Instructions

Item 5 – Operating Expenses

Line 1 – Gross annual payroll

Include salaries and wages, commissions, dismissal pay, bonuses, employee contributions to Social Security, income tax withholding, union dues, group insurance premiums, savings bonds, cash equivalent in-kind, allowances, holiday pay, vacation pay, sick leave, stock purchase plans, and employee contributions to pension plans. **Exclude** the cost of leased employees, employer's cost for fringe benefits, temporary staff obtained from temporary help services. For unincorporated businesses, **exclude** profit or other compensation of proprietors or partners.

All other operating expenses

Include travel and entertainment; postage, shipping or delivery services, warehousing, and storage services; royalties; security services; janitorial and grounds maintenance services; purchased transportation with operators; and other expenses not reported elsewhere.