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2010 Annual Services Report
Service Annual Survey

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

Securities Brokerage

FORM

SA-5231T1

REPORT DUE

137 SAS_F

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Need help or have questions?

Call 1-800-772-7851
M-F, 8:30 a.m. - 5:00 p.m. EST
or
Visit our web site:
www.census.gov/econhelp/sas
or
Write to:
U.S. Census Bureau
1201 East 10th Street
Jeffersonville, IN 47132-0001

(Please correct any errors in name, address, and ZIP Code.)

Internet Reporting

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

Username:

Password:

YOUR RESPONSE IS REQUIRED BY LAW

Title 13, United States Code, requires businesses and other organizations that receive this questionnaire to answer the questions and return the report to the U.S. Census Bureau.

YOUR RESPONSE IS CONFIDENTIAL BY LAW

Title 13, United States 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.

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PENALTY FOR FAILURE TO REPORT

CONTINUE ON PAGE 2

1 REPORT COVERAGE

This report covers all domestic locations operated by your company and its subsidiaries primarily engaged in acting as agents (i.e., brokers) between buyers and sellers in buying or selling securities on a commission or transaction fee basis. Examples include mutual fund agencies, stock brokerages, and securities brokerages.

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

0001 ☐ Yes - **Go to 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 2010 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 ☐ 2010 calendar year - **Go to 3.**

☐ Other than calendar year - **Enter the periods this report will cover** (e.g., fiscal years, periods with less than a full calendar year). →

	2010		
	From		
	Month	Day	Year
0007			
	To		
	Month	Day	Year
0008			

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CONTINUE ON PAGE 3

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.
- Do not combine data for two or more detail lines.

Exclude:

- Transfers made within the company.

		Mark "X" if None	2010 Operating Revenue $ Bil.	Mil.	Thou.	Dol.
1.	**Securities origination products -** These products assist the issuers of securities (businesses and governments) in creating their securities and having them distributed to the investing public. The service may involve advising the issuer, purchasing the securities and selling them (underwriting), or acting as an agent in marketing the securities.	2161				
2.	**Brokering and dealing products - debt instruments -** Brokering and dealing in debt instruments (e.g., bills, bonds, notes, CDs, Guaranteed Investment Contracts (GICs), commercial paper, bankers acceptances, all other debt instrument products).	2162				
3.	**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 Depository Receipts, Estate Contribution Certificates, all other equity products).	2101				
4.	**Brokering and dealing products - derivative contracts -** Brokering and dealing derivative contracts (e.g., forward, swap, option, credit derivative contracts, all other derivative contracts traded over-the-counter or on exchanges).	2102				
5.	**Brokering and dealing investment company securities -** Brokering and dealing investment company securities (e.g., mutual funds, closed-end funds, unit investment trusts).	2163				
6.	**Repurchase agreements - net gains (losses) -** The sale of a security to a counterparty for cash with an agreement to repurchase it at a fixed price on a specified future date. A reverse repurchase agreement is from the perspective of the counterparty to a repurchase agreement, i.e., the purchase of a security from a counterparty for cash with an agreement to sell it at a fixed price on a specified future date.	2164				
7.	**Trading debt instruments on own account - net gains (losses) -** Gains made from buying and selling debt securities on own account.	2165				
8.	**Trading equities on own account - net gains (losses) -** Gains made from buying and selling equity securities on own account.	2166				
9.	**Trading derivative contracts on own account - net gains (losses) -** Gains made from buying and selling derivative contracts on own account.	2103				
	Financial Planning and Investment Management Products					
10.	**Financial planning and investment management products**					
a.	**Financial planning and investment management services for individuals -** Providing financial planning, advisory, and investment management services for private individuals.	2104				
b.	**Financial planning and investment management services for businesses -** Providing financial planning, advisory, and investment management services for businesses.	2105				
c.	**Financial planning and investment management services for governments -** Providing financial planning, advisory, and investment management services for governments.	2106				
	Other Operating Revenue					
11.	**All other operating revenue -** Revenue not reported in lines **1-10. If this item is greater than 20% of the total operating revenue, specify the primary source of the revenue here.** 1560	1799				
12.	**TOTAL OPERATING REVENUE -** Sum of lines **1-11.**	1800				

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CONTINUE ON PAGE 4

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 revenue reported in ❸ line 3.

- Enter "0" where applicable.
- Estimates are acceptable.
- Round percentage items to the nearest whole percent.

		Source of Brokering and Dealing Equity Revenue 2010
1. Fees and commissions.	2107	%
2. Interest income from trading accounts (including margin interest).	2108	%
3. Net gains in trading accounts.	2109 +	%
		1 0 0 %

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CONTINUE ON PAGE 5

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.
- Do not combine data for two or more detail lines.

Exclude:

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

		Mark "X" if None	2010 Operating Expenses $ Bil.	Mil.	Thou.	Dol.
Personnel Costs						
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	☐				
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, 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	☐				
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	☐				
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, monitors). Report packaged software in line **6.** Report leased and rented equipment in line **8.**	1824	☐				
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	☐				
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	☐				
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	☐				
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	☐				

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CONTINUE ON PAGE 6

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.
- Do not combine data for two or more detail lines.

Exclude:

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

Expensed Purchased Services - (Continued)

		Mark "X" if None	2010 Operating Expenses $ Bil.	Mil.	Thou.	Dol.
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.**	1829 ☐				
10.	**Purchased advertising and promotional services - Include** marketing and public relations services.	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.	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.	1832 ☐				
13.	**Operating interest expense** - Report non-operating interest expense in 6 line **1.**	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 paid and package delivery. **Exclude** purchases of merchandise for resale and non-operating expenses.	1899 ☐				
15.	**TOTAL OPERATING EXPENSES** - Sum of lines **1-14.**	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

		Mark "X" if None	2010 Non-operating Interest Expense $ Bil.	Mil.	Thou.	Dol.
1.	**Non-operating interest expense -** Non-operating interest expenses incurred in the financing of operations and long lived assets used in continuing operations.	1857 ☐				

7 Not Applicable.

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CONTINUE ON PAGE 7

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?

2010 E-Commerce Revenue			
$ Bil.	Mil.	Thou.	Dol.

0011 ☐ Yes - **What was this firm's e-commerce revenue?** 2000

☐ 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?

2010 Export Revenue			
$ Bil.	Mil.	Thou.	Dol.

0009 ☐ Yes - **What was this firm's revenue from exports?** 2100

☐ No - **Go to 11.**

10 Not Applicable.

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CONTINUE ON PAGE 8

11 CHANGE IN STRUCTURE

Did you have an Employer Identification Number (EIN) change in 2010?

0015 EIN (9 digits) ___ - ___

0013 ☐ Yes - **Enter the new EIN.** . . . . . .

☐ No - **Continue.**

Was there a change in ownership or control?

0018 Month ___ Year ___

☐ 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)

0016 ☐ No - **Go to 12.**

0017 Name of company acquired or merged with

Street Address

City | State | ZIP Code ___ - ___

0019 EIN (9 digits) ___ - ___

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 to contact regarding this report *(Please print)* | 0024 Title

0021 Address (Number and street) | City | State | ZIP Code ___ - ___

0022 Telephone: Area code | Number ___ - ___ | Extension

0023 Fax: Area code | Number ___ - ___

0026 E-mail address

0025 Date Completed: Month | Day | Year

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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 5.0 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

2010 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 for 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	0	3	0	2	8	0	4	5	6

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, and 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 (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, and temporary staff obtained from temporary help services. For unincorporated businesses, **exclude** profit or other compensation of proprietors or partners.

Line 14 - 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.