

2010 Annual Services Report Service Annual Survey

OMB No. 0607-0422: Approval Expires 10/31/2012

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



Investment Advice

FORM

SA-5239T

REPORT DUE

137

SAS_F

523930

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.

52390010



1 REPORT COVERAGE

This report covers all domestic locations operated by your company and its subsidiaries primarily engaged in providing customized investment advice to clients on a fee basis, but do not have the authority to execute trades. Locations also provide financial planning advice and investment counseling to meet the goals and needs of specific clients.

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

☐ Yes - **Go to 2.**

0001

☐ 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.

☐ 2010 calendar year - **Go to 3.**

0006

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

0007

0008

2010		
From		
Month	Day	Year
To		
Month	Day	Year

52390028

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

- Enter "0" where applicable.
- Estimates are acceptable.
- Do not combine data for two or more detail lines.

- Transfers made within the company.

Mark "X"
if None

\$ Bil.	Mil.	Thou.	Dol.
---------	------	-------	------

- 2104

- 2105

- 2106

2101

6411

1560

1799

1800

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

2010

- 2107

- 2108

- 2109

1 0 0 %

52390036

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.

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

Mark "X"
if None

1821 ☐1822 ☐

1823

1824 ☐1825 ☐1824 ☐1825 ☐1826 ☐1827 ☐1828 ☐

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?

☐

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

0011

☐

No - **Go to ⑨.**

2010 E-Commerce Revenue

\$ Bil.	Mil.	Thou.	Dol.

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?

☐

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

0009

☐

No - **Go to ⑩.**

2010 Export Revenue

\$ Bil.	Mil.	Thou.	Dol.

10 Not Applicable.

52390069



11 CHANGE IN STRUCTURE**Did you have an Employer Identification Number (EIN) change in 2010?**

EIN (9 digits)

0015

0013

☐ Yes - **Enter the new EIN.**☐ No - **Continue.****Was there a change in ownership or control?**

0018

Month	Year

0016

☐ 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)☐ 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

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

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2010 Annual Services Report

Instructions for Finance and Insurance Firms

U.S. DEPARTMENT OF COMMERCE
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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.