



2007 ECONOMIC CENSUS

Securities and Commodity Contracts Intermediation and Brokerage and Other Financial Investments

DUE DATE
FEBRUARY 12, 2008

Mail your completed form to:
U.S. CENSUS BUREAU
1201 East 10th Street
Jeffersonville, IN 47134-0001

FI-52360

**INFORMATION COPY
DO NOT USE TO REPORT**

(Please correct any errors in this mailing address.)

Please read the accompanying information sheet(s) before answering the questions.

Need help or have questions about filling out this form?

Visit www.census.gov/econhelp

Call 1-800-233-6136, between 8:00 a.m. and 6:00 p.m., Eastern time, Monday through Friday.

- OR -

Write to the address above. Include your 11-digit Census File Number (CFN) printed in the mailing address.

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. By the same law, **YOUR CENSUS REPORT IS CONFIDENTIAL.** It may be seen only by persons sworn to uphold the confidentiality of Census Bureau information and may be used only for statistical purposes. Further, copies retained in respondents' files are immune from legal process.

- Use blue or black ballpoint pen.
 - Do not use pencil or felt-tip pen.
 - Place an "X" inside the box.
 - Please center numbers in their respective boxes.
 - Do not put slashes through 0 or 7.
- Examples: 0 1 2 3 4 5 6 7 8 9

The reporting unit for this form is an establishment. An **establishment** is generally a single physical location where business is conducted or where services or industrial operations are performed. For further clarification, see information sheet(s).

1 EMPLOYER IDENTIFICATION NUMBER

Is the Employer Identification Number (EIN) shown in the mailing address the same as the one used for this establishment on its latest 2007 Internal Revenue Service Form 941, Employer's Quarterly Federal Tax Return?

0021 Yes - Go to **2** 0022 No - Enter current EIN (9 digits) → 0025 -

2 PHYSICAL LOCATION

A. Is this establishment's physical location the same as shown in the mailing address? (P.O. Box and rural route addresses are not physical locations.)

0031 Yes - Go to line B

0032 No - Enter physical location →

0035 Number and street			
0036 City, town, village, etc.		0037 State	0038 ZIP Code

B. Is this establishment physically located inside the legal boundaries of the city, town, village, etc.? (Mark "X" only ONE box.)

0041 Yes 0042 No 0043 No legal boundaries 0044 Do not know

C. In what type of municipality is this establishment physically located? (Mark "X" only ONE box.)

0046 City, village, or borough 0047 Town or township 0048 Other 0024 Do not know

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3 OPERATIONAL STATUS

Which ONE of the following best describes this establishment's operational status at the end of 2007?
(Mark "X" only ONE box.)

0011 In operation 0013 Temporarily or seasonally inactive

0014 Ceased operation - Give date at right _____ →

Month	Day	Year

0015 Sold or leased to another operator - Give date at right _____ →

Month	Day	Year

AND enter name and address of new owner or operator and Employer Identification Number (EIN) below ↴

0060 Name of new owner or operator	0061 EIN (9 digits)
	-

0062 Mailing address (Number and street, P.O. Box, etc.)

0063 City, town, village, etc.	0064 State	0065 ZIP Code
		-

0016 Other - Specify _____ → 0815 _____

4 MONTHS IN OPERATION

Mark "X" if None

2007
Number

Number of months in operation during 2007 (If none, mark "X" and go to 50.) 0002

HOW TO REPORT DOLLAR FIGURES		Dollar figures should be rounded to thousands of dollars.	Mark "X" if None	2007			
		If a figure is \$1,025,628.79 :	Report → <input type="checkbox"/>	\$ Bil.	Mil.	Thou.	Dol.
		If a value is "0" (or less than \$500.00):	Report → <input checked="" type="checkbox"/>				

5 SALES, SHIPMENTS, RECEIPTS, OR REVENUE

Mark "X" if None

2007
Number

Revenue 0100

6 Not Applicable.

7 EMPLOYMENT AND PAYROLL

- Include:**
- Full- and part-time employees working at this establishment whose payroll was reported on Internal Revenue Service Form 941, Employer's Quarterly Federal Tax Return, and filed under the Employer Identification Number (EIN) shown in the mailing address or corrected in 1.
- Exclude:**
- Temporary staffing obtained from a staffing service.
 - Contractors, subcontractors, or independent contractors.
 - Full- or part-time leased employees whose payroll was filed under an employee leasing company's EIN.
 - Purchased or managed services, such as janitorial, guard, or landscape services.
 - Professional or technical services purchased from another firm, such as software consulting, computer programming, engineering, or accounting services.

For further clarification, see information sheet(s).

A. Number of employees for pay period including March 12 0320

B. Payroll before deductions (Exclude employer's cost for fringe benefits.)	Mark "X" if None	2007			
		\$ Bil.	Mil.	Thou.	Dol.
		1. Annual payroll 0300 <input type="checkbox"/>			
2. First quarter payroll (January-March, 2007) 0310 <input type="checkbox"/>					

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If not shown, please enter your 11-digit Census File Number (CFN) from the mailing address.

8 - 18 Not Applicable.

19 KIND OF BUSINESS

Which ONE of the following best describes this establishment's principal kind of business in 2007?
(Mark "X" only ONE box.)

Investment banking, dealing, and brokerage

- 0700 523 110 00 1 Investment banking and securities dealing
- 523 120 00 1 Full service securities brokerage
- 523 120 00 2 Discount securities brokerage
- 523 999 00 1 Gas and oil lease and royalties brokerage
- 523 130 00 7 Commodity dealing
- 523 110 00 2 Securities floor trading
- 523 130 00 6 Commodity floor trading
- 523 130 00 3 Commodity futures commission merchant
- 523 140 00 1 Commodity brokerage
- 523 140 00 2 Commodity introducing brokerage
- 523 910 10 1 Trading/dealing, except securities and commodities - *Specify* ↴

0701

Other investment-related activities

- 523 920 00 8 Asset/portfolio manager, including investment advisory, with authority to make investment decisions for clients
- 523 930 00 1 Investment advice, without portfolio management authority
- 524 210 00 1 Independent insurance agent or agency
- 523 920 00 A Pension fund investment manager
- 523 920 00 3 Mutual fund manager
- 523 920 00 4 Mutual fund adviser
- 523 920 00 5 Mutual fund administrator
- 523 991 00 6 Mutual fund transfer agent
- 523 920 00 C Commodity pool operator
- 523 991 00 2 Securities custodian
- 523 991 00 9 Securities transfer agent
- 523 991 00 4 Trust office of bank
- 523 991 00 7 Trust company, nondepository
- 525 910 00 1 Management investment company office, open-end

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19 KIND OF BUSINESS - Continued

Other investment-related activities - Continued

- 0700 525 990 00 1 Management investment company office, closed-end
- 525 910 00 2 Money market mutual fund office
- 523 210 00 1 Securities exchange
- 523 210 00 2 Commodities exchange
- 523 999 00 2 Securities/commodities exchange clearinghouse
- 523 130 00 8 Foreign currency exchange
- 523 991 00 3 Escrow, except real estate
- 523 999 00 3 Deposit broker

Trusts/funds/plans

- 523 991 00 1 Administrator of private estate
- 523 991 00 5 Trustee in bankruptcy
- 525 920 00 1 Personal trust, estate or agency account
- 525 920 00 2 Private trust/foundation primarily holding investments and other assets of individuals
- 525 120 00 2 Health or welfare fund
- 525 110 00 1 Pension fund
- 525 120 00 1 Other employee benefit plan
- 777 520 00 7 Trust/foundation primarily engaged in day-to-day operations of a business - *Specify kind of business* ↴

0701

Other business activities

- 525 910 30 1 Venture capital company
- 523 130 00 2 Commodity trading company
- 523 910 20 1 Oil royalty trader, investing on own account
- 523 910 90 5 Investor, investing on own account
- 522 310 00 1 Loan broker or agent
- 522 310 00 2 Mortgage broker
- 775 000 00 1 Other kind of business or activity - *Specify* ↴

0701

20 and 21 Not Applicable.

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If not shown, please enter your 11-digit Census File Number (CFN) from the mailing address.

HOW TO REPORT PERCENTS

If figure is **38.76%** of total sales:

Report whole percents

2007				
Estimates are acceptable. Report dollars OR percents.				
\$ Bil.	Mil.	Thou.	Dol.	Percent
				39

22 DETAIL OF SALES, SHIPMENTS, RECEIPTS, OR REVENUE
 (Report sources of revenue for this establishment, either as a dollar figure or as a whole percent of total revenue (reported in 5). See HOW TO REPORT DOLLAR FIGURES on page 2 and HOW TO REPORT PERCENTS above. Do not combine data for two or more lines.)

- Line 1** - Revenue from services of advising, purchasing, underwriting, or acting as an agent in the marketing of securities.
- Line 2** - Includes commissions, fees, margin interest, etc. Excludes trading on own account.
- Line 3** - Includes commissions, fees, margin interest, etc. Excludes trading on own account.
- Line 4** - Includes commissions, fees, margin interest, etc. Excludes trading on own account.
- Line 9** - Revenue includes interest and fees.
- Line 11** - Revenue includes dividends.
- Line 15** - Revenue from the creation of a fiduciary relationship, including administration and management of corporate funds such as benefit or profit sharing plans, transfer and other agents, and estate administration.
- Line 16** - Includes revenue from services related to mergers and acquisitions, as well as the issuance of fairness opinions.
- Line 17** - Loan income includes interest received, origination and other fees received, and revenue from sales of loans.
- Line 18** - Revenue from services that provide an infrastructure for conducting trades and allowing trade executions.

Description of sales, shipments, receipts, or revenue	Census use	2007				
		Estimates are acceptable. Report dollars OR percents.				
		\$ Bil.	Mil.	Thou.	Dol.	Percent
0723	0720	0721				0722
1. Securities origination products	55310					
2. Brokering and dealing products - equities	55610					
3. Brokering and dealing products - derivative contracts						
a. Futures contracts, exchange-traded	55711					
b. Options contracts, exchange-traded	55712					
c. Forward contracts, traded over-the-counter	55713					
d. Swaps, traded over-the-counter	55714					
e. Options contracts, traded over-the-counter	55715					
f. Other derivative contracts, traded over-the-counter	55716					
g. Sum lines 3a through 3f	55710					
4. Brokering and dealing products - debt instruments						
a. Negotiable certificates of deposit	55411					
b. Commercial paper issued by financial institutions	55412					
c. Commercial paper issued by nonfinancial institutions	55413					
d. Bankers acceptance	55414					

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22 DETAIL OF SALES, SHIPMENTS, RECEIPTS, OR REVENUE - Continued

Description of sales, shipments, receipts, or revenue	Cen- sus use	2007				
		Estimates are acceptable. Report dollars OR percents.				
		\$ Bil.	Mil.	Thou.	Dol.	Percent
0723	0720	0721				0722
4. Brokering and dealing products - debt instruments - Continued						
e. Treasury bills	55415					
f. Other money market instruments	55416					
g. Corporate and trust notes and bonds	55417					
h. National government notes and bonds	55418					
i. State, provincial, and local government notes and bonds	55419					
j. Foreign government notes and bonds	55421					
k. Sum lines 4a through 4j	55410					
5. Brokering and dealing foreign currency fees - wholesale	55810					
6. Brokering and dealing investment company securities, including mutual funds, closed-end funds, and unit investment trusts	55910					
7. Brokering and dealing other financial instruments, including commodity pools and face-amount certificates	56010					
8. Brokerage correspondent products - fees	56110					
9. Financing related to securities						
a. Securities lending fees, including securities borrowed from a broker's inventory and margin accounts	56211					
b. Repurchase agreements	56212					
c. Financing related to securities, excluding securities lending and repurchase agreements - net gains (losses)	56213					
d. Sum lines 9a through 9c	56210					
10. Trading debt instruments on own account - net gains (losses)	56510					
11. Trading equities on own account - net gains (losses)	56610					
12. Trading derivative contracts on own account - net gains (losses)	56710					
13. Trading foreign currency on own account - net gains (losses)	56810					
14. Trading other securities and commodity contracts on own account - net gains (losses)	56910					
15. Trust products - fiduciary fees						
a. Trust products for businesses and governments	57411					
b. Personal trust products	57412					

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CONTINUE WITH **23** ON PAGE 7

If not shown, please enter your 11-digit Census File Number (CFN) from the mailing address.

22 DETAIL OF SALES, SHIPMENTS, RECEIPTS, OR REVENUE - Continued

Description of sales, shipments, receipts, or revenue	Census use	2007				
		Estimates are acceptable. Report dollars OR percents.				
		\$ Bil.	Mil.	Thou.	Dol.	Percent
0723	0720	0721				0722
15. Trust products - fiduciary fees - Continued						
c. Other trust products	57413					
d. Sum lines 15a through 15c	57410					
16. Financial planning and investment management products						
a. Financial planning and investment management services for businesses and governments	57711					
b. Personal financial planning and advice products	57712					
c. Personal investment management products	57713					
d. Sum lines 16a through 16c	57710					
17. Loan products - income	55010					
18. Management of financial market and clearing products						
a. Payment clearing and settlement products - fees	57511					
b. Security and commodity contract trade execution, clearing and settlement products - fees	57512					
c. Access to security and commodity contract trade execution and clearing system products - fees	57513					
d. Security and commodity contract exchange and clearinghouse listing products - fees	57514					
e. Other management of financial markets and clearing products	57515					
f. Sum lines 18a through 18e	57510					
19. Insurance brokerage and agency products - commissions	58190					
20. Other products supporting financial services - fees - Specify ↴						
	57810					
21. TOTAL (Should equal 5 if reporting in dollars.)	59990					1 0 0

23 and **24** Not Applicable.

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25 EXPORTED SERVICES

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. Services provided to domestic subsidiaries of foreign firms are excluded.

A. Did the receipts or revenue (reported in **5**) include any amounts for exported services?

0911 Yes - Go to line B

0912 No

2007		
\$ Mil.	Thou.	Dol.

B. Amount of receipts or revenue for exported services 0914

26 SPECIAL INQUIRIES

A. LOAN INCOME

For each type of loan product listed below indicate the percentage of income that is derived from interest, origination fees, and other fees.

Loan Type	Mark "X" if None	2007			
		Percentage of loan income from:			
		Interest	Origination Fees	Other Fees	Total
1. Loans to businesses and governments	0519 <input type="checkbox"/>	0515	0516	0517	
		%	%	%	1 0 0 %
2. Loans to consumers - secured, residential mortgages and home equity	0549 <input type="checkbox"/>	0545	0546	0547	
		%	%	%	1 0 0 %
3. Loans to consumers - secured, vehicle and other	0589 <input type="checkbox"/>	0585	0586	0587	
		%	%	%	1 0 0 %
4. Loans to consumers - unsecured	0599 <input type="checkbox"/>	0595	0596	0597	
		%	%	%	1 0 0 %

B. BROKERING AND DEALING PRODUCTS

Did this establishment have income from brokering and dealing products during 2007?

0173 Yes

0174 No (If no, mark "X" and go to C.)

Estimate the percentage of this establishment's brokering and dealing income from the following sources.

		2007	
		Percent	
1. Fees and commissions	0159		%
2. Interest income from trading accounts	0161		%
3. Net gains (losses) in trading accounts, excluding interest income	0163		%
4. Margin interest	0165		%
5. Other	0167		%
6. TOTAL		1 0 0	%

CONTINUE WITH **26** ON PAGE 9

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If not shown, please enter your 11-digit Census File Number (CFN) from the mailing address.

26 SPECIAL INQUIRIES - Continued

C. BROKERING OR DEALING PRODUCTS

Did this establishment have income from brokering or dealing products during 2007?

0207 Yes

0208 No - (If no, mark "X" and go to **30**.)

Estimate the percentage of this establishment's brokering or dealing income from the following sources.

1. Brokering products	0162		%
2. Dealing products	0164		%
3. TOTAL		1 0 0	%

2007	
Percent	
	%
	%
1 0 0	%

27-29 Not Applicable.

REMARKS (Please use this space for any explanations that may be essential in understanding your reported data.)

30 CERTIFICATION - This report is substantially accurate and was prepared in accordance with the instructions.

Is the time period covered by this report a calendar year?

Yes No - Enter time period covered →

FROM	Month	Year	TO	Month	Year

Name of person to contact regarding this report	Title

Telephone	Area code	Number		Extension	Fax	Area code	Number	
			-					-

Internet e-mail address	Date completed	Month	Day	Year

Thank you for completing your 2007 ECONOMIC CENSUS form.
PLEASE PHOTOCOPY THIS FORM FOR YOUR RECORDS AND RETURN THE ORIGINAL.

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