



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

FORM

**FI-52360** (10-27-2011)

# 2012 ECONOMIC CENSUS

## Securities and Commodity Contracts Intermediation and Brokerage and Other Financial Investments

OMB No. 0607-0931: Approval Expires 12/31/2013

**DUE DATE**  
**FEBRUARY 12, 2013**

(Please correct any errors in this mailing address.)

**Need help or have questions?**

- **Read** the accompanying information sheet(s) before answering the questions.
- **Visit** [econhelp.census.gov](http://econhelp.census.gov)
- **Call** 1-800-233-6136, between 8:00 a.m. and 6:00 p.m., Eastern time, Monday through Friday.

**FI-52360**

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**Report Online** - It's fast and secure!  
**Go to:** [econhelp.census.gov](http://econhelp.census.gov)

- **OR** -

**Mail** your completed form to:

**U.S. CENSUS BUREAU**  
**1201 East 10th Street**  
**Jeffersonville, IN 47134-0001**

**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.
- Do not put slashes through 0 or 7.
- Please center numbers in their respective boxes.
- Place an "X" inside the box.

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 to the left of the mailing address the same as the one used for this establishment on its latest 2012 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			

CONTINUE WITH **2** ON PAGE 2

52360013



**2** PHYSICAL LOCATION - Continued

**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

**3** OPERATIONAL STATUS

Which ONE of the following best describes this establishment's operational status at the end of 2012? (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 corporation - *Give date at right AND enter name and address of new owner or operator and Employer Identification Number (EIN) below* → 

Month	Day	Year

  
0018

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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 2012 Number

Number of months in operation during 2012 (If none, mark "X" and go to 30.) . . . . . 0002

**HOW TO REPORT DOLLAR FIGURES**

Dollar figures should be rounded to thousands of dollars.

If a figure is \$2,035,628.79: Report →

If a value is "0" (or less than \$500.00): Report →

2012		
\$ Bil.	Mil.	Thou.
	2	036
EXAMPLE		

**5** SALES, SHIPMENTS, RECEIPTS, OR REVENUE

Mark "X" if None 2012 \$ Bil. Mil. Thou.

Revenue . . . . . 0100

**6** Not Applicable.

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

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 to the left of 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).

Mark "X" if None

2012 Number

A. Number of employees for pay period including March 12, 2012

Grid for entering 2012 Number

B. Payroll before deductions (Exclude employer's cost for fringe benefits.)

Mark "X" if None

2012

Table with columns: \$ Bil., Mil., Thou. for 2012 payroll data.

1. Annual payroll 0300

2. First quarter payroll (January-March 2012) 0310

8-18 Not Applicable.

19 KIND OF BUSINESS

Which ONE of the following best describes this establishment's principal kind of business in 2012? (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

Blank box for specifying business type

CONTINUE WITH 19 ON PAGE 4

52360039



**19** KIND OF BUSINESS - Continued**Other investment-related activities**

- 0700
- 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 advisor
- 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 institution
- 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
- 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

CONTINUE WITH **19** ON PAGE 5

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52360047



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**19** KIND OF BUSINESS - Continued

**Trusts/funds/plans - Continued**

- 0700 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**

- 523 910 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
- 522 110 10 1  Bank primarily engaged in full service commercial banking - national charter
- 522 110 20 1  Bank primarily engaged in full service commercial banking - state charter
- 522 390 00 7  Payday loans
- 775 000 00 1  Other kind of business or activity - *Specify* ↴

0701

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**20 and 21** Not Applicable.

**HOW TO REPORT PERCENTS**

Percents should be **rounded to whole** percents.

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

2012			
Report thousands of dollars OR whole percents.			
Estimates are acceptable.			
\$ Bil.	Mil.	Thou.	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 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.

CONTINUE WITH **22** ON PAGE 6

CONTINUE ON PAGE 6

52360054



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

Description of sales, shipments, receipts, or revenue	2012			
	Report thousands of dollars OR whole percents. Estimates are acceptable.			
	\$ Bil.	Mil.	Thou.	Percent
<b>1.</b> Securities origination services . . . . . 55310				
<b>2.</b> Brokering and dealing services for equities . . . . . 55610				
<b>3.</b> Brokering and dealing services for derivative contracts				
<b>a.</b> Futures contracts, exchange-traded . . . . . 55711				
<b>b.</b> Options contracts, exchange-traded . . . . . 55712				
<b>c.</b> Forward contracts, traded over-the-counter . . . . . 55713				
<b>d.</b> Swaps, traded over-the-counter . . . . . 55714				
<b>e.</b> Options contracts, traded over-the-counter . . . . . 55715				
<b>f.</b> Other derivative contracts, traded over-the-counter . . . . . 55716				
<b>g. Add lines 3a through 3f</b> . . . . . 55710				
<b>4.</b> Brokering and dealing services for debt instruments				
<b>a.</b> Negotiable certificates of deposit . . . . . 55411				
<b>b.</b> Commercial paper issued by financial institutions . . . . . 55412				
<b>c.</b> Commercial paper issued by nonfinancial institutions . . . . . 55413				
<b>d.</b> Bankers acceptance . . . . . 55414				
<b>e.</b> Treasury bills . . . . . 55415				
<b>f.</b> Other money market instruments . . . . . 55416				
<b>g.</b> Corporate and trust notes and bonds . . . . . 55417				
<b>h.</b> National government notes and bonds . . . . . 55418				
<b>i.</b> State, provincial, and local government notes and bonds . . . . . 55419				

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CONTINUE WITH **22** ON PAGE 7

**CONTINUE ON PAGE 7**

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

Description of sales, shipments, receipts, or revenue	2012			
	Report thousands of dollars OR whole percents. Estimates are acceptable.			
	\$ Bil.	Mil.	Thou.	Percent
<b>4.</b> Brokering and dealing services for debt instruments - Continued				
<b>j.</b> Foreign government notes and bonds . . . . . 55421				
<b>k. Add lines 4a through 4j</b> . . . . . 55410				
<b>5.</b> Brokering and dealing services for foreign currency (whole sale)				
<b>6.</b> Brokering and dealing services for investment company securities, including mutual funds, closed-end funds, and unit investment trusts . . . . . 55910				
<b>7.</b> Brokering and dealing services for other financial instruments 56010				
<b>8.</b> Brokerage correspondent services . . . . . 56110				
<b>9.</b> Financing related to securities				
<b>a.</b> Securities lending fees, including securities borrowed from a broker's inventory and margin accounts . . . . . 56211				
<b>b.</b> Repurchase agreements - net gains (losses) . . . . . 56212				
<b>c.</b> Financing related to securities, excluding securities lending and repurchase agreements - net gains (losses) . . . . . 56213				
<b>d. Add lines 9a through 9c</b> . . . . . 56210				
<b>10.</b> Trading debt instruments on own account - net gains (losses) 56510				
<b>11.</b> Trading equities on own account - net gains (losses) . . . . . 56610				
<b>12.</b> Trading derivative contracts on own account - net gains (losses) . . . . . 56710				
<b>13.</b> Trading foreign currency on own account - net gains (losses) 56810				
<b>14.</b> Trading other securities and commodity contracts on own account - net gains (losses) . . . . . 56910				

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CONTINUE WITH **22** ON PAGE 8

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

Description of sales, shipments, receipts, or revenue	2012			
	Report thousands of dollars OR whole percents. Estimates are acceptable.			
	\$ Bil.	Mil.	Thou.	Percent
<b>15. Trust services - fiduciary fees</b>				
<b>a. Trust services for businesses and governments</b> . . . . . 57411				
<b>b. Personal trust services</b> . . . . . 57412				
<b>c. Other trust services</b> . . . . . 57413				
<b>d. Add lines 15a through 15c</b> . . . . . 57410				
<b>16. Financial planning and investment management services</b>				
<b>a. Mergers and acquisition or financial consulting services</b> . . . 57714				
<b>b. Financial management consulting services</b> . . . . . 57711				
<b>c. Personal financial planning and advice services</b> . . . . . 57712				
<b>d. Personal investment management services</b> . . . . . 57713				
<b>e. Add lines 16a through 16d</b> . . . . . 57710				
<b>17. Loan services - income</b> . . . . . 55010				
<b>18. Support services for financial and commodity markets</b>				
<b>a. Payment clearing and settlement services for financial transactions, except trades of securities and commodity contracts</b> . . . . . 57511				
<b>b. Trade execution, clearing, and settlement services for security and commodity contracts</b> . . . . . 57512				
<b>c. Trading and clearing system services for security and commodity contracts</b> . . . . . 57513				
<b>d. Listing services for security and commodity contracts</b> . . . 57514				
<b>e. Support services for financial market and clearing products, not elsewhere specified</b> . . . . . 57515				
<b>f. Add lines 18a through 18e</b> . . . . . 57510				
<b>19. Insurance brokerage and agency services - commissions</b> . . . 58190				

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CONTINUE WITH **22** ON PAGE 9

CONTINUE ON PAGE 9



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

Description of sales, shipments, receipts, or revenue	2012			
	Report thousands of dollars OR whole percents. Estimates are acceptable.			
	\$ Bil.	Mil.	Thou.	Percent
<b>20.</b> Other products supporting financial services - fees - <i>Specify</i>				
<input type="text" value="57810"/>				
<b>21. TOTAL</b> (Should equal <b>5</b> if reporting in dollars.) . . . . . 59990				100

**23 and 24** Not Applicable.

**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.

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

0911  Yes - Go to line B

0912  No

2012	
\$ Mil.	Thou.
<input type="text" value=""/>	<input type="text" value=""/>

**B.** Amount of receipts or revenue for exported services . . . . . 0914

**26** SPECIAL INQUIRIES

**A. LOAN SERVICES INCOME**

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

Loan Type	Mark "X" if None	2012			
		Percentage of income from:			
		Interest	Origination Fees	Other Fees	Total
<b>1.</b> Loans to businesses and governments . . . . . 0519	<input type="checkbox"/>	0515	0516	0517	
		<input type="text" value=""/> %	<input type="text" value=""/> %	<input type="text" value=""/> %	100 %
<b>2.</b> Loans to consumers - secured, residential mortgages and home equity . . . . . 0549	<input type="checkbox"/>	0545	0546	0547	
		<input type="text" value=""/> %	<input type="text" value=""/> %	<input type="text" value=""/> %	100 %
<b>3.</b> Loans to consumers - secured, vehicle and other . . . . . 0589	<input type="checkbox"/>	0585	0586	0587	
		<input type="text" value=""/> %	<input type="text" value=""/> %	<input type="text" value=""/> %	100 %
<b>4.</b> Loans to consumers - unsecured . . . . . 0599	<input type="checkbox"/>	0595	0596	0597	
		<input type="text" value=""/> %	<input type="text" value=""/> %	<input type="text" value=""/> %	100 %

CONTINUE WITH **26** ON PAGE 10

52360096



**26** SPECIAL INQUIRIES - Continued

**B. BROKERING AND DEALING SERVICES**

Did this establishment have income from brokering and dealing services during 2012?

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:

- 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** . . . . .

2012	
Percent	
<input type="text"/>	%
<input type="text"/>	%
<input type="text"/>	%
<input type="text"/>	%
<input type="text"/>	%
<b>100</b>	%

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**C. BROKERING OR DEALING SERVICES**

Did this establishment have income from brokering or dealing services during 2012?

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 services . . . . . 0162
- 2. Dealing services . . . . . 0164
- 3. **TOTAL** . . . . .

2012	
Percent	
<input type="text"/>	%
<input type="text"/>	%
<b>100</b>	%

**27-29** Not Applicable.

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

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**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
	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>

Name of person to contact regarding this report

Title

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

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

E-mail address

Date completed	Month	Day	Year
	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Thank you for completing your 2012 ECONOMIC CENSUS form.  
PLEASE PHOTOCOPY THIS FORM FOR YOUR RECORDS AND RETURN THE ORIGINAL.**

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