

Report of Foreign Holdings of U.S. Securities, Including Selected Money Market Instruments (SHL(A))

SCHEDULE 1: REPORTER CONTACT IDENTIFICATION AND SUMMARY OF FINANCIAL INFORMATION

1. Reporter Identification Number (RSSD): ..... [grid]

2. Organization Name: \_\_\_\_\_

3. Street Address: \_\_\_\_\_

4. City: \_\_\_\_\_ 5. State: \_\_\_\_\_ 6. Zip Code: \_\_\_\_\_

7. Reporting Status: ..... [checkbox]
1 = Exempt - Under the exemption level
2 = Not Exempt - Schedule 2 records being submitted

8. Reporter Type: ..... [checkbox]
1 = Depository Institution
2 = Fund/Fund Manager/Sponsor (excluding pension fund)
3 = Pension Fund
4 = Insurance Company
5 = Other Financial Organization (including BHC, FHC, broker/dealers)
6 = Non-financial Organization
7 = Foundation, trust, estate
8 = Institution of higher learning (e.g., university)
9 = Other (not listed above)

If you would like to provide more than one contact name, please attach additional copies of page 1, Schedule 1, with items 9 through 13 completed.

Business Contact Information:

9. Name: \_\_\_\_\_

10. Title: \_\_\_\_\_

11. Telephone Number: \_\_\_\_\_

12. Email Address: \_\_\_\_\_

13. Name of Service Provider or Vendor Used (if applicable): \_\_\_\_\_

Technical Contact Information:

14. Name: \_\_\_\_\_ 15. Title: \_\_\_\_\_

16. Telephone Number: \_\_\_\_\_ 17. Email Address: \_\_\_\_\_

Reporter Identification Number (RSSD):.....

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18. Valuation Technique(s) Used to Determine Fair Values

For each reporting unit, please describe the valuation technique(s) used to determine reported fair values. If securities are automatically valued at zero after a specified time period of inactivity, please specify the time period and whether this applies to the security or to the client's holdings of the security. Also, please specify how securities not actively traded on the report date and those with internally generated security identification numbers are valued.

Reporting Unit	Valuation Description
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Reporter Identification Number (RSSD).....

SUMMARY OF SCHEDULE 2 INFORMATION

- 19. Total Number of Schedule 2s Submitted
20. Total US\$ Fair Value of All Equity Securities
21. Total US\$ Fair Value of All Short-Term Debt Securities
22. Total US\$ Fair Value of All Long-Term Debt Securities
23. Total US\$ Fair Value of All Asset-Backed Securities

CERTIFICATION INFORMATION

By signing the certification below you acknowledge that:

- You have read and understood the reporting requirements of this report;
You are aware that both civil and criminal penalties may be imposed for filing a false report; and
You are sufficiently knowledgeable about the activities and functions of your organization that you can knowingly and with reasonable confidence certify that the information provided in this report is both accurate and complete.

Certifier's Signature: 24. Date Signed:

25. Certifier's Name:

26. Certifier's Title:

27. Certifier's Telephone Number:

28. Certifier's Email Address:



Reporter Identification Number (RSSD): .....

16. US\$ Fair Value of Security:..... , , ,

17. Fair Value of Security in the Currency of Denomination:..... , , ,

**FOR EQUITIES ONLY**

(Security Types 1, 2, 3 or 4)

18. Number of Shares:..... , , ,

**FOR ALL DEBT SECURITIES  
(NON-ASSET-BACKED AND ASSET-BACKED SECURITIES)**

(Security Types 5, 6, 7, 8, 9, 10, 11, or 12)

19. Face Value (for non-ABS) or Remaining Principal Outstanding (for ABS)  
in the Currency of Denomination: ..... , , ,

**FOR ASSET-BACKED SECURITIES ONLY**

(Security Type 12)

20. Original Face Value in the Currency of Denomination: ..... , , ,

**FOR ALL DEBT SECURITIES  
(NON-ASSET-BACKED AND ASSET-BACKED SECURITIES)**

(Security Types 5, 6, 7, 8, 9, 10, 11, or 12)

21. Issue Date: (MMDDYYYY).....

22. Maturity Date: (MMDDYYYY).....