

Report of U.S. Ownership of Foreign Securities, Including Selected Money Market Instruments (SHC)

SCHEDULE 1: REPORTER CONTACT IDENTIFICATION AND SUMMARY OF FINANCIAL INFORMATION

REPORTER CONTACT 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, 2 = Only Schedule 2(s) are being submitted, 3 = Only Schedule 3(s) are being submitted, 4 = Schedules 2(s) and 3(s) are being submitted

8. Reporter Type : ..... [checkbox]

- 1 = Depository Institution, 2 = Fund /Fund Manager/Sponsor, 3 = Pension Fund, 4 = Insurance Company, 5 = Other Financial Organization, 6 = Non-Financial Organization, 7 = Foundation, trust, estate, 8 = Institution of higher learning, 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: \_\_\_\_\_





**SCHEDULE 2: DETAILS OF SECURITIES**

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

2. Sequence Number: .....  ,    ,

3. Reporting Unit:.....

4. Name of Reporting Unit: \_\_\_\_\_

5. Reporting As:.....

1 = End-investor                      2 = Custodian

6. Security ID:.....

7. Security ID System:.....

1 = CUSIP      2 = ISIN      3 = CINS      4 = Common Code      5 = SEDOL  
6 = Internally Generated      7 = Other (Provide answer to 8)

8. For code of Other (7) enter the name of the organization or system that assigned the Security ID:  
\_\_\_\_\_

9. Security Description: \_\_\_\_\_

10. Name of Issuer: \_\_\_\_\_

11. Type of Foreign Issuer:.....

1 = Foreign Official Institutions                      2 = All Other Foreign Residents

12. Security Type: .....

<u>Equities</u>	<u>Debt (excluding asset-backed securities)</u>	<u>Asset-Backed Securities</u>
1 = Common stock	5 = Commercial paper	9 = Bond or note, unstripped
2 = Preferred stock	6 = Negotiable CD	10 = Bond or note, stripped
3 = Fund shares	7 = Convertible debt security	11 = All other debt
4 = All other equity	8 = Zero-coupon bond or note	12 = Asset-backed security

13. Country of Residence of Issuer: (Refer to Appendix C).....

14. Currency of Denomination: (Refer to Appendix E).....

15. Type of U.S. Owner: .....

1 = Depository Institution	4 = Mutual Fund
2 = Fund or Other Investment Vehicle (excluding pension and mutual funds)	5 = Insurance company
3 = Pension Fund	6 = Other Financial Organization (including BHC, FHC, IHC)
	7 = Nonfinancial Organization (including individual/household)

16. Depository Receipt/Share: .....

1 = Yes, the security is a Depository Receipt/Share  
2 = No, the security is NOT a Depository Receipt/Share

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

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

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

**FOR EQUITIES ONLY**

(Security Types 1, 2, 3 or 4)

19. 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)

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

**FOR ASSET-BACKED SECURITIES ONLY**

(Security Type 12)

21. 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)

22. Issue Date: (MMDDYYYY).....

23. Maturity Date: (MMDDYYYY).....

**SCHEDULE 3: CUSTODIANS USED**

- 1. Reporter Identification Number (RSSD):.....
- 2. Sequence Number: .....   ,
- 3. Custodian Code: (Refer to Appendix F).....

If the U.S.-resident custodian used is not in the Appendix, please enter 99 and complete items 9 through 14.

- 4. Total US\$ Fair Value of Foreign Equity Securities  ,     ,      ,      ,
- 5. Total US\$ Fair Value of Foreign Short-Term Debt Securities (excluding asset-backed securities).....  ,      ,      ,      ,
- 6. Total US\$ Fair Value of Foreign Long-Term Debt Securities (excluding asset-backed securities) .....  ,      ,      ,      ,
- 7. Total US\$ Fair Value of Foreign Asset-Backed Securities .....  ,      ,      ,      ,
- 8. Reporting As: .....

1 = U.S.-resident end-investor (as defined in Appendix G – Glossary)  
 2 = U.S.-resident custodian (as defined in Appendix G – Glossary), who is in turn entrusting these securities to another U.S.-resident custodian that knows the identities of its customers

**Complete items 9 through 14, identifying the U.S.-Resident Custodian, only if the Custodian Code in Item 3 is 99:**

- 9. Name of U.S.-Resident Custodian:  
\_\_\_\_\_
- 10. Street Address of U.S.-Resident Custodian:  
\_\_\_\_\_
- 11. City: \_\_\_\_\_ 12. State: \_\_\_\_\_ 13. Zip Code: \_\_\_\_\_
- 14. Telephone Number of U.S.-Resident Custodian: \_\_\_\_\_