

2009 Annual Services Report Service Annual Survey

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



FORM

SA-5231T1

REPORT DUE

Any questions call **1-800-772-7851**
M-F, 8:30 a.m. to 5:00 p.m. EST.
or

Visit our web site:
www.census.gov/econhelp/sas

Please correct any error in the name, address, or ZIP Code.

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Click on "Census Taker" and use your username and password to login.

Username:

Password:

YOUR RESPONSE IS REQUIRED BY LAW

Title 13, U.S. Code, requires businesses and other organizations that receive this questionnaire to answer the questions and return the report to the Census Bureau.

YOUR RESPONSE IS CONFIDENTIAL BY LAW

Title 13, U.S. 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.

Annual Services Report

- This report should be completed and returned on or before the due date in the preaddressed envelope provided.
- If filing within the required time frame will cause an undue burden and you would like an extension, or if you have any questions, please write to:

U.S. CENSUS BUREAU
1201 East 10th Street
Jeffersonville, IN 47132-0001

or call a Census Bureau Representative at 1-800-772-7851, weekdays from 8:30 a.m. to 5:00 p.m., Eastern Standard Time.

1 Report Coverage

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

- 0001 1 Yes – Go to 2
- 2 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 2009 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.

- 0006 1 2009 calendar year – Go to 3
- 2 Other than calendar year – Enter the periods this report will cover.
(e.g., fiscal years, periods with less than a full calendar year).

2009		
Month	Day	Year
0007		
From		
0008		
To		

3 Operating Revenue

Report the total operating revenue for this firm's locations defined in 1 for the following categories.

- Enter "0" where applicable.
- Estimates are acceptable.

Exclude:

- Transfers made within the company.

		2009 Operating Revenue								
		Bil.	Mil.	Thou.	Dol.					
<p>1. Securities origination products – These products assist the issuers of securities (businesses and governments) in creating their securities, and having them distributed to the investing public. The service may involve advising the issuer; purchasing the securities and selling them (underwriting); or acting as an agent in marketing the securities.</p>	2161	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; text-align: center;">\$</td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> </tr> </table>			\$				
\$										
		Mark "X" if None								
<p>2. Brokering and dealing products – debt instruments – Brokering and dealing in debt instruments (e.g., bills, bonds, notes, CDs, Guaranteed Investment Contracts (GICs), commercial paper, bankers acceptances, and all other debt instrument products). . . .</p>	2162	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; text-align: center;">\$</td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> </tr> </table>			\$				
\$										
		Mark "X" if None								
<p>3. Brokering and dealing products – equities – Brokering and dealing in equity securities (e.g., common stock, preferred stock, convertible bonds, warrants, industrial corporations, commercial corporations, non-financial services corporations, financial corporations, holding companies, American Depository Receipts, Estate Contribution Certificates, and all other equity products).</p>	2101	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; text-align: center;">\$</td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> </tr> </table>			\$				
\$										
		Mark "X" if None								
<p>4. Brokering and dealing products – derivative contracts – Brokering and dealing derivative contracts (e.g., forward, swap, option, credit derivative contracts, over-the-counter, on exchanges, or any other derivative contracts).</p>	2102	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; text-align: center;">\$</td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> </tr> </table>			\$				
\$										
		Mark "X" if None								
<p>5. Brokering and dealing investment company securities – Brokering and dealing investment company securities (e.g., mutual funds, closed-end funds, unit investment trusts).</p>	2163	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; text-align: center;">\$</td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> </tr> </table>			\$				
\$										
		Mark "X" if None								
<p>6. Repurchase agreements – net gains (losses) – The sale of a security to a counterparty for cash with an agreement to repurchase it at a fixed price on a specified future date. A reverse repurchase agreement is from the perspective of the counterparty to a repurchase agreement, i.e., the purchase of a security from a counterparty for cash with an agreement to sell it at a fixed price on a specified future date.</p>	2164	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; text-align: center;">\$</td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> </tr> </table>			\$				
\$										
		Mark "X" if None								
<p>7. Trading debt instruments on own account – net gains (losses) – Gains made from buying and selling debt securities, on own account.</p>	2165	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; text-align: center;">\$</td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> </tr> </table>			\$				
\$										
		Mark "X" if None								
<p>8. Trading equities on own account – net gains (losses) – Gains made from buying and selling equity securities, on own account.</p>	2166	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; text-align: center;">\$</td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> </tr> </table>			\$				
\$										
		Mark "X" if None								
<p>9. Trading derivative contracts on own account – net gains (losses) – Gains made from buying and selling derivative contracts, on own account.</p>	2103	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; text-align: center;">\$</td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> <td style="width: 20%;"></td> </tr> </table>			\$				
\$										
		Mark "X" if None								

3 Operating Revenue – (Continued)

Report the total operating revenue for this firm's locations defined in 1 for the following categories.

- Enter "0" where applicable.
- Estimates are acceptable.

Exclude:

- Transfers made within this company.

Financial Planning and Investment Management Products

10. Financial planning and investment services for individuals, businesses and governments

a. Financial planning and investment management services for individuals –

Financial planning, advisory, and investment management services for private individuals. 2104

2009 Operating Revenue			
Bil.	Mil.	Thou.	Dol.
Mark "X" if None			
\$			

b. Financial planning and investment management services for businesses –

Providing financial planning, advisory, and investment management services for businesses. 2105

2009 Operating Revenue			
Bil.	Mil.	Thou.	Dol.
Mark "X" if None			
\$			

c. Financial planning and investment management services for governments –

Providing financial planning, advisory, and investment management services for governments. 2106

2009 Operating Revenue			
Bil.	Mil.	Thou.	Dol.
Mark "X" if None			
\$			

11. All other operating revenue – Revenue not reported in lines 1–10. If this item is greater than 20% of the total operating revenue, specify the primary source of revenue here ↗

1560

1799

2009 Operating Revenue			
Bil.	Mil.	Thou.	Dol.
Mark "X" if None			
\$			

12. TOTAL OPERATING REVENUE – Sum of lines 1–11. 1800

2009 Operating Revenue			
Bil.	Mil.	Thou.	Dol.
\$			

4 Source of Brokering and Dealing Equity Revenue

Report the percent of revenue derived from fees and commissions, interest income from trading accounts (including margin interest), and net gains in trading accounts for brokering and dealing equity revenue reported in 3 line 3.

- Enter "0" where applicable.
- Estimates are acceptable.

Source of Brokering and Dealing Equity Revenue 2009

1. Fees and commissions	2107	<input style="width: 60px; height: 20px;" type="text"/>	%
2. Interest income from trading accounts (including margin interest)	2108	<input style="width: 60px; height: 20px;" type="text"/>	%
3. Net gains in trading accounts	2109	<input style="width: 60px; height: 20px;" type="text"/>	%
	+		
		100%	

5 Operating Expenses

Report operating expenses for this firm's locations as defined in 1 for the following categories.

- Enter "0" where applicable.
- Estimates are acceptable.

Exclude:

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

Personnel Costs

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1. Gross annual payroll – Total annual Medicare salaries and wages for all employees as reported on your firm's IRS Form 941, Employer's Quarterly Federal Tax Return, line 5(c) for the four quarters that correspond to the survey period or IRS Form 944 Employer's Annual Federal Tax Return, line 4(c). 1821 <input type="checkbox"/>	\$			

Mark "X" if None

Mark "X" if None

Mark "X" if None

2. Employer's cost for fringe benefits – Employer's cost for legally required programs and programs not required by law. Include insurance premiums for hospital plans, medical plans, and single service plans (e.g., dental, vision, prescription drugs); premium equivalents for self-insured plans and fees paid to third-party administrators (TPAs); defined benefit pension plans; defined contribution plans (e.g., profit sharing, 401K and stock option plans); and other fringe benefits (e.g., Social Security, workers' compensation insurance, unemployment tax, state disability insurance programs, life insurance benefits, Medicare). Exclude employee contributions. 1822 <input type="checkbox"/>	\$			
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Mark "X" if None

3. Temporary staff and leased employee expense – Total costs paid to Professional Employer Organizations (PEOs) and staffing agencies for personnel. Include all charges for payroll, benefits, and services. 1823 <input type="checkbox"/>	\$			
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Expensed Materials, Parts and Supplies (not for resale)

4. Expensed equipment – Expensed computer hardware and other equipment (e.g., copiers, fax machines, telephones, shop and lab equipment, CPUs and monitors). Report packaged software in line 6. Report leased and rented equipment in line 8. 1824 <input type="checkbox"/>	\$			
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Mark "X" if None

Mark "X" if None

5. Expensed purchases of other materials, parts, and supplies – Materials and supplies used in providing services to others; materials and parts used in repairs; office and janitorial supplies; small tools; containers and other packaging materials; and motor fuels. 1825 <input type="checkbox"/>	\$			
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Expensed Purchased Services

6. Expensed purchases of software – Purchases of prepackaged, custom coded, or vendor customized software. Include software developed or customized by others, web-design services and purchases, licensing agreements, upgrades of software; and maintenance fees related to software upgrades and alterations. 1826 <input type="checkbox"/>	\$			
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Mark "X" if None

Mark "X" if None

7. Purchased electricity and fuels (except motor fuels) – If the cost of electricity and heating fuels (e.g., natural gas, propane, oil, coal) are included in lease or rental payments, report in line 8. 1827 <input type="checkbox"/>	\$			
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Mark "X" if None

8. Lease and rental payments – For land, buildings, offices, structures, machinery, equipment, and other tangible items. Include lease and rental of transportation equipment without operators; and penalties incurred for broken leases. Exclude capital and financing lease agreements and licensing/leasing of software. 1828 <input type="checkbox"/>	\$			
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5 Operating Expenses – (Continued)

Report operating expenses for this firm's locations as defined in 1 for the following categories.

- Enter "0" where applicable.
- Estimates are acceptable.

Exclude:

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

Expensed Purchased Services – (Continued)

9. **Purchased repair and maintenance** – Include expensed repair and maintenance to buildings and integral building components (e.g., elevators, heating and cooling systems), structures, offices, machinery, vehicles, equipment, and computer hardware. **Exclude** materials, parts, and supplies used for repair and maintenance performed by this firm's employees. Report janitorial and grounds maintenance services in line 14. 1829

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1829				

10. **Purchased advertising and promotional services** – Include marketing and public relations services. 1830

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1830				

Other Operating Expenses

11. **Depreciation and amortization charges** – Include depreciation charges taken against tangible assets owned and used by your firm, tangible assets and improvements owned by your firm within leaseholds, tangible assets obtained through capital lease agreements, and amortization charges against intangible assets (e.g., patents, copyrights). **Exclude** impairment. 1831

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1831				

12. **Governmental taxes and license fees** – Payments to government agencies for taxes and licenses. **Include** business and property taxes. **Exclude** income taxes, and sales and excise taxes collected from customers. 1832

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1832				

13. **Operating interest expense** – Report non-operating interest expense in 6 line 1 below. 2110

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
2110				

14. **All other operating expenses** – All other operating expenses not reported above, unless specifically excluded in the general instructions at the top of the page. **Include** office postage and package delivery. **Exclude** purchases of merchandise for resale and non-operating expenses. 1899

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1899				

15. **TOTAL OPERATING EXPENSES** – Sum of lines 1–14. 1900

2009 Operating Expenses				
	Bil.	Mil.	Thou.	Dol.
1900				

6 Non-operating Interest Expense

Report non-operating interest expense for all this firm's locations as defined in 1 for the following category.

- Enter "0" where applicable.
- Estimates are acceptable.

Exclude:

- Transfers made within the company
- Capitalized interest

1. **Non-operating interest expense** – Non-operating interest expenses incurred in the financing of operations and long lived assets used in continuing operations. 1857

2009 Non-operating Interest Expense				
	Bil.	Mil.	Thou.	Dol.
1857				

7 Not Applicable

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?

2009 E-Commerce Revenue
Bil. Mil. Thou. Dol.

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- 1 Yes – What was this firm’s e-commerce revenue?2000 \$
- 2 No – Go to **9**

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?

2009 Export Revenue
Bil. Mil. Thou. Dol.

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- 1 Yes – What was this firm’s revenue from exports?2100 \$
- 2 No – Go to **11**

10 Not Applicable

11 Change in Structure

Did you have an Employer Identification Number (EIN) change in 2009?

0013 1 Yes – Enter the new EIN. EIN 0015 –
 2 No – Continue

Was there a change in ownership or control?

0016 1 Yes – Provide the date of the change and the firm's information. 0018

Month	Year

 (for multiple mergers, provide each firm's information as an attachment to this report)

0016 2 No – Go to **12**

0017

0019 –
 EIN

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 0024 0025
 0021

0022 Telephone number			0023 Fax number		0026 E-mail address
Area code	Number	Extension	Area code	Number	

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 _____ 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