

MANDATORY QUINQUENNIAL REPORT TO THE FEDERAL RESERVE BANK OF NEW YORK

**FOREIGN-RESIDENTS' HOLDINGS OF  
U.S. SECURITIES,  
INCLUDING SELECTED MONEY MARKET  
INSTRUMENTS (SHL)**

As of the last day of June 2009

**Mandatory Report  
Response Required By Law  
(22 U.S.C. 3101 et seq.)**



**Department of the Treasury  
Federal Reserve Bank of New York  
Board of Governors of the Federal Reserve System**

April 22, 2009

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## **I. INTRODUCTION**

### **A. PURPOSE**

The Department of the Treasury, with the assistance of the Board of Governors of the Federal Reserve System and the Federal Reserve Bank of New York (FRBNY), is conducting a mandatory quinquennial survey of holdings of U.S. securities, including selected money markets instruments, by foreign residents as of June 30, 2009. The data will be collected by the FRBNY, acting as fiscal agent for the Department of the Treasury. The data collected will be used by the U.S. Government in the computation of the U.S. balance of payments accounts and the U.S. international investment position, and in the formulation of international economic and financial policies. These data also will be used to provide aggregate information to the public on these foreign portfolio investments and to meet international reporting commitments.

In order to reduce reporting burden and costs to the government, there will be a substantial reduction in the number of reporters in four out of every five years. A benchmark survey (Form SHL) of all significant U.S.-resident custodians and issuers will continue to be held approximately every five years. In non-benchmark years, the annual survey (Form SHLA) will require reports from only the very largest U.S.-resident custodians and issuers. The data reported under these annual surveys (Form SHLA) will be used in conjunction with the results of the previous benchmark survey to compute estimates for the non-benchmark years.

The determination of who must report on the annual reports (Form SHLA) will be based upon the data submitted during the previous benchmark survey. Designated U.S.-resident custodians and issuers will be required to file detailed security data on Schedule 2, in the same manner as they did on the June 30, 2009 benchmark survey.

### **B. AUTHORITY**

This mandatory survey is conducted under the authority of the *International Investment and Trade in Services Survey Act (22 U.S.C. 3101 et seq., [the Act] )* and Executive *Order 11961* of January 19, 1977. The Act specifies that the President has the authority to conduct a regular data collection program, including such studies and reports as may be necessary and feasible, to secure current information on

international investment, including (but not limited to) such information as may be necessary for computing and analyzing the balance of payments accounts and the international investment position of the United States (22 U.S.C. 3103). In *Executive Order 11961 §2*, the President designated the Secretary of the Treasury to be responsible for collecting data on portfolio investment required by the Act.

### **C. CONFIDENTIALITY OF DATA REPORTED**

The information collected by this survey may be used only for analytical and statistical purposes and to enforce the Act. Access to the information is available only to officials and employees (including consultants and contractors and their employees) designated to perform functions under the Act. Persons having access to individual company information submitted pursuant to the Act are subject to penalties for unauthorized disclosure (22 U.S.C. §3104 and 18 U.S.C. §1905). The results of this survey will be made available to the general public at an aggregated level so that neither the U.S. persons or organizations providing information nor individual or organizational ownership of U.S. securities can be identified.

### **D. PENALTIES FOR FAILURE TO REPORT**

Reporting as directed in this package is mandatory for any U.S.-resident person or entity subject to the reporting requirements set forth in the report instructions. Failure by an entity to provide timely and accurate data can result in a civil penalty of not less than \$2,500 and not more than \$25,000, or injunctive relief ordering such person to comply, or both (22 U.S.C. §3105 (a) and (b)).

Willfully failing to submit any required information under the Act can result in a fine of not more than \$10,000; and, if an individual, may result in imprisonment for not more than a year, or both. Any officer, director, employee or agent who knowingly participates in such violation, upon conviction, may be punished by a like fine, imprisonment, or both (22 U.S.C. §3105 (c)).

### **E. PAPERWORK REDUCTION ACT NOTICE**

This report titled "Foreign Holdings of U.S. Securities, Including Selected Money Market Instruments" in the Federal Register Notice of (need to add date when known) has been reviewed and approved by the Office of Management and Budget in accordance with the *Paperwork Reduction Act of 1995* and assigned OMB Control Number 1505-0123. The purpose is to collect accurate and complete data that will enable

the Treasury Department to fulfill its responsibility under the Act. The estimated average burden associated with this collection of information is 486 hours per report for each U.S.-resident custodian reporting detailed information on Schedule 2, and 110 hours per report for each U.S.-resident issuer of U.S. securities providing detailed information on Schedule 2. The amount of time required to complete the report will vary depending on the amount of data to report. Comments concerning the accuracy of these burden estimates and suggestions for reducing the reporting burden should be directed to:

Administrator, International Portfolio Investment Data Systems

U.S. Department of the Treasury

1500 Pennsylvania Avenue NW, Room 4410@1440NYA

Washington, DC 20220

or

The Office of Management and Budget

Paperwork Reduction Project (1505-0123)

Washington, DC 20503

No person is required to respond to any U.S. Government collection of information unless it displays a currently valid OMB control number.

## II. GENERAL INSTRUCTIONS

### A. WHO MUST REPORT

**All U.S.-resident entities that receive a copy of this report booklet must submit a Schedule 1, regardless of the size of their consolidated holdings<sup>1</sup>.**

All U.S.-resident entities must report detailed information on Schedule 2, unless the total fair (market) value of the reportable U.S. securities owned by foreign residents is less than \$100 million as of the close of business on June 30, 2009.

To determine if your entity must also submit data on Schedule 2, you must:

1. identify all U.S.-resident business lines or entities (units) of your entity that may have reportable U.S. security data;
2. consolidate the reportable U.S. security data for all of these U.S.-resident units of your entity (see the Consolidation Rules section); and
3. determine if you have exceeded this report's exemption level. If so, your entity is responsible for submitting Schedule 2 data.

Types of reporting entities include U.S.-resident custodians (including U.S.-resident central securities depositories) and U.S.-resident issuers. Entities that provide multiple services (i.e., provide custodial services and issue securities) should report securities that meet the reporting criteria for each role and ensure that securities are not double counted.

- **U.S.-resident custodians, including brokers and dealers**, must report all U.S. securities they hold in custody (or manage the safekeeping of) for the account of foreign residents (including their own foreign branches, subsidiaries, and affiliates). These securities must be reported by the U.S.-resident custodian even if the securities are in turn held at DTC, Euroclear, or another central securities depository, since the central securities depository knows only that it is holding securities on behalf of the U.S.-resident custodian, whereas the U.S.-resident custodian knows that it is holding these securities on behalf of a foreign resident. However, if a U.S.-resident custodian uses a U.S.-

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<sup>1</sup> All entities must submit this report if they exceed the exemption level, whether or not they have been mailed this report package by the Federal Reserve Bank of New York. Reporting requirements for this report have been published in the *Federal Register*, which constitutes legal notification of the requirement to complete this report.

resident sub-custodian, the custodian should report if (and only if), it does not maintain separate accounts at and disclose the clients to the sub-custodian. (If the custodian does maintain separate accounts at and disclose the clients to the sub-custodian, it should not report, to prevent double counting.)

- **U.S.-resident central securities depositories**, must report all U.S. securities they hold in custody (or manage the safekeeping of) directly on behalf of foreign residents with which they have established direct relationships, including foreign-resident brokers, dealers, exchanges, and central securities depositories.
- **U.S.-resident issuers**, must report all securities issued by the U.S.-resident units of their entity, which are:
  1. registered securities that are owned by foreign residents for which neither a U.S.-resident custodian nor a U.S. resident central securities depository is used. Transfer or paying agents should be able to provide the U.S.-resident issuer with this information;
  2. book entry securities that are held at a foreign-resident central securities depository; and
  3. bearer securities.

To determine if your organization has met or exceeded the exemption level based on your U.S.-resident consolidated organization, all U.S.-resident units of the U.S.-resident entity that meet the filing criteria (as explained above) should be included. For example, if you reportable custodial holdings total \$80 million and the reportable securities that another unit of your organization has issued directly to foreigners total \$30 million, you must submit detailed information on Schedule 2, because the total fair (market) value of reportable securities is \$110 million. Although each unit of the reporting entity is under the exemption level, the reporting entity is not exempt because the determination is based on the consolidated organization.

Please refer to Section III, What Securities Must Be Reported, to identify reportable U.S. securities.

## **B. CONSOLIDATION RULES**

U.S.-resident organizations, including bank holding companies (BHC) and financial holding companies (FHC), should include all reportable securities for all U.S.-resident parts of their organization, including all U.S.-resident branches and subsidiaries. U.S. residents include entities located in the Commonwealth of Puerto Rico and the U.S. territories. Please see Appendix G for the complete definition of United States. It is the responsibility of the U.S. parent entity in each organization to ensure that its report includes all



applicable entities within its organization.

Securities issued by U.S.-resident trusts and special purpose entities (SPEs) for which the reporter is the trustee or primary beneficiary should be included. Shares of U.S.-resident funds that are managed by the reporting entity should be included unless a U.S.-resident custodian other than the reporting entity is used.

U.S. branches and agencies of a foreign bank located in the same state and within the same Federal Reserve District should submit a consolidated report for these offices. U.S. branches and agencies of a foreign bank that are located in either different states or different Federal Reserve Districts, should submit separate reports.

### **C. REPORTING DATES**

Report data as of the last business day of June. All data should be submitted to the Federal Reserve Bank of New York no later than the last business day of August.

### **D. SUBMISSION INSTRUCTIONS AND CONTACT INFORMATION**

If your organization is submitting 200 or more Schedule 2 records, the Schedule 2 data must be submitted electronically. The format for submitting Schedule 1 data is dependent on how the Schedule 2 data are submitted.

Option 1:

- Submit both Schedules 1 and 2 data using the Federal Reserve System's Internet Electronic Submission (IESUB) system. IESUB is fast, easy to use and secure. IESUB provides a confirmation of data receipt at the Federal Reserve Bank of New York and performs a number of validity checks of your file format. For more information on how to submit data using the IESUB system, contact the SHL staff at 212-720-6300 or at [SHLA.Help@ny.frb.org](mailto:SHLA.Help@ny.frb.org). Alternatively, additional information and an application to register for IESUB can be obtained at: <http://www.treas.gov/tic/forms.html#benchmark>.

Completed applications should be sent to:

Federal Reserve Bank of New York  
Statistics Function, 4<sup>th</sup> Floor  
33 Liberty Street  
New York, NY 10045-0001  
or faxed to 1-212-720-2598

Option 2:

- Submit Schedule 2 data on compact disk(s) CD(s) in the format specified in Appendix H. Schedule 1 must be filed on paper and must be submitted in the same package as the Schedule 2 data.

If your organization is submitting less than 200 Schedule 2 records, these records may be submitted using the IESUB system or on CD(s) using the format specified in Appendix H or on paper, using the form contained in Appendix A.

Reports and CDs can be mailed or sent by courier to:

Federal Reserve Bank of New York  
Statistics Function, 4<sup>th</sup> Floor  
33 Liberty Street  
New York, NY 10045-0001

Please contact FRBNY staff with questions pertaining to the report or if any of the following conditions apply:

1. Your entity requires additional time to complete your report.
2. Your entity received a copy of the report booklet and is not the U.S. parent entity in your organization.
3. Your entity cannot submit a single report for its entire organization.
4. Your reporter contact information or technical contact information changes after you submit your Schedule 1 report.

FRBNY staff can be reached at:

- Phone: 212-720-6300 or 646-720-6300
- Email: [SHLA.Help@ny.frb.org](mailto:SHLA.Help@ny.frb.org)

Additional copies of the reporting forms and instructions may be printed from the Internet at:

<http://www.treas.gov/tic/forms.html#benchmark>

### **III. WHAT SECURITIES MUST BE REPORTED**

This report collects information on securities issued by U.S.-residents that are owned by foreign residents, including U.S. equities, U.S. short-term debt securities (including selected money market instruments), U.S. long-term debt securities, and U.S. asset-backed debt securities.

Reportable securities may be traded or issued in the United States or in foreign countries, and may be denominated in any currency. Neither the country in which the securities are traded or issued, nor the currency in which the securities are denominated, is relevant in determining whether the securities are reportable. Securities held as part of a direct investment relationship should not be reported. (See Section III.I.)

#### **A. FOREIGN-RESIDENT OWNERSHIP**

Securities are considered to be foreign owned if, according to the reporter's records, the holder of record is not a resident of the United States. In addition, all outstanding bearer bonds should be assumed to be owned by foreign residents and reported by the U.S.-resident issuer. Bearer bonds should also be reported by U.S.-resident custodians, but only if the reporter's records indicate a foreign-resident owner (or foreign-resident custodian).

The following are considered to be foreign residents:

- Residents of foreign countries, including foreign-resident custodians and foreign-resident central securities depositories. (These include residents of Canada, Mexico, and offshore centers.)
- International organizations with extra-territorial status (even if located in the United States), such as the International Bank for Reconstruction and Development (World Bank), the International Monetary Fund (IMF) and the Inter-American Development Bank.<sup>1</sup> (See Appendix D for a complete list of these organizations.)
- Foreign subsidiaries of U.S. entities and foreign-resident branches of U.S. banks.
- Offshore and other non-U.S. funds.
- Entities or individuals that file an IRS Form W-8, indicating that they are foreign residents. Please note that there may be exceptions (such as Puerto Rico). However, if an IRS Form is not available, the mailing address can be used to determine residency.

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<sup>1</sup> Pension plans of international and regional organizations, if located in the United States, are U.S.-resident entities; therefore, any securities owned by these pension plans should be excluded from this report.

## **B. REPORTABLE U.S. SECURITIES**

U.S. securities are securities issued by U.S.-resident entities, with the exception of Depositary Receipts (DRs) that are backed by foreign securities and securities issued by international organizations that have extra-territorial status, such as the World Bank and the Inter-American Development Bank. U.S. securities can be issued in any country, denominated in any currency, and traded on any exchange.

U.S.-resident entities include U.S.-resident branches of foreign banks and U.S.-resident subsidiaries of foreign companies. Securities issued by foreign branches or subsidiaries of U.S. entities are not U.S. securities unless, due to merger, reorganization, or default, a U.S.-resident entity assumes direct responsibility for the payment of a previously foreign security.

### **Reportable securities include:**

#### **Equity Securities**

- Common stock
- Preferred stock (participating and nonparticipating preference shares)
- Restricted stock
- U.S.-resident fund shares (open-end and closed-end), REITS, money market mutual funds, index-linked equity securities including unit investment trusts (including SPDRs, DIAMONDS, etc.)
- All other equity, including shares or units of ownership in unincorporated business enterprises, such as limited partnerships

#### **Debt Securities**

- Debt, registered and bearer, including bonds and notes (unstripped and stripped) and bonds with multiple call options
- Convertible debt and debt with attached warrants
- Zero-coupon debt and discount notes
- Index-linked debt securities (e.g., property index certificates)
- Commercial paper (including asset-backed commercial paper)
- Bankers' acceptances and trade acceptances
- Negotiable certificates of deposit, bank notes, and deposit notes

- Notes, including those issued under note issuance facilities and revolving underwriting facilities, medium-term notes, promissory notes, deep-discounted, currency-linked (e.g., dual-currency), floating rate notes (FRN), such as perpetual notes (PRN), variable rate notes (VRN), structured FRN, reverse FRN, collared FRN, step up recovery FR (SURF), and range/corridor/accrual notes
- Asset-backed securities (see Section III.D)
- All other long-term and short-term debt securities

(Note: U.S. debt securities that are still outstanding as of June 30 should be reported even if the maturity date has passed.)

### **C. DO NOT REPORT**

Do not report any:

- Derivative contracts (including futures, forwards, swaps, options and warrants) meeting the definition of a derivative under FAS 133. Embedded derivatives that are not bifurcated under FAS 133 should be included in the value of the host contract. However, if an embedded derivative is bifurcated the derivative should be excluded from the report.
- Securities which have been temporarily received as collateral under resale agreements or similar financing agreements (see Section III.F)
- Loans and loan participation certificates
- Letters of credit
- Non-negotiable certificates of deposit
- Bank deposits, including time (except for negotiable CDs) and demand deposits
- Annuities, including variable rate annuities
- Foreign securities, including :
  1. Depositary receipts (DRs) backed by foreign securities, including ADRs (American Depositary Receipts), ADSs (American Depositary Shares), GDRs (Global Depositary Receipts), and IDRs (International Depositary Receipts).
  2. Securities issued by international and regional organizations with extra-territorial status, such as the International Bank for Reconstruction and Development (IBRD or World Bank) or the Inter-American Development Bank (IDB). (See Appendix D for a list of these organizations.)
  3. Securities issued in the United States by foreign-resident entities (e.g., Canadian or Mexican entities), even if they are denominated in U.S. dollars and traded on U.S. securities exchanges.
  4. Securities issued by foreign subsidiaries of U.S. entities (e.g., GMAC Canada) or foreign branches

of U.S. banks, even if they are guaranteed by the U.S. parent company, or issued in the United States.

5. Securities issued by foreign-resident entities under Section 144A of the SEC Act.
6. Securities issued by corporations that were incorporated outside of the United States by the report as of date, including companies incorporated offshore in countries such as the Cayman Islands and Bermuda.

#### **D. ASSET-BACKED SECURITIES**

Asset-backed securities (ABS) are securitized interests in a pool of assets, which give the purchaser a claim against the cash flows generated by the underlying assets. Securities backed by revolving credits, such as pools of credit card receivables, are reported as ABS if the return to the owner is based upon these credits, (i.e., the credits do not merely serve as collateral). Foreign-owned ABS should be reported if the issuer securitizing the assets is a U.S. resident. The underlying asset should not be used to determine if the ABS are reportable.

Include as ABS all collateralized mortgage obligations (CMOs), collateralized bond obligations (CBOs), collateralized loan obligations (CLOs), collateralized debt obligations (CDOs), and other securities backed by pools of:

- mortgages;
- credit card receivables;
- automobile loans;
- consumer and personal loans;
- commercial and industrial loans and other whole loans; and
- other assets.

#### **E. FUNDS AND RELATED EQUITY OWNERSHIP**

1. Report foreign-residents' ownership of shares/units of funds and investment trusts legally established in the United States (U.S.-resident funds) as equity securities. All foreign-residents' ownership of U.S.-resident fund shares should be assigned security type = 3 (fund shares), and not categorized as a debt security, regardless of the types of securities held by the fund.

For purposes of this report, funds include all investment vehicles that pool investors' money and invest the pooled money in one or more of a variety of assets. Funds include, but are not limited to:

- mutual funds (including both open-end and closed-end mutual funds);
- money market funds;
- investment trusts;
- index-linked funds;
- exchange-traded funds (ETFs);
- hedge funds; and
- common trust funds.

The determination of whether a fund's shares are a U.S. security is based on the country in which the fund is legally established, not based on the residence of the issuers of the securities the fund purchases. For example, if a foreign resident owns shares in a fund organized in New York, these shares are reportable U.S. securities, whether or not the fund purchases foreign securities. Conversely, foreign-resident ownership of shares of "offshore" or other foreign-resident funds that purchase U.S. securities should not be reported.

Many funds established outside of the United States have names that are similar to U.S.-resident fund names. This often occurs when the fund is managed by a group that also manages many U.S.-resident funds and therefore may be thought of as managing only U.S.-resident funds. If there is doubt as to whether the investment should be classified as a fund or whether a fund is U.S. or foreign, please contact FRBNY staff at 212-720-6300 or 646-720-6300.

## 2. Report the ownership of U.S. securities by foreign-resident funds.

Although ownership of shares of foreign-resident funds are excluded from this report, any U.S. securities owned by foreign-resident funds for their portfolio are reportable. These are distinct investments and, therefore, are not duplicate reporting. U.S. securities owned by foreign-resident funds should be classified as either equity, debt, or asset-backed securities, as indicated in Section III.B.

## **F. SECURITIES INVOLVED IN REPURCHASE AND SECURITIES LENDING ARRANGEMENTS**

A repurchase agreement (repo) is an arrangement involving the sale of securities at a specified price with a commitment to repurchase the same or similar securities at a specified price on a future date. A

reverse repo is an agreement whereby a security is purchased at a specified price with a commitment to resell the same or similar securities at a specified price on a specified future date. Securities lending/borrowing arrangements are agreements whereby the ownership of a security is transferred in return for collateral, usually another security or cash, under condition that the security or similar security will revert to its original owner at a future date.

Securities "sold" by foreign residents under repurchase agreements or buy/sell back agreements, lent under securities lending arrangements, or delivered out as collateral as part of a reverse repurchase agreement or security borrowing agreement should be reported as if the securities were continuously held by the foreign resident. That is, the security lender's U.S. custodian should report the U.S. security as if no repurchase agreement or buy/sell back agreement occurred.

Securities temporarily acquired by foreign residents as collateral under reverse repurchase agreements, securities lending or borrowing arrangements, or buy/sell back agreements should NOT be reported. That is, the security borrower's U.S. custodian should exclude the U.S. security as if no resale agreement or buy/sell back agreement occurred.

However, if cash was temporarily received as collateral and was used to purchase securities, those securities should be reported.

## **G. STRIPPED SECURITIES**

Separate Trading of Registered Interest and Principal Securities (STRIPS) and other similar instruments are securities that have been transformed from a principal amount with periodic interest coupons into a series of zero-coupon securities, with the range of maturities matching the coupon payment dates and the redemption date of the principal amount.

The residency of the STRIPS and similar instruments is the residence of the entity that issued the stripped security. However, the type of issuer of STRIPS and similar instruments is based upon the type of issuer of the underlying security. For example, U.S. Treasury STRIPS should be classified as U.S. Treasury securities even though the Treasury does not issue or sell STRIPS directly to investors. In addition, all CATS, TIGRS, COUGARS, and LIONS should also be classified as U.S. Treasury securities.

Foreign holdings of stripped securities where the underlying security is not an ABS, both the interest-only (IO) component and the principal-only (PO) component, should be reported as security type = 10 (bond



or note, stripped).

Foreign holdings of stripped securities where the underlying security is an ABS, tranches of stripped ABS, any IO component, and any PO component, should be reported as security type = 12 (asset-backed security).

## **H. U.S. GOVERNMENT AGENCIES OR FEDERALLY SPONSORED ENTERPRISES**

Securities that are issued by U.S. government agencies or federally sponsored enterprises and owned by foreign residents are reportable. In addition, foreign owned securities that are issued by a U.S.-resident entity and guaranteed by U.S. government agencies or federally sponsored enterprises are reportable. For purposes of Schedule 2, item 9 (type of issuer), all these securities should be coded as type 2 (agencies). For example, securities that are guaranteed by the Government National Mortgage Association (GNMA) or the Small Business Administration (SBA) should be reported as U.S. government agency securities.

## **I. DIRECT INVESTMENT**

A direct investment relationship exists when a U.S. company owns 10% or more of the voting equity securities of an incorporated foreign business (or an equivalent interest in an unincorporated foreign business, including a branch), or when a foreign company owns 10% or more of the voting equity securities of an incorporated U.S. business (or an equivalent interest in an unincorporated U.S. business, including a branch). Limited partners in a limited partnership do not have voting rights and therefore cannot have direct investment. (See Section III.K) If a direct investment relationship exists, then in general, all financial positions between the firms are considered direct investment. If a direct investment relationship exists between non-banking entities, all securities held by the parent entity that were issued by the affiliate of the parent are considered direct investment. **However, if one of the entities is a banking or securities brokerage firm, the inter-company holdings are considered direct investment only if they provide permanent capital.** All holdings known to be direct investment should be excluded from this report.

## **J. SECURITIES HELD BY U.S. CENTRAL SECURITIES DEPOSITORIES**

U.S.-resident central securities depositories must report all U.S. securities they are holding in custody (or managing the safekeeping of) **directly** on behalf of foreign residents, such as foreign-resident brokers

and dealers who may be members of the depository, or foreign-resident securities exchanges or depositories that have established direct relationships with the U.S.-resident central securities depository.

U.S.-resident custodians should report all U.S. securities that are shown on their records as being owned by foreign residents (or held in custody by its foreign-resident custodian) even if the safekeeping or settlement of the security is done at a U.S.-resident central securities depository.

## **K. LIMITED PARTNERSHIPS**

Foreign-resident limited partner ownership interests in U.S.-resident limited partnerships should be reported as security type = 4 (other equity). Limited partners' ownership interests do not carry voting rights; therefore, all ownership interests, even those greater than 10%, are reportable. The Number of Shares field on Schedule 2 (item 18) should be defaulted to the value reported in the US\$ Market Value field (item 16) because limited partnerships do not issue shares.

General partner ownership interests are always considered to be direct investment and all such interests should be excluded from this report.

## **L. ACCOUNTING RULES, VALUATION OF SECURITIES, AND CALCULATION OF U.S. DOLLAR VALUES**

### **Accounting Rules**

All securities should be reported using settlement date accounting. Gross long positions should be reported. Do not net any short positions from long positions. Do not enter decimals or negative values in any cells.

### **Valuation of Securities**

Report the fair (market) value of securities as of close of business on the last business day of June. The fair (market) value follows the definition of FAS 115. Fair value is the amount at which an asset could be bought or sold in a current transaction between willing parties, other than in a forced or liquidation sale. If a quoted market price is available for an instrument, the fair (market) value is the product of the

number of trading units<sup>2</sup> times that market price. For securities that do not regularly trade, the estimate of fair value should be based on the best information available. The estimate of fair value should consider prices for similar assets and the results of valuation techniques to the extent available. Examples of valuation techniques include discounted cash flow, matrix pricing, option-adjusted spread models and fundamental analysis.

U.S.-resident custodians should, at a minimum, report the fair (market) value to the extent that it is available as part of the services provided to their customers, even if the price available is for a date prior to the last business day of June. If there is doubt as to whether to report the available fair (market) value or to report a fair (market) value of zero, please contact FRBNY report staff at 212-720-6300 or 646-720-6300.

For ABS, the fair (market) value of the unpaid principal amount outstanding at close of business on the last business day of June should be reported; if principal has been repaid, this fair (market) value will **not** be the same as the original face value, revalued at end-period market prices.

### **Foreign Currency Denominated Securities – CALCULATION OF U.S. DOLLAR VALUES**

If the security is not denominated in U.S. dollars (US\$) and a U.S. dollar fair (market) value is not available in your system, convert the foreign currency denominated fair (market) value into US\$ using the spot exchange rate as of the close of business on the last business day of June. If you need assistance locating an exchange rate, please contact FRBNY staff at 212-720-6300 or 646-720-6300.

If the exchange rate is normally quoted in units of foreign currency per US\$, such as ¥105.75/US\$, divide foreign currency values by the foreign exchange rate to obtain the US\$ values. For example, if the value of a U.S. security issued in Japan is ¥ 200,000, and the exchange rate is ¥105.75/US\$, divide ¥ 200,000 by 105.75 to obtain US\$ 1,891.

If the exchange rate is normally quoted in US\$ per units of the foreign currency, such as US\$1.75/UK£, multiply foreign currency values by the US\$ exchange rate value of the foreign currency to obtain the US\$ values. For example, if the value of a U.S. security issued in the United Kingdom is UK £1,000 and the exchange rate is US\$1.75/UK£, multiply UK £1,000 by 1.75 to obtain US\$ 1,750.

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<sup>2</sup> The FAS 115 definition of fair (market) value uses the term “units,” which refers to number of shares for equity, face value for non-ABS debt, and remaining principal outstanding for ABS debt.

## **M. DATA RETENTION PERIOD**

All data used to create this report must be retained by the reporter for a period of 36 months from the date of the report's submission.

## **N. REVIEW OF DATA AND REQUEST FOR REVISED DATA**

Data submitted on the reporting schedules are reviewed by FRBNY staff. As a result of this review, the reporter may be asked by FRBNY staff to provide supplemental information, including reasons for significant data changes between reporting periods, or corrected data. In addition, FRBNY staff may request: (1) information to ensure that all reportable U.S. securities have been reported; (2) information to ensure that all reported U.S. securities are owned by foreign residents (or held by foreign-resident custodians or foreign-resident central securities depositories); or (3) other information that helps to explain or corroborate the submitted data.

Reporters filing data on electronic media that are not formatted per the specifications in Appendix H will be required to resubmit the data in the proper format.

Each quarter, FRBNY staff obtains a list of debt securities issued abroad by U.S. companies. Experience has shown that most such issues are largely or completely foreign held. FRBNY staff will compare this information with the reports submitted by U.S.-resident issuers of foreign placed debt securities to ensure that foreign-issued securities are being properly reported. FRBNY will ask the issuers of such securities for additional information in cases of apparent under- or over-reporting.

#### IV. LINE-BY-LINE INSTRUCTIONS FOR SCHEDULE 1- REPORTER CONTACT IDENTIFICATION AND SUMMARY OF FINANCIAL INFORMATION

A Schedule 1 must be completed by all entities that receive this report booklet. This schedule is used to provide basic identifying information and summaries of data reported on Schedule 2 records. Please type or print all information.

**(Please enter your ten-digit Reporter Identification Number at the top of each page of Schedule 1.)**

#### REPORTER CONTACT IDENTIFICATION AND SUMMARY OF FINANCIAL INFORMATION

- Reporter Identification Number** - Enter the ten-digit Reporter Identification Number that is printed on the top of the mailing label on your institution's report booklet. If you do not know the Reporter Identification Number for your entity, please contact FRBNY staff at 212-720-6300 or 646-720-6300.
- Organization Name and Address** - Include the full legal name and mailing address of the reporting entity.
- Reporting Status** - Select **"1"** only if the consolidated totals of reportable securities do not exceed the report's exemption level. All other entities should select **"2"** and file the appropriate Schedule 2 records.
- Reporter Type** - Enter one of the following that best describes your organization

- |                                     |                                  |   |
|-------------------------------------|----------------------------------|---|
| 1 = Bank                            | 4 = Other financial organization | 7 = Institution of higher learning (e.g., university) |
| 2 = Mutual fund or investment trust | 5 = Non-financial organization   | 8 = Other (not listed above)                          |
| 3 = Insurance company               | 6 = Foundation, trust, estate    |   |

A Bank is any depository institution (i.e., an institution that takes deposits), a bank holding company, or a financial holding company organized under Regulation Y of the Federal Reserve Act.

An Other Financial Organization is any other entity that acts as a financial intermediary or financial service organization, such as a finance company or a broker/dealer, which is operated separately from an entity in one of the other categories listed above.

A Non-Financial Organization is an entity that conducts commercial, industrial, or trade activities.

5. **Name of Contact** - Enter the name of the person who will be the primary contact for this report and can answer questions about the data reported.
- 6-9. Enter the job title, telephone number, fax number, and email address of the primary contact identified in item 5.
10. **Name of Service Provider or Vendor Used** - If a service provider or vendor was used to prepare the data reported, enter the name of the service provider.
11. **Name of Technical Contact Person** - Enter the name of a person who will serve as a contact should any technical issues, such as incorrect file formats, arise.
- 12-14. Enter the job title, telephone number, and email address of the technical contact person identified in item 11.
15. **Valuation Technique** - For each reporting unit, describe the valuation technique(s) used to calculate the reported market 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. If your organization has more than four reporting units, please attach additional copies of Schedule 1, page 2, with item 15 completed.

## **SUMMARY OF SCHEDULE 2 INFORMATION**

This section contains summary data for the information reported on Schedule 2 records. If your entity submits Schedule 2 data on multiple media, the summary Schedule 2 data should represent aggregate data across all media for the same reporter identification number.

16. **Total Number of Schedule 2 records Submitted** - Enter the total number of Schedule 2 records submitted.
17. **Total U.S. \$ Fair (Market) Value of All Equity Securities reported on Schedule 2 records** - Enter the sum of the U.S.\$ fair (market) value of all equity security records (records with Schedule 2, Item 10 = 1, 2, 3, or 4), rounded to the nearest U.S. dollar.
18. **Total U.S. \$ Fair (Market) Value of All Short-Term Debt Securities (excluding asset-backed securities) reported on Schedule 2 records** - Enter the sum of the U.S. \$ fair (market) value of all such security records (records with Schedule 2, Item 10 = 5, 6, 7, 8, 9, 10, or 11 and Schedule 2, Item 12 = 1), rounded to the nearest U.S. dollar.

19. **Total U.S. \$ Fair (Market) Value of All Long-Term Debt Securities (excluding asset-backed securities) reported on Schedule 2 records** - Enter the sum of the U.S. \$ fair (market) value of all such security records (records with Schedule 2, Item 10 = 5, 6, 7, 8, 9, 10, or 11 and Schedule 2, Item 12 = 2), rounded to the nearest U.S. dollar.
20. **Total U.S. \$ Fair (Market) Value of All Asset-Backed Securities reported on Schedule 2 records** - Enter the sum of the U.S. \$ fair (market) value of all such security records (records with Schedule 2, Item 10 = 12), rounded to the nearest U.S. dollar.

## **CERTIFICATION INFORMATION**

**This section must be completed by all reporters.**

By signing and dating the certification, the Certifier acknowledges that:

- He/she has read and understood the reporting requirements of this report;
- He/she is aware that both civil and criminal penalties may be imposed for filing a false report; and
- He/she is sufficiently knowledgeable about the activities and functions of this entity that he/she can knowingly and with reasonable confidence certify that the information provided in this report is both accurate and complete.

21-24. Enter the name, job title, telephone number, and email address of the person in your organization who certifies that the information provided is complete and accurate. Also sign and date the form.

## V. LINE-BY-LINE INSTRUCTIONS FOR SCHEDULE 2 - DETAILS OF SECURITIES

(Please enter your ten-digit Reporter Identification Number at the top of each page of Schedule 2.)

1. **Reporter Identification Number** - Enter the ten-digit Reporter Identification Number that is printed on the mailing label on the report booklet. If you do not know the Reporter Identification Number for your entity, please contact FRBNY staff at 212-720-6300 or 646-720-63002. **Sequence Number** - Enter the sequence number of this record, right justified. The first record should be assigned sequence number 1 and each subsequent Schedule 2 record should be sequentially numbered.
3. **Reporting Unit Code** - If data being submitted are collected from multiple databases or reporting systems, please report an internal code that will enable you to identify the database or system from which the information on this Schedule 2 came. This information will greatly reduce the costs of identifying and fixing any reporting errors that may occur.
- 3a. **Name of Reporting Unit** - Enter a description or name of the reporting unit or area that corresponds to the code reported in item 3.
4. **Custodian/Issuer Code** - Enter "1" if your entity did not issue this security. Enter "2" for issuer if your entity issued this security (even if you are also acting as the custodian).
5. **Security ID** - Enter the security ID code used to identify the security reported on this Schedule 2. CUSIP codes are strongly preferred. If the CUSIP is not available, please try to provide the ISIN, CINS, or Common code. **Do not use internally generated codes unless this security has not been assigned a code by any recognized numbering agency (e.g., limited partnerships).** Records for securities for which a portion is restricted and a portion is not restricted should be reported with the numbering agency code assigned to the unrestricted portion. If excessive internal codes are used, we may have to contact your institution to help identify characteristics of certain individual securities. **Please include the security ID's check digit and exclude any internal coding characters added to the CUSIP or other numbering agency code.**
6. **Security ID System** - Select the appropriate number from the list shown on the form. For example, if the security ID number entered in Item 5 is a CUSIP number, enter "1"; if it is a CINS, enter "3." If the security ID system used is not listed, enter a code of "9" (Other) and provide the name of the organization generating the code in item 6a.
- 6a. **Comment Line** - If you entered a code of "9" (Other) in item 6 you must provide the name of the organization generating the security ID code.
7. **Security Description** - Briefly describe the security, providing any relevant descriptive information available. Ideally, this would include the type of security, the maturity date if debt or ABS, and: (a)



for preferred stock the annual dividend; (b) for debt securities, the interest rate; (c) for floating rate notes, how the interest rate is calculated (e.g., Libor plus 1.5); and (d) for stripped securities the type of security/tranche. This information is particularly important for securities with an internally generated or other security ID not generated by a recognized numbering agency, (i.e., security ID system codes = 8 or 9).

8. **Name of Issuer** - Enter the name of the entity that issued the security. Please try to provide the full legal name of the issuer. For branches of banks, please provide the location of the branch.
9. **Type of Issuer** - Enter "1" if the security was issued by the United States government. Enter "2" if the security was issued or guaranteed by a federal agency (e.g., Government National Mortgage Association (GNMA)) or issued by or guaranteed by a federally sponsored enterprise (e.g., Federal National Mortgage Association (FNMA)). See Appendix I for a list of these entities. Enter "3" if the security was issued by a state or local government (e.g., New York State bonds). Enter "4" otherwise.
10. **Security Type** - Enter the security type code from the list below that most closely describes the type of security being reported. **See the glossary for definitions of these security types.**

Equity	Debt (excluding asset-backed securities)	Asset-backed securities
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

Type 1 should be used to report all common stock, including restricted common shares.

Type 2 should be used to report all preferred stock, including participating preference shares, nonparticipating preference shares, convertible preferred stock, and restricted preferred shares.

Type 3 should be used to report all shares of funds, including funds that invest primarily or exclusively in money market instruments and in long-term debt, exchange traded funds, open-end and closed-end mutual funds, and unit investment trusts. (See Section III.E)

Type 4 should be used to report all other types of equity, including foreign-resident limited partner ownership of U.S.-resident limited partnerships and any other form of equity not specified in security types 1, 2, and 3.

Type 5 should be used to report all commercial paper, including asset-backed commercial paper.

Type 6 should be used to report long-term and short-term negotiable certificates of deposits, including negotiable bank notes and negotiable deposit notes issued by U.S. institutions, including U.S. branches of U.S. or foreign banks. Non-negotiable certificates of deposit are not reportable.

Type 7 should be used to report all convertible debt securities, including convertible bonds and zero-coupon convertible debt. However, non-convertible debt securities with embedded warrants or options should be reported as either type 8 (if a zero-coupon bond or note) or type 9.

Type 8 should be used to report bonds and notes that do not provide interest payments, such as discount notes. However: (1) zero-coupon convertible debt should be reported as type 7; (2) stripped non-asset-backed securities, both the interest-only (IO) and principal-only (PO) components, should be reported as type 10; (3) U.S. Treasury bills should be reported as type 11; and (4) stripped asset-backed securities, the tranches, and the IO and PO components, should be reported as type 12.

Type 9 should be used to report bonds or notes that: (1) cannot be converted to equity securities, (2) provide interest payments, (3) have not been stripped (i.e., not an IO or PO), and (4) do not give the owner a claim against the cash flows generated by the underlying assets (i.e., ABS). These bonds and notes are commonly referred to as "straight debt."

Type 10 should be used to report all components of stripped securities, including the IO and PO components. However, all tranches of stripped asset-backed securities should be reported as type 12.

Type 11 should include all debt other than asset-backed securities that is not covered in types 5-10, including U.S. Treasury bills.

Type 12 should include only short-term and long-term securities that represent securitized interests in a pool of assets and give the investor a claim against the cash flows generated by the underlying assets. All tranches of stripped asset-backed securities, as well as unstripped asset-backed securities, should be reported as type 12. Debt which is collateralized by assets (real or financial), but only give the investor a claim against the underlying interest if the issuer defaults, should be reported as types 5-11, as appropriate.

#### **11. Intentionally Left Blank**

**12. Term Indicator (debt, including ABS, only; based on original maturity)** - Enter "1" (short-term) if the period from the issue date to the maturity date is one year or less. Enter "2" if the period from the security issue date to the maturity date is more than one year. If there are multiple issue

dates or redemption dates, enter "2" (long-term) if the period between the initial issue date and the longest redemption date is more than one year. Perpetual debt should also be classified as long-term.

13. **Currency of Denomination** - Enter the ISO code from Appendix F that corresponds to the currency in which the security is denominated.
14. **Country of Foreign Holder** - Enter the country code from Appendix C that corresponds to the country of residence of the owner of the security. If the country of residence of the owner is not known, report the country of residence of the foreign-resident custodian or foreign-resident central securities depository. Positions of international and multinational regional organizations, whether located in the United States or elsewhere, should be reported opposite the classification "International," if worldwide, or opposite the classifications "European," "Latin American," "Caribbean," "Asian," "African," or "Middle Eastern" regional organizations as indicated in Appendix D. If no country information is available (as will often be the case with bearer bonds), enter code 88862. If an excessive number of "country unknowns" is reported for securities other than bearer bonds, we will contact your institution for further information.

**15. Type of Foreign Holder**

Enter "1" if the owner is an official institution (see Appendix D or E) **even** if the account is held in the name of a foreign custodian or other foreign nominee.

Enter "2" if the account is in the name of one or more individuals (natural persons).

Enter "3" for all other owners, including personal trusts and other investment vehicles even if the beneficial owner is an individual.

16. **U.S. \$ Fair (Market) Value of Foreign Owned U.S. Security** - Enter the U.S. \$ fair (market) value of foreign-residents' ownership of this security, rounded to the nearest U.S. dollar. (See Section III.L, Valuation of Securities, for more information on how to calculate the fair (market) value.)

16a. **Fair (Market) Value in Currency of Denomination of Foreign Owned U.S. Security** - Enter the fair (market) value of foreign-residents' ownership of this security, rounded to the nearest currency unit. For ABS, the fair (market) value should be calculated based on the remaining principal outstanding (item 23) rather than the original face value. If the currency of issue is US\$, report the same value as in item 16. (See Section III.L, Valuation of Securities, for more information on how to calculate the fair (market) value.)

**17. Intentionally Left Blank**

**FOR EQUITY TYPE SECURITIES ONLY**

18. **Number of Shares** - Enter the number of shares owned by foreigners, including fractional shares, rounded to the nearest share. Wherever possible, combine partial shares with other ownership shares

of the same security to reduce reporting disparities introduced by rounding partial shares. Securities for which the amount foreign owned is zero should not be reported.

#### **FOR SHORT-TERM AND LONG-TERM DEBT SECURITIES EXCLUDING ASSET-BACKED SECURITIES**

19. **Face Value in Currency of Denomination** - For both short-term and long-term securities, enter the face value owned by foreigners in the currency of denomination, rounded to the nearest whole currency unit. If a security is traded in units, then calculate the face value as: (face value of each unit) \* (the number of units) and report the result in this field. Securities for which the amount foreign owned is zero should not be reported.
20. **Issue Date** - Enter the issue date of this security in MMDDYYYY format. For example, if the security was issued on October 4, 1985, enter 10041985. If there are multiple issue dates, enter the first such issue date.
21. **Maturity Date** - Enter the final maturity date (when all remaining principal and interest are due) of this security in MMDDYYYY format. For example, if the security's final maturity date is January 5, 2010, enter 01052010. For perpetual debt, report a maturity date of 12319999.

#### **FOR SHORT-TERM AND LONG-TERM ASSET-BACKED SECURITIES ONLY**

22. **Original Face Value in Currency of Denomination** - Enter the original face value owned by foreigners in the currency of denomination, rounded to the nearest whole currency unit. This is the value that is (would have been) outstanding if no principal has been (had been) repaid. If a security is traded in units, then calculate the original face value as: (original face value of each unit) \* (the number of units) and report the result in this field.
23. **Remaining Principal Outstanding in Currency of Denomination** - Enter the remaining principal outstanding owned by foreigners as of last business day of June in the currency of denomination, rounded to the nearest whole currency unit. This will equal the original face value if no principal has been repaid.

The remaining principal outstanding should be calculated by multiplying the original face value (item 22) by the factor value as of June 30, 2004. If a security is traded in units, then calculate the remaining principal outstanding as: (original face value of each unit) \* (the number of units) \* (factor value). If the factor value is not available as of the last business day of June, use the closest factor

value prior to the last business day of June. Securities for which the amount foreign owned is zero should not be reported.

24. **Issue Date** - Enter the issue date of this security in MMDDYYYY format. For example, if the security was issued on October 4, 1985, enter 10041985. If there are multiple issue dates, enter the first such issue date.
25. **Maturity Date** - Enter the final maturity date (when all remaining principal and interest are due) of this security in MMDDYYYY format. For example, if the security's final maturity date is January 5, 2010, enter 01052010.

# **APPENDIX A**

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

SCHEDULE 1: REPORTER CONTACT IDENTIFICATION AND SUMMARY OF FINANCIAL INFORMATION

1. Reporter Identification Number: Enter your 10-digit reporter identification number... [grid]

(Please type or print.)

2. Company Name: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

3. Reporting Status: Please enter one of the following... [checkbox]
1 = Exempt - Under the exemption level
2 = Not Exempt - Schedule 2 records being submitted

4. Reporter Type: Please enter one of the following that best describes your firm... [checkbox]
1 = Bank, 2 = Mutual fund or investment trust, 3 = Insurance company, 4 = Other financial organization, 5 = Non-financial organization, 6 = Foundation, trust, estate, 7 = Institution of higher learning (e.g., university), 8 = Other (not listed above)

Please provide a contact in your organization that can respond to inquiries on questions raised on the data reported. If you would like to provide more than one contact name, please attach additional copies of page 1, Schedule 1, with items 5 through 9 completed. (Please type or print.)

5. Name: \_\_\_\_\_ 6. Title: \_\_\_\_\_

7. Telephone Number: \_\_\_\_\_ 8. Fax Number: \_\_\_\_\_

9. Email Address: \_\_\_\_\_

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

Please provide a technical contact at your organization who can respond to inquiries on file formats or electronic transmission issues. (Please type or print.)

11. Name: \_\_\_\_\_ 12. Title: \_\_\_\_\_

13. Telephone Number: \_\_\_\_\_ 14. Email Address: \_\_\_\_\_

Please enter your 10-digit Reporter Identification Number.....

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15. Valuation Technique(s) Used to Determine Market Values

For each reporting unit, please describe the valuation technique(s) used to determine reported market 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: Enter your 10-digit reporter identification number....

**SUMMARY OF SCHEDULE 2 INFORMATION**

- 16. Total number of Schedule 2 Records submitted..... , ,
- 17. Total US\$ Fair (Market) Value of All Equity Securities ..... , , , ,   
Reported on Schedule 2 Records
- 18. Total US\$ Fair (Market) Value of All Short-Term Debt Securities... , , , ,   
(Excluding Asset-Backed Securities) Reported on Schedule 2 Records
- 19. Total US\$ Fair (Market) Value of All Long-Term Debt Securities... , , , ,   
(Excluding Asset-Backed Securities) Reported on Schedule 2 Records
- 20. Total US\$ Fair (Market) Value of All Asset-Backed Securities..... , , , ,   
Reported on Schedule 2 Records

**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: \_\_\_\_\_ Date Signed: \_\_\_\_\_

**(Please type or print.)**

21. Certifier's Name: \_\_\_\_\_

22. Certifier's Title: \_\_\_\_\_

23. Certifier's Telephone Number: \_\_\_\_\_

24. Certifier's Email Address: \_\_\_\_\_

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

SCHEDULE 2: DETAILS OF SECURITIES

- 1. Reporter Identification Number: Enter your 10-digit reporter identification number...
2. Sequence Number: Start with 1 and sequentially number each Schedule 2 record submitted...
3. Reporting Unit Code...
3a. Name of Reporting Unit:
4. Issuer Code:
5. Security ID...
6. Security ID System: Please enter one of the following...
6a. For code of Other (9) enter the name of the organization or system that assigned the Security ID:
7. Security Description:
8. Name of Issuer:
9. Type of Issuer: Please enter one of the following...
10. Security Type: Please enter one of the following...
11. Intentionally Left Blank
12. Term Indicator (debt, including ABS, only; based on original maturity)...
13. Currency of Denomination:
14. Country of Foreign Holder:
15. Type of Foreign Holder: (See Appendix D and E)

Reporter Identification Number: Enter your 10-digit reporter identification number.....

16. US \$ Fair (Market) Value of Foreign Owned U.S. Security..... , , ,   
(Note: field length for electronic file is 16)

16a. Fair (Market) Value in Currency of Denomination of Foreign Owned..... , , ,   
U.S. Security (Note: field length for electronic file is 25)

17. Intentionally Left Blank

**FOR EQUITY TYPE SECURITIES ONLY**  
(Security Type 1, 2, 3 or 4)

18. Number of Shares: Enter the number of shares rounded to the nearest share..... , , ,

**FOR SHORT-TERM AND LONG-TERM DEBT SECURITIES EXCLUDING ASSET-BACKED SECURITIES**  
(Security Type 5, 6, 7, 8, 9, 10 or 11)

19. Face Value in Currency of Denomination ..... , , , ,   
(Note: field length for electronic file is 25)

20. Issue Date: MMDDYYYY format (including leading zeros).....

21. Maturity Date: MMDDYYYY format (including leading zeros).....

**FOR SHORT-TERM AND LONG-TERM ASSET-BACKED SECURITIES ONLY**  
(Security Type 12)

22. Original Face Value in Currency of Denomination: ..... , , , ,   
Enter value that would have been outstanding if no principal had been repaid. (Note: field length for electronic file is 25)

23. Remaining Principal Outstanding in Currency of Denomination: ..... , , , ,   
Enter the remaining principal outstanding as of last business day of June in the currency of denomination. (Note: field length for electronic file is 25)

24. Issue Date: MMDDYYYY format (including leading zeros).....

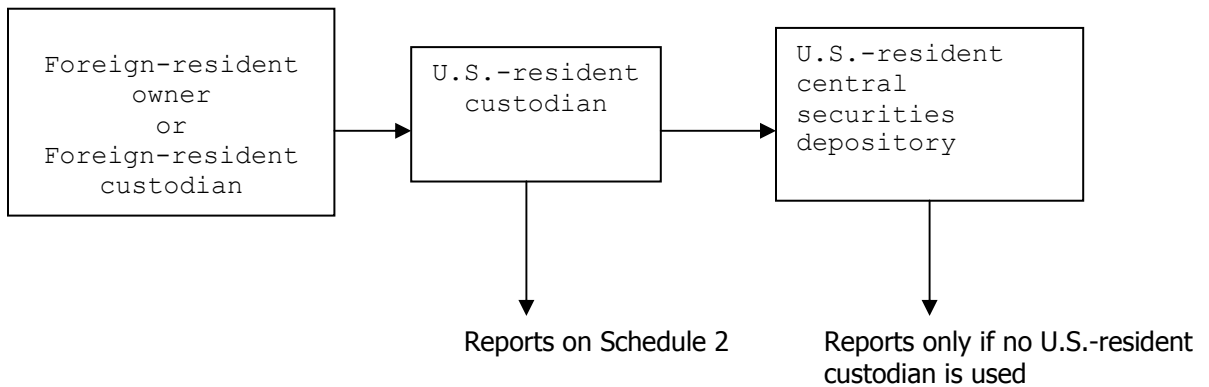
25. Maturity Date: MMDDYYYY format (including leading zeros).....

# **APPENDIX B**

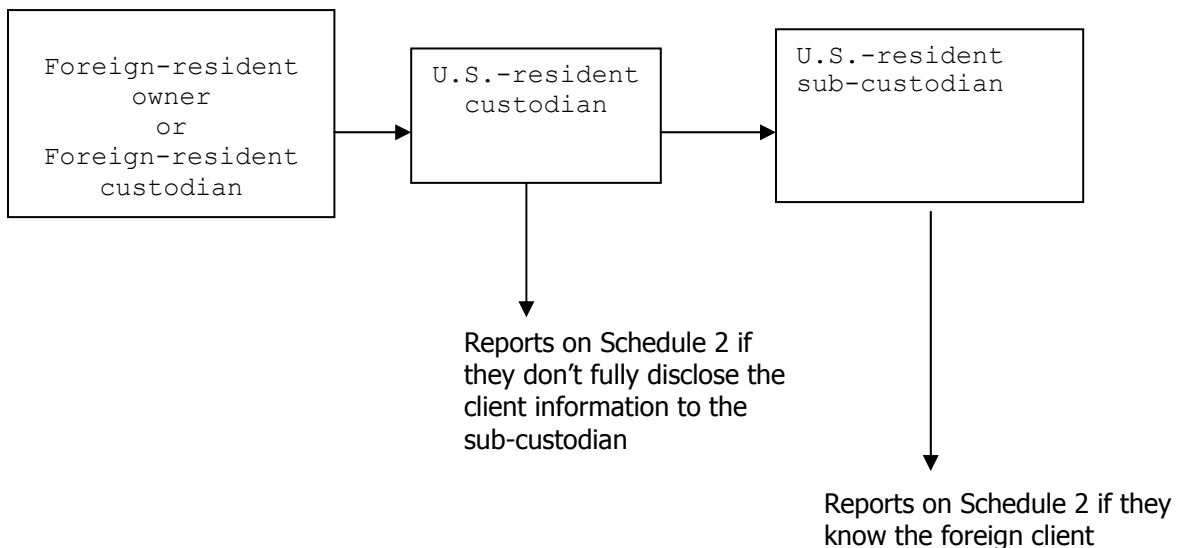
## FLOWCHARTS SHOWING REPORTING RESPONSIBILITY

### A. FLOWCHART FOR U.S.-RESIDENT CUSTODIANS (all securities, including all book-entry securities held at a U.S.-resident central securities depository)

1. A foreign-resident investor or custodian uses U.S.-resident custodian to hold U.S. securities for its account and the U.S.-resident custodian does not use a U.S. resident sub-custodian.

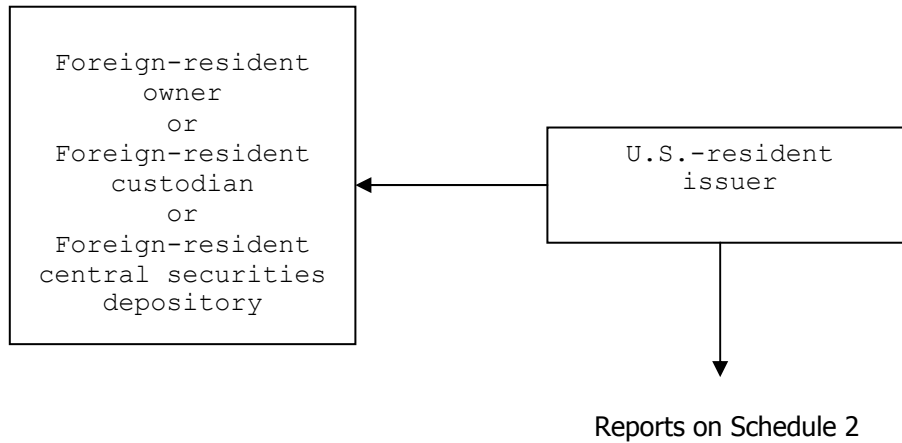


2. A foreign-resident investor or custodian uses U.S.-resident custodian to hold U.S. securities for its account and the U.S.-resident custodian uses a U.S. resident sub-custodian.



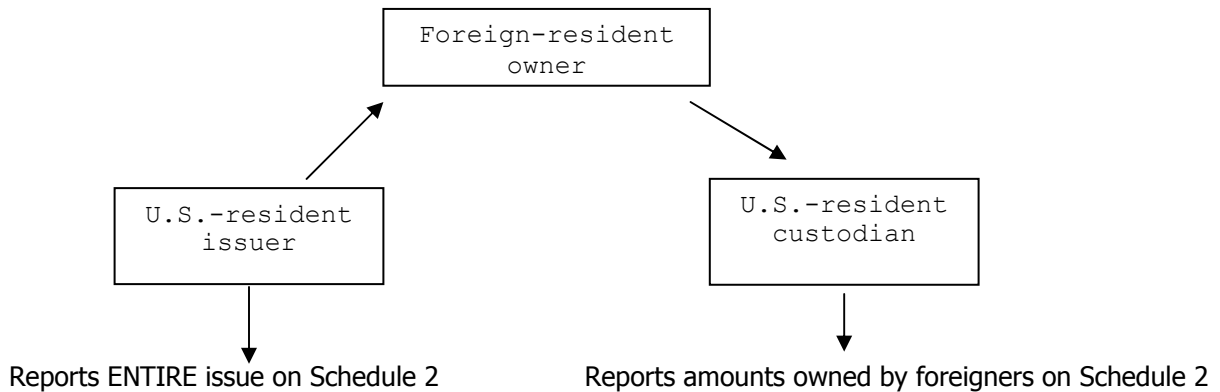
**B. FLOWCHART FOR U.S.-RESIDENT ISSUERS (registered securities, including all book-entry securities not issued directly into a foreign market)**

U.S. registered security is held directly by a foreigner (i.e., no U.S.-resident custodian and no U.S.-resident central securities depository is used).



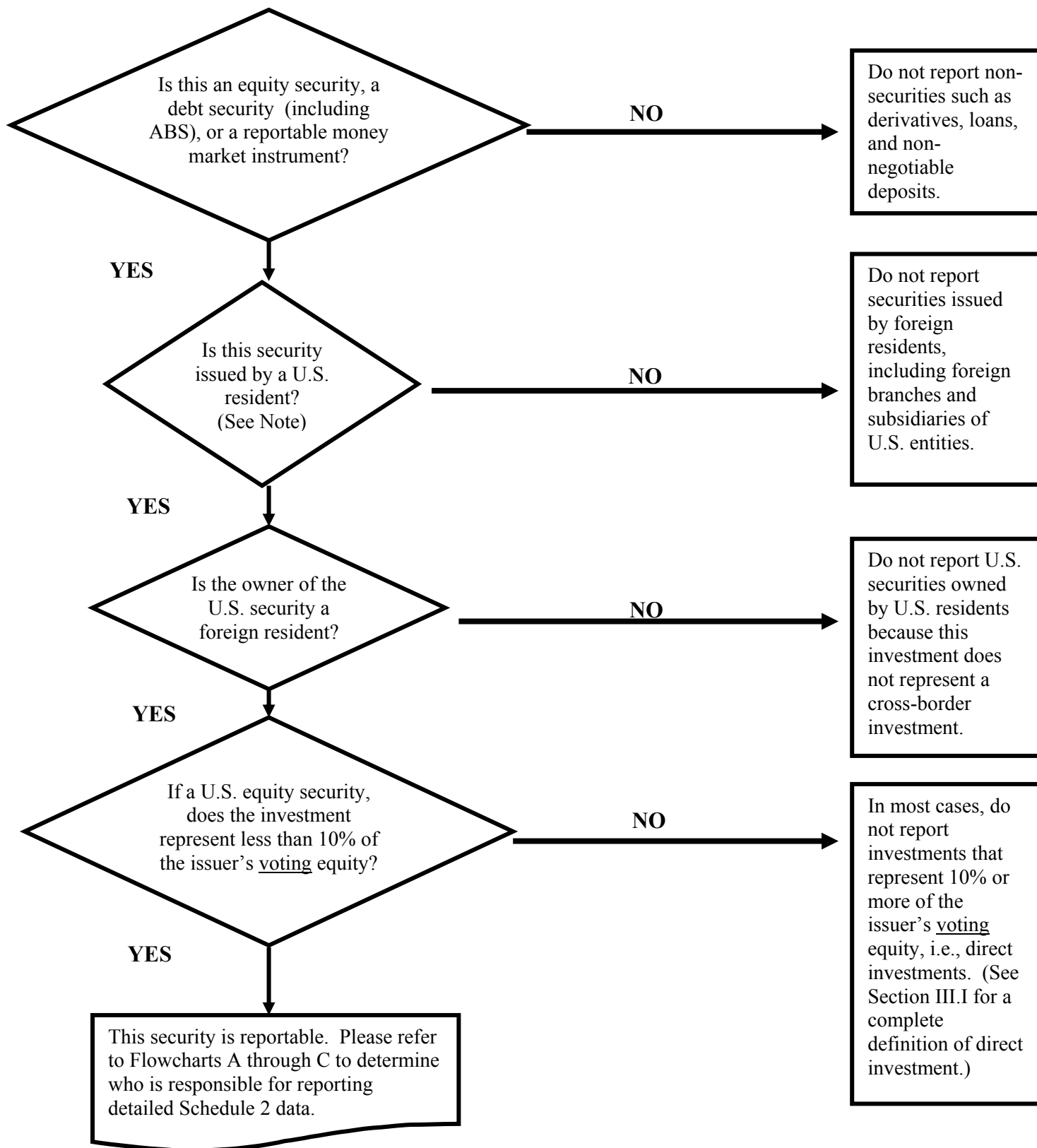
**C. FLOWCHART FOR SECURITIES ISSUED DIRECTLY INTO THE FOREIGN MARKET**

Issuers should assume that the entire issue is held directly by foreign residents. U.S.-resident custodians should report all securities held in custody that are foreign owned.



**Note: FRBNY eliminates double reporting on a security-by-security basis. Custodial information is used to provide information on the geographical distribution of the owners of these securities.**

## FLOWCHART FOR DETERMINING REPORTABLE SECURITIES



Note: Depository receipts/shares backed by foreign securities are considered “foreign.” In addition, all securities issued by the multinational organizations listed in Appendix Dare considered foreign.

# **APPENDIX C**



## List of Country Codes

<u>Code</u>	<u>Country</u>	<u>Code</u>	<u>Country</u>
40401	Afghanistan	51004	Cameroon
15105	Albania	29998	Canada
50105	Algeria	51209	Cape Verde, Republic of
10103	Andorra	36137	Cayman Islands
50202	Angola	51306	Central African Republic
30228	Anguilla	50644	Central Bank of West African States (BCEAO - Banque Centrale des Etats de l'Afrique de l'Ouest)
35203	Antigua and Barbuda	51403	Chad
30104	Argentina	30406	Chile
16519	Armenia	41408	China, People's Republic of (China Mainland) (including Inner Mongolia, Sinkiang (Chinese Turkistan), Tibet, and Manchuria)
35254	Aruba	30503	Colombia
60089	Australia (including Ashmore and Cartier Islands, Christmas Island, Cocos (Keeling) Islands, Coral Sea Islands, Heard Island and McDonald Islands, and Norfolk Island)	51519	Comoros
10189	Austria	51608	Congo (Brazzaville)
16527	Azerbaijan	51705	Congo (Kinshasa)
35319	Bahamas, The	60402	Cook Islands
40703	Bahrain	30589	Costa Rica
40746	Bangladesh	53007	Cote d'Ivoire (Ivory Coast)
13307	Bank for International Settlements	14214	Croatia
50318	Bank of Central African States (BEAC - Banque des Etats de l'Afrique Centrale)	30708	Cuba
30155	Barbados	10405	Cyprus
16209	Belarus	15288	Czech Republic
10251	Belgium	10502	Denmark (excluding Faroe Islands and Greenland)
35718	Belize	52302	Djibouti
51802	Benin	36218	Dominica
35602	Bermuda	30805	Dominican Republic
40819	Bhutan	35416	Eastern Caribbean Central Bank (ECCB)
30317	BLADEX (Banco Latino Americano de Exportaciones, SA)	45004	East Timor
30201	Bolivia	31003	Ecuador (including the Galapagos Islands)
14109	Bosnia and Herzegovina	57002	Egypt
50504	Botswana	31089	El Salvador
30309	Brazil	51942	Equatorial Guinea (including Fernando Po and Rio Muni)
60208	British Indian Ocean Territory (Chagos Archipelago, including Diego Garcia; also called British Oceania)	52019	Eritrea
35807	British Virgin Islands	15407	Estonia
41009	Brunei	52108	Ethiopia
15202	Bulgaria	13501	European Central Bank
57118	Burkina Faso	36307	Falkland Islands (Islas Malvinas) (including South Georgia and the South Sandwich Islands)
41106	Burma (Myanmar)	10618	Faroe Islands
50806	Burundi		
41203	Cambodia		

<u>Code</u>	<u>Country</u>	<u>Code</u>	<u>Country</u>
60305	Federated States of Micronesia	42307	Iran
60607	Fiji	42404	Iraq
10707	Finland (including Ahvenanamaa (Aland Islands))	11401	Ireland
10804	France (excluding Andorra, French Guiana, Guadeloupe, Martinique, Mayotte, Monaco, Reunion, & St. Pierre, & Miquelon)	13008	Isle of Man
36404	French Guiana	42501	Israel
60704	French Polynesia (including Tahiti and Clipperton Island)	11509	Italy (excluding San Marino)
52418	Gabon	31607	Jamaica
52507	Gambia, The	42609	Japan
16535	Georgia	13007	Jersey
11002	Germany (Comprises the Federal Republic of Germany and the former German Democratic Republic)	42706	Jordan
52604	Ghana	16543	Kazakhstan
11088	Gibraltar	53104	Kenya
11207	Greece (including the Aegean Islands (Khios, Kikladhes, Evvoia, Lesvos, Samos, Samothraki, etc.), the Dodecanese Islands (and Rhodes), the Ionian Islands, and Crete)	60526	Kiribati
10545	Greenland	44407	Korea, North
36706	Grenada	43001	Korea, South
36803	Guadeloupe (including islands of Marie-Galante, La Desirade, Iles des Saintes, Saint Barthelemy, and northern Saint Martin)	43109	Kuwait
31208	Guatemala	16551	Kyrgyzstan
13006	Guernsey (including islands of Alderney, Herm, Sark, and nearby smaller islands)	43303	Laos
52701	Guinea	15601	Latvia
54402	Guinea-Bissau	43419	Lebanon
31305	Guyana, Co-Operative Republic of	53155	Lesotho
31402	Haiti	53201	Liberia
13102	Holy See (Vatican City)	53309	Libya
31488	Honduras	11606	Liechtenstein
42005	Hong Kong (including Kowloon and the New Territories)	15709	Lithuania
15504	Hungary	11703	Luxembourg
11304	Iceland	43508	Macau
42102	India (including Sikkim, Andaman and Nicobar Islands, Goa, and Laccadive Islands (Union Territory of Lakshadweep))	14419	Macedonia, The Former Yugoslav Republic of
42218	Indonesia (including Timor (Western) and West New Guinea)	53406	Madagascar
		53503	Malawi
		43605	Malaysia (including Labuan, Sabah (North Borneo) and Sarawak and former Federation of Malaya)
		43702	Maldives
		53589	Mali
		11819	Malta (including Gozo)
		61204	Marshall Islands
		37001	Martinique
		53708	Mauritania
		53805	Mauritius
		54518	Mayotte
		31704	Mexico (including Cozumel and Revillagigedo Islands)
		16306	Moldova
		12009	Monaco

<u>Code</u>	<u>Country</u>	<u>Code</u>	<u>Country</u>
43818	Mongolia	45608	Saudi Arabia
37109	Montserrat	55301	Senegal
54003	Morocco (including Tangier and Ifni)	13218	Serbia and Montenegro (formerly Yugoslavia)
54089	Mozambique	55409	Seychelles
54127	Namibia	55506	Sierra Leone
61301	Nauru	46019	Singapore
44202	Nepal	15318	Slovakia
12106	Netherlands	14338	Slovenia
37206	Netherlands Antilles (the islands of Curacao, Bonaire, Saba, Sint Eustatius, and Sint Maarten (southern St. Martin))	62308	Solomon Islands
61409	New Caledonia	55603	Somalia
61689	New Zealand	55719	South Africa
31801	Nicaragua	12505	Spain (including Canary Islands)
54208	Niger	41319	Sri Lanka
54305	Nigeria	56103	Sudan
61808	Niue	37702	Suriname
12203	Norway (including Bouvet Island, Jan Mayen, and Svalbard)	56219	Swaziland
44105	Oman (including Muscat)	12602	Sweden
44709	Pakistan	12688	Switzerland (excluding Liechtenstein)
62502	Palau	46205	Syria
31887	Panama (including Canal Zone)	46302	Taiwan
61751	Papua New Guinea	16578	Tajikistan
32107	Paraguay	56405	Tanzania (including Zanzibar)
32204	Peru	46418	Thailand
44806	Philippines	56502	Togo
62103	Pitcairn Islands	62405	Tokelau
15768	Poland	62448	Tonga
12319	Portugal (including Azores and Madeira Islands)	32409	Trinidad and Tobago
45101	Qatar	56707	Tunisia
54607	Reunion (including islands of Bassas de India, Europa Island, Glorioso Island, Juan de Nova Island, and Tromelin Island)	12807	Turkey (including Aegean Islands of Imbros and Bozcaada (Tenedos))
15806	Romania	16616	Turkmenistan
16101	Russia	37818	Turks and Caicos Islands
55018	Rwanda	60518	Tuvalu
55107	Saint Helena (includes Ascension Island and Island group of Tristan de Cunha)	56804	Uganda
37303	Saint Kitts and Nevis	16403	Ukraine
37508	Saint Lucia	46604	United Arab Emirates (including Abu Dhabi, Ajman, Dubai, Fujairah, Ras al Khaimah, Sharjah (including Kalbah), and Umm al Qaiwain)
62219	Saint Pierre and Miquelon	13005	United Kingdom (including England, Northern Ireland, Scotland, Wales, Hebrides, Orkney Islands, and Shetland Islands)
37605	Saint Vincent and the Grenadines	32603	Uruguay
62618	Samoa (formerly Western Samoa)	16705	Uzbekistan
12408	San Marino	61603	Vanuatu
55204	Sao Tome and Principe		

<u>Code</u>	<u>Country</u>
	Vatican City (see Holy See)
32719	Venezuela
46906	Vietnam
60119	Wallis and Futuna
47201	West Bank and Gaza
56006	Western Sahara
47104	Yemen (Comprises the former Yemen Arab Republic and the former People's Democratic Republic of Yemen)
57207	Zambia
54704	Zimbabwe
72907	International Organizations <sup>1</sup>

<u>Code</u>	<u>Country</u>
73903	European Regional Organizations <sup>1</sup>
74918	Latin American Regional Organizations <sup>1</sup>
74942	Caribbean Regional Organizations <sup>1</sup>
75906	Asian Regional Organizations <sup>1</sup>
76902	African Regional Organizations <sup>1</sup>
77909	Middle Eastern Regional Organizations <sup>1</sup>
88862	Country Unknown

<sup>1</sup> See Appendix D for a list of International and Regional Organizations.

#### Special cases for this report:

This note applies to the following five geographic areas; they are without permanent occupants and/or are areas claimed/occupied by different countries: Antarctica; French Southern and Antarctic Lands (includes Ile Amsterdam, Ile Saint-Paul, Ile Crozet and Iles Kerguelen in southern Indian Ocean); the Paracel Islands; South Georgia and South Sandwich Islands; and the Spratly Islands.

Survey respondents should allocate such holdings to the TIC country-code used by the holders for tax purposes, or alternatively, the nationality of the holder.

# **APPENDIX D**

## List of International and Regional Organizations

The institutions listed below should be classified as option 1 (Official) on item 15 of Schedule 2.

### INTERNATIONAL ORGANIZATIONS

(country code 72907)

Food and Agriculture Organization (FAO)  
Franc Zone  
International Organization for Migration  
International Atomic Energy Agency  
International Bank for Reconstruction and  
Development (IBRD) (part of World Bank)  
United Nations Children's Fund (UNICEF)  
International Civil Aviation Organization  
International Criminal Court  
International Development Association (IDA)  
(part of World Bank)  
International Finance Corporation (IFC)  
International Fund for Agricultural Development  
International Labor Organization (ILO)  
International Monetary Fund (IMF)  
International Red Cross  
Multilateral Investment Guaranty Agency (MIGA)  
Preparatory Commission for the Comprehensive  
Nuclear-Test-Ban Treaty Organization  
United Nations (UN), and Specialized Agencies and  
Commissions  
Universal Postal Union  
World Health Organization (WHO)  
World Intellectual Property Organization (WIPO)  
World Trade Organization (WTO)

### AFRICAN REGIONAL ORGANIZATIONS

(country code 76902)

African Development Bank (AfDB)  
African Union (formerly Organization of African  
Unity)  
Arab Bank for Economic Development in Africa  
(BADEA)  
Conseil de l'Entente  
East African Common Service Organization  
East African Community  
East African Development Bank  
Organisation Commune Africaine et Mauricienne  
(OCAM)  
Special Arab Fund for Africa  
Union des Etats de l'Afrique Centrale  
Union Douaniere des Etats de l'Afrique de l'Ouest  
Union Douaniere et Economique de l'Afrique  
Centrale (UDEAC) (Customs and Economic  
Union of Central Africa)  
Union Monetaire Ouest-Africaine (UMOA)  
(West African Monetary Union)

### ASIAN REGIONAL ORGANIZATIONS

(country code 75906)

Asian Development Bank (ADB)  
Association of Southeast Asian Nations (ASEAN)  
Central Treaty Organizations (CENTO)  
Colombo Plan for Co-Operative Economic and  
Social Development in Asia and the Pacific

### CARIBBEAN REGIONAL ORGANIZATIONS

(country code 74942)

Caribbean Community and Common Market  
(CARICOM)  
Caribbean Development Bank  
Caribbean Investment Corporation  
Caribbean Regional Development Agency  
East Caribbean Development Bank  
Organization of Eastern Caribbean States (OECS)

### EUROPEAN REGIONAL ORGANIZATIONS

(country code 73903)

Council of Europe  
Eurocontrol  
Eurofima  
European Atomic Energy Community (Euratom)  
European Bank for Reconstruction and Development  
(EBRD)  
European Development Fund (EDF)  
European Free Trade Association (EFTA)  
European Investment Bank (EIB)  
European Investment Fund  
European Union (EU) (includes the EC)  
Nordic Investment Bank  
North Atlantic Treaty Organization (NATO)  
Organization for Economic Cooperation and  
Development (OECD)

LATIN AMERICAN REGIONAL  
ORGANIZATIONS (country code 74918)

Andean Development Corporation  
Andean Community of Nations (CAN) (formerly  
Andean Group)  
Banco Latino Americano De Exportaciones, SA  
(BLADEX)  
Central American Bank of Economic Integration  
(CABEI; Banco Centralamericano de  
Integracion Economica (BCIE))  
Central American Common Market (CACM)  
Inter-American Development Bank (IDB)  
Inter-American Investment Corporation  
Inter-American Savings and Loan Bank  
Latin American Integration Association  
Latin American Reserve Fund (FLAR)  
(formerly Andean Reserve Fund)  
North American Development Bank (NADBank)  
Organization of American States (OAS) (Pan  
American Union) and affiliated organizations  
Organization of Central American States (OCAS)  
Pan American Health Organization (Pan American  
Sanitary Bureau)  
Permanent Secretariat of the General Treaty on  
Central American Economic Integration  
River Plate Basin Commission  
Sistema Economico Latinamericano (SELA)  
(Latin American Economic System)

MIDDLE EASTERN REGIONAL  
ORGANIZATIONS (country code 77909)

Arab Authority for Agricultural Investment and  
Development  
Arab Fund for Economic and Social Development  
(AFESD)  
Arab Fund for Technical Assistance to Arab and  
African Countries  
Arab Investment Company  
Arab Joint Investment Company (U.A.E.- Egypt  
Investment Company)  
Arab Monetary Fund  
Arab Petroleum Investment Company  
Cooperation Council for the Arab States of the Gulf  
(also Gulf Cooperation Council (GCC))  
Gulf Investment Corporation  
Inter-Arab Investment Guarantee Corporation  
Islamic Development Bank  
Islamic Solidarity Fund  
Muslim World League  
OPEC Special Fund  
Organization of Arab Petroleum Exporting  
Countries (OAPEC)  
Fund for Arab Oil Importing Countries  
OAPEC Oil Facility  
OAPEC Special Account  
Special Fund for Arab Non-oil Producers  
Organization of the Islamic Conference  
Saudi-Egyptian Industrial Investment Company  
Saudi-Egyptian Reconstruction Company  
Solidarity Fund for Economic and Social  
Development in Non-aligned Countries  
United Arab Shipping Company

Revised: June 2008

## APPENDIX E

NOT FOR PUBLICATION

Department of The Treasury  
January 2001, Revised Aug. 2002, May 2004, May  
2005, July 2006, June 2007, June 2008

### List of certain Foreign Institutions classified as Official for purposes of reporting on the Treasury International Capital (TIC) forms

The attached list does not purport to be exhaustive; it only includes the major foreign official institutions which have come to the attention of the Federal Reserve Banks and the Department of the Treasury. For any questions on whether an institution is considered a "Foreign Official Institution" for TIC reporting purposes, please contact your Federal Reserve Bank analyst.

It should be noted that the list does not in every case include all alternative names applying to the same institution. For example, the list does not include all the administrative departments of the foreign central governments nor all special or sub accounts of foreign official institutions, although all are to be treated as official. In cases in which legations have been changed to embassies, the embassy is shown on the list; reporting institutions continuing to hold an account in the name of the legation, however, should consider it as official.

#### AFGHANISTAN

Afghan Permanent Mission to the United Nations  
The Central Bank of Afghanistan (Da Afghanistan Bank)  
Consulate of Afghanistan  
Embassy of Afghanistan  
Republic of Afghanistan

#### ALBANIA

Albanian Permanent Mission to the United Nations  
Bank of Albania (Banka e Shtetit Shqiperise)  
Consulate of the Republic of Albania  
Embassy of the Republic of Albania  
Ministry of Finance  
Ministry of Foreign Affairs  
Republic of Albania

#### ALGERIA

Algerian Permanent Mission to the United Nations  
Bank of Algeria (Banque d'Algerie)  
Consular Office  
People's Democratic Republic of Algeria  
Economic and Administrative Office  
Embassy of the People's Democratic Republic of Algeria  
Military Office  
Revenue Regulation Fund (Fond de Regulation des Recettes)

#### ANDORRA

Embassy of Andorra  
Government of Andorra  
Ministeri de Finances i Interior  
Principality of Andorra

#### ANGOLA

Angolan Permanent Mission to the United Nations  
Consulate of the Republic of Angola  
Embassy of the Republic of Angola  
National Bank of Angola (Banco Nacional de Angola)  
Republic of Angola  
Trade Office

#### ANGUILLA

Government of Anguilla  
Ministry of Finance

#### ANTIGUA and BARBUDA

Consulate of Antigua and Barbuda  
Embassy of Antigua and Barbuda  
Ministry of Finance  
Government of Antigua and Barbuda

#### ARGENTINA

Argentine Government Purchasing Missions  
Argentine Permanent Mission to the United Nations  
Argentine Republic  
Banco Central de la Republica Argentina  
(Central Bank of Argentine Republic)  
Comision de Adquisiciones Aeronauticas en Canada y  
los Estados Unidos  
Consular, Cultural, Accounting Offices  
Consulate of the Argentine Republic  
Embassy of the Argentine Republic  
Instituto Argentino de Promocion del Intercambio (IAPI)  
Ministry of Finance  
Office of Air Attache  
Office of Argentine Trade  
Office of Financial Attache  
Office of Military Attache  
Office of Naval Attache  
Office of Tourism

#### ARMENIA

Central Bank of Armenia  
Consulate of the Republic of Armenia  
Embassy of the Republic of Armenia  
Republic of Armenia



## ARUBA

Centrale Bank van Aruba (Central Bank of Aruba)  
Department of Economic Affairs, Commerce and Industry  
Government of Aruba

## AUSTRALIA

Australian Imperial Force  
Australian Permanent Mission to the United Nations  
Australian State Annuation Board  
Commonwealth of Australia  
Consulate of Australia  
Embassy of Australia  
Future Fund (Commonwealth of Australia)  
Office of Air Attache Reserve Bank of Australia  
Reserve Bank of Australia  
Senior Trade Commission

## AUSTRIA

Oesterreichische Nationalbank (Austrian National Bank)  
Austrian Permanent Mission to the United Nations  
Consulate of Austria  
Office of Austrian Press and Information  
Office of Austrian Trade Commission  
Office of Commercial Attache  
Office of Defense, Military, Naval and Air Attache  
Embassy of Austria  
Republic of Austria  
Trustee of the Austrian Government 1923 43 Bonds

## AZERBAIJAN

Consulate of the Republic of Azerbaijan  
Embassy of the Republic of Azerbaijan  
National Bank of Azerbaijan  
Republic of Azerbaijan  
State Oil Fund (SOFAZ)

## BAHAMAS

Bahamas Monetary Authority  
Bahamian Permanent Mission to the United Nations  
Central Bank of the The Bahamas  
Commonwealth of the Bahamas  
Consulate of the Commonwealth of the Bahamas  
Embassy of the Commonwealth of the Bahamas

## BAHRAIN

Bahrain Monetary Agency  
Bahrain Permanent Mission to the United Nations  
Consulate of the Kingdom of Bahrain  
Embassy of the Kingdom of Bahrain  
Ministry of Finance and National Economy  
State of Bahrain

## BANGLADESH

Bangladesh Bank  
Bangladesh Permanent Mission to the United Nations  
Consulate of the People's Republic of Bangladesh  
Embassy of the People's Republic of Bangladesh  
People's Republic of Bangladesh

## BANK FOR INTERNATIONAL SETTLEMENTS

## BANK OF CENTRAL AFRICAN STATES

(BEAC; Banque des Etats de l'Afrique Centrale)

## BARBADOS

Barbados Permanent Mission to the United Nations  
Central Bank of Barbados  
Consulate of Barbados  
Embassy of Barbados  
Government of Barbados

## BELARUS

Consulate of the Republic of Belarus  
Embassy of the Republic of Belarus  
National Bank of the Republic of Belarus  
Republic of Belarus

## BELGIUM

Belgian Economic Mission (Mission Economique Belge)  
Belgian Information Center  
Belgian Permanent Mission to the United Nations  
Commercial Counselor of Belgium  
Consulate of Belgium  
Embassy of Belgium  
Kingdom of Belgium  
Nationale Bank van Belgie -- Banque Nationale de Belgique  
(National Bank of Belgium)  
Office of Belgian Agricultural Attache  
Office of Military Attache

## BELIZE

Central Bank of Belize  
Consulate of Belize  
Embassy of Belize  
Government of Belize

## BENIN

Benin Permanent Mission to the United Nations  
Consulate of the Republic of Benin  
Embassy of the Republic of Benin  
Ministry of Development, Economy, and Finance  
Republic of Benin

## BERMUDA

Bermuda Monetary Authority  
Government of Bermuda  
Ministry of Finance

## BHUTAN

Bank of Bhutan  
Bhutan Permanent Mission to the United Nations  
Consulate of the Kingdom of Bhutan  
Kingdom of Bhutan  
Royal Monetary Authority of Bhutan

## BOLIVIA

Banco Central de Bolivia (Central Bank of Bolivia)  
Bolivian Army Purchasing Commission  
Bolivian Government Central Purchasing Agency  
Bolivian Permanent Mission to the United Nations  
Consulate of Bolivia  
Embassy of the Republic of Bolivia  
Ministry of Finance  
Office of Military, Naval and Air Attache  
Republic of Bolivia

**BOSNIA AND HERZEGOVINA**

Central Bank of Bosnia and Herzegovina  
Consulate of Bosnia and Herzegovina  
Embassy of Bosnia and Herzegovina  
Government of Bosnia and Herzegovina

**BOTSWANA**

Bank of Botswana  
Botswana Permanent Mission to the United Nations  
Consulate of the Republic of Botswana  
Embassy of the Republic of Botswana  
Pula Fund  
Republic of Botswana

**BRAZIL**

Banco Central do Brasil (Central Bank of Brazil)  
Banco do Brasil  
Brazilian Aeronautical Commission  
Brazilian Air Force Office  
Brazilian Army Commission  
Brazilian Consulate (Consulate of Brazil)  
Brazilian Delegation to the Pan American Union  
Brazilian Embassy (Embassy of Brazil)  
Brazilian Naval Commission  
Brazilian Navy Fund  
Brazilian Permanent Mission to the United Nations  
Brazilian Treasury Delegation  
Comissao Mixta Ferroviaria Brasileiro Boliviano  
Federative Republic of Brazil  
Office of the Financial Counselor

**BRUNEI**

Brunei Currency and Monetary Board  
Brunei Investment Agency  
Brunei Investment Authority  
Embassy of the State of Brunei Darussalam  
General Reserve Fund  
Government of Negara Brunei Darussalam  
Ministry of Finance

**BULGARIA**

Bulgarian Permanent Mission to the United Nations  
Bulgarian National Bank (Bulgarska Narodna Banka)  
Consulate of the Republic of Bulgaria  
Embassy of the Republic of Bulgaria  
Legation of the Republic of Bulgaria  
Office of Armed Forces Attache  
Office of Commercial Counselor  
Republic of Bulgaria

**BURKINA-FASO**

Burkina Faso Permanent Mission to the United Nations  
Consulate of Burkina Faso  
Embassy of Burkina Faso  
Government of Burkina Faso  
Ministry of Economy and Development

**BURMA (MYANMAR)**

Central Bank of Myanmar  
Central Treasury Office  
Consulate of Union of Burma  
Embassy of Union of Burma  
Office of Defense, Military, Naval & Air Attache  
Union of Burma

Union of Burma Permanent Mission to the United Nations

**BURUNDI**

Bank of the Republic of Burundi (Ibanki ya Republika y'Uburundi)  
Burundi Permanent Mission to the United Nations  
Consulate of the Republic of Burundi  
Embassy of the Republic of Burundi  
Republic of Burundi

**CAMBODIA**

Cambodian Permanent Mission to the United Nations  
Kingdom of Cambodia  
National Bank of Cambodia (Banque Nationale du Cambodge)  
Royal Consulate of Cambodia  
Royal Embassy of Cambodia

**CAMEROON**

Cameroon Permanent Mission to the United Nations  
Consulate of the Republic of Cameroon  
Embassy of the Republic of Cameroon  
Ministry of Economy and Finance  
Republic of Cameroon

**CANADA**

Bank of Canada – Banque du Canada  
Canadian Army Staff  
Canadian Joint Staff  
Canadian Naval Staff  
Canadian Permanent Mission to the United Nations  
Consulate General of Canada  
Department of Trade and Commerce of Canada  
Government of Canada  
Dominion of Canada  
Embassy of Canada  
Exchange Funds Account  
Minister of Finance and Receiver General of Canada  
Office of the Commercial Counselor of Canada

**CAPE VERDE**

Banco de Cabo Verde (Bank of Cape Verde)  
Consulate of the Republic of Cape Verde  
Embassy of the Republic of Cape Verde  
Republic of Cape Verde

**CAYMAN ISLANDS**

Cayman Islands Monetary Authority  
Department of Treasury  
Government of Cayman Islands

**CENTRAL AFRICAN REPUBLIC**

Central African Republic  
Central African Republic Permanent Mission to the United Nations  
Consulate of Central African Republic  
Embassy of Central African Republic  
Ministry of Finance and Budget

**CENTRAL BANK OF WEST AFRICAN STATES**

(BCEAO; Banque Centrale des Etats de l'Afrique de l'Ouest)

## CHAD

Chad Permanent Mission to the United Nations  
Embassy of the Republic of Chad  
Ministry of Economy and Finance  
Republic of Chad

## CHILE

Banco Central de Chile (Central Bank of Chile)  
Caja Autonoma de Amortizacion de la Deuda Publica de Chile  
Chilean Permanent Mission to the United Nations  
Consulate of the Republic of Chile  
Economic and Social Stabilization Fund  
Embassy of the Republic of Chile  
Ministry of Finance  
Office of Air Attache  
Office of Military Attache  
Office of Naval Attache  
Pension Reserve Fund  
Republic of Chile  
Superintendencia de la Casa de Moneda y Especies Valoradas

## CHINA, MAINLAND

Central Huijin Investment  
China Hueijing Holding Company  
China Investment Corporation  
China Jianyin Investment  
Chinese Permanent Mission to the United Nations  
Consulate of the People's Republic of China, and other consular offices in the U.S.  
Embassy of the People's Republic of China (including all its offices)  
Ministry of Finance  
Ministry of Foreign Affairs  
Ministry of Foreign Economic Relations and Trade  
The People's Bank of China  
People's Republic of China  
State Administration of Foreign Exchange (SAFE) (formerly State Administration for Exchange Control (SAEC))

## COLOMBIA

Banco de la Republica (Bank of the Republic)  
Colombian Permanent Mission to the United Nations  
Consulate of Colombia  
Embassy of Colombia  
Republic of Colombia

## COMOROS

Central Bank of the Comoros (Banque Centrale des Comores)  
Embassy of the Union of Comoros  
Federal Islamic Republic of the Comoros

## CONGO (BRAZZAVILLE)

Consulate of the Republic of the Congo  
Embassy of the Republic of the Congo  
Office of Defense Attache  
Ministry of Economy, Finance, and Budget  
Republic of the Congo

## CONGO (KINSHASA)

Banque Centrale du Congo (Central Bank of Congo)  
Bank of the Democratic Republic of Congo  
Consulate of the Democratic Republic of the Congo  
Democratic Republic of the Congo  
Embassy of the Democratic Republic of the Congo

## COOK ISLANDS

Consular Office  
Government of the Cook Islands  
Ministry of Finance and Economic Management

## COSTA RICA

Banco Central de Costa Rica (Central Bank of Costa Rica)  
Commercial Office  
Consulate of Costa Rica  
Costa Rican Permanent Mission to the United Nations  
Embassy of Costa Rica  
Republic of Costa Rica

## COTE D'IVOIRE (IVORY COAST)

Consulate of the Republic of Cote d'Ivoire  
Embassy of the Republic of Cote d'Ivoire  
Ivory Coast Permanent Mission to the United Nations  
Ministry of Economy and Finance  
Republic of the Ivory Coast (Republique de Cote d'Ivoire)

## CROATIA

Consulate of the Republic of Croatia  
Embassy of the Republic of Croatia  
Croatian National Bank  
Republic of Croatia

## CUBA

Banco Central de Cuba (Central Bank of Cuba)  
Consulate of Cuba  
Cuban Interests Section, Embassy of Switzerland  
Cuban Permanent Mission to the United Nations  
Embassy of Cuba  
Republic of Cuba

## CYPRUS

Central Bank of Cyprus  
Consulate of the Republic of Cyprus  
Cypriot Permanent Mission to the United Nations  
Embassy of the Republic of Cyprus  
Maritime Office  
Republic of Cyprus  
Tourist Office

## CZECH REPUBLIC

Commercial Office  
Consulate of the Czech Republic (including Consulate General in Los Angeles)  
Ceska Narodni Banka (Czech National Bank)  
Czech Republic  
Office of the Defense Attache of the Czech Republic  
Embassy of the Czech Republic  
Permanent Mission of the Czech Republic to the United Nations

## DENMARK

Danish Permanent Mission to the United Nations  
Kingdom of Denmark  
Ministry of Finance  
Danmarks Nationalbank (National Bank of Denmark)  
Office of Defense, Military, Naval and Air Attache  
Royal Danish Consulate (Consulate of Denmark)  
Royal Danish Embassy (Embassy of Denmark)

## DJIBOUTI

Djibouti Permanent Mission to the United Nations  
Embassy of the Republic of Djibouti  
National Bank of Djibouti (Banque Nationale de Djibouti)  
Republic of Djibouti  
Tresor National de la Republique de Djibouti

## DOMINICA

Commonwealth of Dominica  
Consulate of the Commonwealth of Dominica  
Embassy of the Commonwealth of Dominica  
Ministry of Finance

## DOMINICAN REPUBLIC

Banco Central de la Republica Dominicana (Central Bank of the Dominican Republic)  
Consulate of the Dominican Republic  
Dominican Republic Permanent Mission to the United Nations  
Embassy of the Dominican Republic  
Government of the Dominican Republic

## EAST TIMOR

Banking and Payments Authority (BPA)  
Central Fiscal Authority (CFA)  
Democratic Republic of East Timor  
Embassy of the Democratic Republic of Timor Leste  
Petroleum Fund of Timor-Leste

## EASTERN CARIBBEAN CENTRAL BANK (ECCB)

## ECUADOR

Banco Central del Ecuador (Central Bank of Ecuador)  
Consulate of Ecuador  
Ecuadorian Permanent Mission to the United Nations  
Embassy of Ecuador  
Gobierno del Ecuador, Programa de Mantenimiento de Carreteras  
National Monetary Board (Junta Monetaria Nacional)  
Office of the Air Attache  
Office of Military Attache  
Office of the Naval Attache  
Office of Police Attache  
Republic of Ecuador

## EGYPT

Arab Republic of Egypt  
Central Bank of Egypt  
Commercial Office  
Consulate of the Arab Republic of Egypt  
Cultural and Educational Bureau  
Egyptian Permanent Mission to the United Nations  
Embassy of the Arab Republic of Egypt  
Office of Commercial and Economic Affairs  
Office of the Defense, Military, Naval and Air Attache  
Office of Press and Information  
Office of Procurement

## EL SALVADOR

The Central Reserve Bank of El Salvador  
(Banco Central Reserva de El Salvador)  
Consulate of El Salvador  
Embassy of El Salvador  
Office of Counselor for Economic, Financial & Commercial Affairs  
Office of Defense Attache

Republic of El Salvador  
Salvadoran Permanent Mission to the United Nations

## EQUATORIAL GUINEA

Embassy of the Republic of Equatorial Guinea  
Equatorial Guinea Permanent Mission to the United Nations  
Ministry of Finance  
Republic of Equatorial Guinea

## ERITREA

Consulate of the State of Eritrea  
Embassy of the State of Eritrea  
National Bank of Eritrea  
State of Eritrea

## ESTONIA

Consulate of Estonia  
Embassy of Estonia  
Eesti Pank (Bank of Estonia)  
Legation of Estonia  
Republic of Estonia  
Stabilization Reserve Fund

## ETHIOPIA

Consulate of Ethiopia  
Embassy of Ethiopia  
Ethiopian Government Department  
Ethiopian Permanent Mission to the United Nations  
National Bank of Ethiopia  
Office of Economic, Financial and Trade  
People's Democratic Republic of Ethiopia

## EUROPEAN CENTRAL BANK (ECB)

## FALKLAND ISLANDS (ISLAS MALVINAS)

The Commissioner of Currency  
Government of the Falkland Islands (Islas Malvinas)  
Treasury Department

## FAROE ISLANDS

Governmental Bank of the Faroe Islands  
Government of the Faroe Islands  
Ministry of Finance

## FIJI

Consulate of the Republic of Fiji Islands  
Embassy of the Republic of Fiji Islands  
Reserve Bank of Fiji  
Republic of Fiji

## FINLAND

Consulate of Finland  
Embassy of Finland  
Finnish Permanent Mission to the United Nations  
Office of Defense, Military, Naval and Air Attache  
Office of National Technology Agency of Finland  
Office of Trade and Finance  
Republic of Finland  
Suomen Pankki (Bank of Finland) (Finlands Bank)

**FRANCE**

Banque de France (Bank of France)  
The Caisse Francaise de Developpement  
Commercial Office, Trade Commission of France  
Consulate of France  
Credit National  
Cultural Services Office of France  
Cultural and Scientific Office of France  
Embassy of France  
Financial Service (French Treasury Office)  
French Permanent Mission to the United Nations  
French Republic  
French Republic, General Treasury  
Invest in France Agency Office  
Press Section Office of France  
Social Service Office of France  
Tourism Office of France  
Trade Office of France  
Visa Section of France  
Stabilization Fund of the Republic of France

**FRENCH GUIANA**

Caisse Centrale de Cooperation Economique  
Department of French Guiana, French Republic  
L'agence de l'IEDOM à la Guyane (IEDOM –  
Institut d'Emission des Departements d'Outre mer)  
Office des Changes de Guyane

**FRENCH POLYNESIA**

L'agence de l'IEOM à Polynésie française (IEOM –  
Institut d'Emission d'Outre mer)  
Ministry of Finance and Tourism  
Territory of French Polynesia

**GABON**

Consulate of the Gabonese Republic  
Embassy of the Gabonese Republic  
Gabonese Permanent Mission to the United Nations  
Gabonese Republic  
Ministry of Economy, Finance, Budget, and Privatization

**GAMBIA**

Central Bank of The Gambia  
Consulate of The Gambia  
Embassy of The Gambia  
Gambian Permanent Mission to the United Nations  
Republic of The Gambia

**GEORGIA**

Consulate of the Republic of Georgia  
Embassy of the Republic of Georgia  
Office of Information and Culture  
National Bank of Georgia  
Republic of Georgia

**GERMANY**

Deutsche Bundesbank (Central Bank of the Federal  
Republic of Germany)  
Combined Travel Board  
Consulate of the Federal Republic of Germany  
Embassy of the Federal Republic of Germany  
Federal Republic of Germany  
German Permanent Mission to the United Nations  
Joint Export Import Agency  
Trustees of German External Loan

**GHANA**

Bank of Ghana  
Consulate of Ghana  
Embassy of Ghana  
Ghana Permanent Mission to the United Nations  
Republic of Ghana

**GIBRALTAR**

City of Gibraltar  
The Commissioner of Currency  
Department of Government Finance  
Government of Gibraltar

**GREECE**

Bank of Greece  
Consulate of Greece  
Economic and Commercial Office of Greece  
Embassy of Greece  
Greek Permanent Mission to the United Nations  
Greek Seamens' Pension Fund  
Greek Supply Council  
Greek Tourist Office of Greece  
Hellenic Republic  
Office of the Commercial Counselor  
Office of Defense, Military, Naval and Air Attache  
Office of Educational Affairs of Greece  
Office of Mercantile Marine of Greece

**GREENLAND**

Greenland Exchequer  
Government of Greenland (Home Rule Government)  
Ministry of Finances and Foreign Affairs

**GRENADA**

Consulate of Grenada  
Embassy of Grenada  
Government of Grenada  
Ministry of Finance

**GUADELOUPE**

Department of Guadeloupe, French Republic  
L'agence de l'IEDOM à la Guadeloupe (IEDOM –  
Institut d'Emission des Departements d'Outre mer)  
Office des Changes de la Guadeloupe

**GUATEMALA**

Banco de Guatemala (Bank of Guatemala)  
Consulate of Guatemala  
Embassy of Guatemala  
Guatemalan Government Agencies  
Guatemalan Permanent Mission to the United Nations  
Office of Commercial Attache  
Office of Defense, Military, Naval and Air Attache  
Republic of Guatemala  
Secretaria de Hacienda y Credito Publico de Guatemala

**GUERNSEY**

Bailiwick of Guernsey (includes States of Alderney,  
States of Guernsey, and Seigneur of Sark)  
Guernsey Financial Services Commission  
The Treasurer, States of Guernsey  
Treasury and Resources Department

## GUINEA

Central Bank of the Republic of Guinea (Banque Centrale de la Republique de Guinee)  
Consulate of the Republic of Guinea  
Embassy of the Republic of Guinea  
Guinea Permanent Mission to the United Nations  
Republic of Guinea

## GUINEA BISSAU

Embassy of the Republic of Guinea-Bissau  
Guinea Bissau Permanent Mission to the United Nations  
Ministry of Finance  
Republic of Guinea Bissau

## GUYANA

Bank of Guyana  
Consulate of Guyana  
Cooperative Republic of Guyana  
Embassy of Guyana  
Guyanan Permanent Mission to the United Nations

## HAITI

Central Bank of Haiti  
Consulate of the Republic of Haiti  
Embassy of the Republic of Haiti  
Haitian Permanent Mission to the United Nations  
Office of Commercial Attache  
Office of Military Attache  
Republic of Haiti

## HOLY SEE (VATICAN CITY)

Accounts in the name of "His Holiness, the Pope"  
Amministrazione dei Beni Della Santa Sede  
Amministrazione Speciale Della Santa Sede  
Apostolic Delegation  
Apostolic Nunciature  
Holy See  
Istituto per le Opere di Religione (IOR)  
(Institute for Works of Religion)  
Mission for the Society of Jesus Vatican Account  
The Permanent Observer Mission of the Holy See to the United Nations  
Patrimony of the Holy See  
Pontificia opera Assistenza Comitato Economico  
Prefecture for Economic Affairs  
Sacra Congregazione de Propaganda Fide, Vatican City  
State of the Vatican City  
Vatican City Amministrazione Patrimonio

## HONDURAS

Banco Central de Honduras (Central Bank of Honduras)  
Consul General of Honduras  
Embassy of Honduras  
Honduran Exchange Control Commission  
Honduran Permanent Mission to the United Nations  
Ministerio de Hacienda Credito Publico y Comercio  
Republic of Honduras

## HONG KONG

Exchange Fund  
Hong Kong Government Treasury  
Hong Kong Monetary Authority (HKMA)  
Hong Kong Monetary Authority (HKMA) Investment Portfolio

Hong Kong Special Administrative Region (or Hong Kong (S.A.R.))  
State Administration of Foreign Exchange (SAFE)  
Investment Company

## HUNGARY

Commercial Office  
Consulate of the Republic of Hungary  
Embassy of the Republic of Hungary  
Hungarian Foreign Trade Bank Ltd.  
(Magyar Kulkereskedelmi Bank Rt)  
Hungarian Permanent Mission to the United Nations  
Hungarian Tourist Board  
Legation of Hungary  
Magyar Nemzeti Bank (National Bank of Hungary)  
Ministry of Finance  
Ministry of Foreign Affairs  
Ministry of Foreign Trade  
Office of Military and Air Attache  
Republic of Hungary

## ICELAND

Central Bank of Iceland (Sedlabanki Islands)  
Consulate of Iceland  
Counselor of Iceland  
Embassy of Iceland  
Icelandic Permanent Mission to the United Nations  
Republic of Iceland

## INDIA

Commercial and Supply Office  
Consulate of India  
Embassy of India  
Government of India Education Department  
Government of India Information Services  
Indian Permanent Mission to the United Nations  
Passport and Visa Section  
Republic of India  
Reserve Bank of India

## INDONESIA

Bank Indonesia  
Consulate of the Republic of Indonesia  
Embassy of the Republic of Indonesia  
Indonesia Supply Mission  
Indonesian Permanent Mission to the United Nations  
Republic of Indonesia  
Trade Promotion Center of Indonesia

## IRAN

The Central Bank of the Islamic Republic of Iran  
(Bank Markazi Jomhuri Islami Iran )  
Foreign Exchange Reserve Account  
Islamic Republic of Iran  
Iranian Permanent Mission to the United Nations  
Iranian Interests Section, Embassy of Pakistan  
Oil Stabilization Fund

## IRAQ

Central Bank of Iraq  
Embassy of the Republic of Iraq  
Iraqi Fund for Foreign Development (IFFD)  
Iraqi Permanent Mission to the United Nations  
Republic of Iraq

**IRELAND**

Central Bank and Financial Services Authority of Ireland  
(Banc Ceannais na hEireann)  
Consulate of Ireland  
Department of External Affairs, Ireland  
Embassy of Ireland  
Irish Government Departments  
Irish Permanent Mission to the United Nations  
Ministry of Finance  
Republic of Ireland

**ISLE OF MAN**

Isle of Man Financial Supervision Commission  
Government of Isle of Man  
The Treasurer, Isle of Man Government  
Treasury Department

**ISRAEL**

Bank of Israel  
Consulate of Israel  
Defense Procurement Mission of Israel  
Economic Mission of Israel  
Embassy of Israel  
Israeli Permanent Mission to the United Nations  
Israeli Supply Mission  
Ministry of Finance  
Office of Tourism Mission of Israel  
State of Israel  
Treasury for the State of Israel

**ITALY**

Banca d'Italia (Bank of Italy)  
Commercial Office  
Consulate of Italy  
Embassy of Italy  
Istituto Nazionale per i Cambi con l'Estero  
Italian Cultural Institute  
Italian Government Departments  
Italian Permanent Mission to the United Nations  
Italian Technical Delegation  
Italian Tourist Information Service, Inc.  
Office of Italian Air Attache  
Office of Cultural Attache  
Office of Defense Attache  
Office of Italian Military Attache  
Office of Italian Naval Attache  
Office of Science Attache  
Republic of Italy  
Trade Promotion Section of Italy  
Ufficio Italiano dei Cambi CANTIBEL  
(Exchange Control Office)

**JAMAICA**

Bank of Jamaica  
Consulate of Jamaica  
Embassy of Jamaica  
Government of Jamaica  
Jamaican Permanent Mission to the United Nations  
Ministry of Finance & Planning

**JAPAN**

Bank of Japan (Nippon Ginko)  
Consulate of Japan  
Embassy of Japan  
Government of Japan

Japanese Permanent Mission to the United Nations  
Ministry of Finance  
Ministry of International Trade and Industry (MITI)  
Ministry of Posts and Telecommunications

**JERSEY**

Bailiwick of Jersey (includes the States of Jersey)  
State of Jersey Financial Services Commission  
The Treasurer, States of Jersey  
Treasury and Resources Department

**JORDAN**

Central Bank of Jordan  
Consulate of Hashemite Kingdom of Jordan  
Embassy of Hashemite Kingdom of Jordan  
Hashemite Kingdom of Jordan  
Jordanian Permanent Mission to the United Nations  
Office of Information Bureau  
Office of Military, Air and Naval Attache

**KAZAKHSTAN**

Consulate of the Republic of Kazakhstan  
Embassy of the Republic of Kazakhstan  
Ministry of Finance  
National Bank of Kazakhstan (National Bank of  
the Republic of Kazakhstan)  
National Fund of Republic of Kazakhstan  
Republic of Kazakhstan

**KENYA**

Central Bank of Kenya  
Consulate of the Republic of Kenya  
Embassy of the Republic of Kenya  
Kenya Permanent Mission to the United Nations  
Republic of Kenya

**KIRIBATI**

Bank of Kiribati  
Consulate of the Republic of Kiribati  
Ministry of Finance  
Republic of Kiribati  
Revenue Equalization Reserve Fund

**KOREA, NORTH**

Central Bank of Korea  
Democratic People's Republic of Korea  
Democratic People's Rep. of Korea Permanent  
Mission to the United Nations  
Ministry of Finance  
Ministry of Foreign Trade

**KOREA, SOUTH**

Bank of Korea  
Consulate of the Republic of Korea  
Embassy of the Republic of Korea  
Foreign Exchange Stabilization Fund  
Korea Investment Corporation  
Ministry of Finance and Economy  
Office of Education  
Office of Information  
Office of Defense and Logistics  
Republic of Korea  
Republic of Korea Permanent Mission to the United Nations  
Special Representative of the Republic of Korea

**KUWAIT**

Central Bank of Kuwait  
Consulate of the State of Kuwait  
Cultural, University, Liaison Offices  
Embassy of the State of Kuwait  
General Reserve Fund  
Kuwait Currency Board  
Kuwait Fund for Arab Economic Development (KFAED)  
Kuwait Investment Authority  
Kuwait Investment Office  
Kuwaiti Permanent Mission to the United Nations  
Ministry of Finance and Oil  
Office of Health  
Office of Information  
Public Institution for Social Security  
Future Generations Fund  
State of Kuwait

**KYRGYZSTAN**

Consulate of the Kyrgyz Republic  
Embassy of the Kyrgyz Republic  
National Bank of the Kyrgyz Republic  
Republic of Kyrgyzstan

**LAOS**

Banque du Commerce Exterieur Lao  
Embassy of the Lao People's Democratic Republic  
(Embassy of Laos)  
Lao People's Democratic Republic  
Laotian Permanent Mission to the United Nations  
Ministry of Finance  
Bank of the Lao People's Democratic Republic  
(Bank of Lao PDR) (Banque de la RDP Lao)

**LATVIA**

Bank of Latvia (Latvijas Banka)  
Consulate of Latvia  
Embassy of Latvia  
Department of State Economy  
Latvian Ministry of Finance  
Legation of Latvia  
Republic of Latvia

**LEBANON**

Banque du Liban (Central Bank of Lebanon)  
Consulate of Lebanon  
Embassy of Lebanon  
Lebanese Permanent Mission to the United Nations  
Ministry of Defense  
Republic of Lebanon

**LESOTHO**

Central Bank of Lesotho  
Consulate of the Kingdom of Lesotho  
Embassy of the Kingdom of Lesotho  
Kingdom of Lesotho  
Lesotho Permanent Mission to the United Nations

**LIECHTENSTEIN**

Embassy of the Principality of Liechtenstein  
Principality of Liechtenstein  
State Bank of Liechtenstein  
(Liechtensteinische Landesbank)

**LIBERIA**

Consulate of the Republic of Liberia  
Embassy of the Republic of Liberia  
Liberian Permanent Mission to the United Nations  
Ministry of Finance  
National Bank of Liberia  
Republic of Liberia

**LIBYA**

Central Bank of Libya  
Embassy of Libya  
Libyan Liaison Office  
Libyan Permanent Mission to the United Nations  
Socialist People's Libyan Arab Jamahiriya  
Libyan Investment Authority  
Libyan Arab Foreign Investment Company

**LITHUANIA**

Consulate of the Republic of Lithuania  
Embassy of the Republic of Lithuania  
Lietuvos Bankas (Bank of Lithuania)  
Lithuanian Legation  
Republic of Lithuania

**LUXEMBOURG**

Banque Centrale du Luxembourg (Central Bank of  
Luxembourg)  
Consulate of the Grand Duchy of Luxembourg  
Embassy of the Grand Duchy of Luxembourg  
Grand Duchy of Luxembourg  
Institut Monetaire Luxembourgeois  
Luxembourg Permanent Mission to the United Nations

**MACAU**

Macau Special Administrative Region (Macau (S.A.R.)  
Monetary Authority of Macau (Autoridade Monetaria de  
Macau)  
Secretariat for Economy and Finance

**MACEDONIA, REPUBLIC OF**

Consulate of the Republic of Macedonia  
Embassy of the Republic of Macedonia  
National Bank of the Republic of Macedonia  
(Narodna Banka na Makedonija)  
Republic of Macedonia

**MADAGASCAR**

Central Bank of Madagascar (Banque Centrale de Madagascar)  
Consulate of the Republic of Madagascar  
Democratic Republic of Madagascar  
Embassy of the Republic of Madagascar  
Madagascar Permanent Mission to the United Nations

**MALAWI**

Embassy of Malawi  
Malawi Permanent Mission to the United Nations  
Republic of Malawi  
Reserve Bank of Malawi



## MALAYSIA

Bank Negara Malaysia (Central Bank of Malaysia)  
Consulate of Malaysia  
Embassy of Malaysia  
Government of Malaysia  
Khazanah Nasional Berhad  
Malayan Permanent Mission to the United Nations  
Malaysian Rubber Export Promotion Council  
Ministry of Finance (Treasury Malaysia)  
Office of Defense, Military, Naval and Air Attache  
Office of Economic Counselor  
Office of Malaysian Students  
Office of Mara Students  
Office of Scientific Attache

## MALDIVES

Embassy of the Republic of Maldives  
Maldives Monetary Authority  
Maldives Permanent Mission to the United Nations  
Republic of Maldives

## MALI

Consulate of the Republic of Mali  
Embassy of the Republic of Mali  
Mali Permanent Mission to the United Nations  
Ministry of Finance  
Republic of Mali

## MALTA

Central Bank of Malta  
Consulate of Malta  
Embassy of Malta  
Maltese Permanent Mission to the United Nations  
Republic of Malta

## MARSHALL ISLANDS

Compact Trust Fund  
Consulate of the Republic of the Marshall Islands  
Embassy of the Republic of the Marshall Islands  
Marshall Islands Nuclear Claims Tribunal  
Ministry of Finance  
Republic of the Marshall Islands

## MARTINIQUE

Department of Martinique, French Republic  
Institut d'Emission des Departements d'Outre mer  
(IEDOM) (L'agence de l'IEDOM à la Martinique)  
Office des Changes de la Martinique

## MAURITANIA

Central Bank of Mauritania  
(Banque Centrale de Mauritanie)  
Embassy of the Islamic Republic of Mauritania  
Islamic Republic of Mauritania  
Mauritania Permanent Mission to the United Nations  
National Fund for Hydrocarbon Resources

## MAURITIUS

Bank of Mauritius  
Consulate of Republic of Mauritius  
Embassy of Republic of Mauritius  
Mauritius Permanent Mission to the United Nations  
Republic of Mauritius

## MAYOTTE

L'agence de l'IEDOM à Mayotte (IEDOM –  
Institut d'Emission des Departements d'Outre mer)  
Territorial Collectivity of Mayotte

## MEXICO

Banco de Mexico (Bank of Mexico)  
Commercial Office of Mexico  
Consulate of Mexico  
Delegacion Fiscal Mexico  
Embassy of Mexico  
Foreign Trade Institute of Mexico  
Mexican Permanent Mission to the United Nations  
Office of Agriculture and Forestry Minister  
Office of Defense, Military and Air Attache  
Office of Financial Counselor  
Office of Naval Attache  
Office of Attorney General of Mexico  
Office of Tourism Minister  
Office of Trade Minister  
Office of Trade Negotiations  
Oil Income Stabilization Fund  
Tourism Board of Mexico  
United Mexican States

## MICRONESIA, FEDERATED STATES OF

Compact Trust Fund  
Consulate of the Federated States of Micronesia  
Embassy of the Federated States of Micronesia  
Federated States of Micronesia Banking Board  
Federated States of Micronesia Finance Ministry  
Federated States of Micronesia Social Security Administration  
Federated States of Micronesia

## MOLDOVA

Consulate of the Republic of Moldova  
Embassy of the Republic of Moldova  
The National Bank of Moldova  
Republic of Moldova

## MONGOLIA

The Bank of Mongolia  
Consulate of Mongolia  
Embassy of Mongolia  
Government of Mongolia  
Mongolian Permanent Mission to the United Nations

## MONACO

Consulate of the Principality of Monaco  
Département des Finances et de l'Economie  
Principality of Monaco

## MOROCCO

Bank Al-Maghrib (Banque Al Maghrib)  
Consulate of the Kingdom of Morocco  
Embassy of the Kingdom of Morocco  
Kingdom of Morocco  
Moroccan Permanent Mission to the United Nations

## MOZAMBIQUE

Bank of Mozambique (Banco de Mozambique)  
Embassy of the Republic of Mozambique  
Mozambique Permanent Mission to the United Nations  
Republic of Mozambique

**NAMIBIA**

Bank of Namibia  
Consulate of the Republic of Namibia  
Embassy of the Republic of Namibia  
Republic of Namibia

**NAURU**

Bank of Nauru  
Consulate of the Republic of Nauru  
Embassy of the Republic of Nauru  
Republic of Nauru

**NEPAL**

Royal Nepalese Consulate  
Royal Nepalese Embassy (Embassy of Nepal)  
Kingdom of Nepal  
Ministry of Finance  
Nepalese Permanent Mission to the United Nations  
Nepal Rastra Bank (Central Bank of the Kingdom of Nepal)

**NETHERLANDS**

Auditor General of the Netherlands Government  
De Nederlandsche Bank (Netherlands Bank)  
Departments of the Government of the Netherlands  
Dutch Permanent Mission to the United Nations  
Kingdom of the Netherlands  
Ministry of Finance  
Netherlands Economic Mission  
Netherlands Government  
Netherlands Government Food Purchasing Bureau  
Netherlands Ministry of Traffic, Directorate General of Shipping  
Netherlands Purchasing Commission  
Office of Netherlands Naval Attache  
Royal Netherlands Consulate (Consulate of the Netherlands)  
Royal Netherlands Embassy (Embassy of the Netherlands)  
Royal Netherlands Navy  
The Netherlands Information Bureau

**NETHERLANDS ANTILLES**

Bank van de Nederlandse Antillen (Bank of the Netherlands Antilles)  
Government of the Netherlands Antilles  
Ministry of Finance

**NEW CALEDONIA**

L'agence de l'IEOM à la Nouvelle-Calédonie (IEOM – Institut d'Emission d'Outre mer)  
Ministry of Economy and Finance  
Territory of New Caledonia and Dependencies

**NEW ZEALAND**

Consulate of New Zealand  
Dominion of New Zealand  
Embassy of New Zealand  
New Zealand Permanent Mission to the United Nations  
New Zealand Superannuation Fund  
New Zealand Trade Commission  
New Zealand Treasury  
Office of Commercial Attache  
Reserve Bank of New Zealand

**NICARAGUA**

Banco Central de Nicaragua (Central Bank of Nicaragua)  
Consulate of the Republic of Nicaragua

Corporation of Nicaragua (Corporacion Financiera de Nicaragua (CORFIN))

Embassy of the Republic of Nicaragua  
High Commissioner of the Republic of Nicaragua  
Ministry of Treasury and Public Credit  
Nicaraguan Permanent mission to the United Nations  
Office of Military Attache to the Nicaraguan Embassy  
Republic of Nicaragua  
Republic of Nicaragua Collector General of Customs

**NIGER**

Embassy of the Republic of Niger  
Niger Permanent Mission to the United Nations  
Ministry of Finance  
Republic of Niger

**NIGERIA**

Central Bank of Nigeria  
Consulate of the Federal Republic of Nigeria  
Embassy of the Federal Republic of Nigeria  
Excess Crude Account  
Federal Republic of Nigeria  
Nigerian Permanent Mission to the United Nations

**NIUE**

Treasury Department  
Government of Niue

**NORWAY**

Government Pension Fund (former State Petroleum Fund)  
Government Petroleum Insurance Fund  
Kingdom of Norway  
Ministry of Finance  
Norges Bank (Central Bank of Norway)  
Norwegian Permanent Mission to the United Nations  
Norwegian Purchasing Commission  
Norwegian Shipping and Trade Commission  
Royal Norwegian Air Force  
Royal Norwegian Commerce Department  
Royal Norwegian Consulate (Consulate of Norway)  
Royal Norwegian Embassy (Embassy of Norway)  
Royal Norwegian Information Service

**OMAN (MUSCAT AND OMAN)**

Central Bank of Oman  
Consulate of Oman  
Defense Office  
Embassy of the Sultanate of Oman  
Muscat Currency Authority  
Oil Fund  
Oman Permanent Mission to the United Nations  
State General Reserve Fund  
Sultanate of Oman

**PAKISTAN**

Consulate of Pakistan  
Embassy of Pakistan  
Islamic Republic of Pakistan  
Office of Defense Procurement Attache  
Office of Educational and Cultural Attache  
Pakistan Trade Office  
Pakistani Permanent Mission to the United Nations  
State Bank of Pakistan  
State of Pakistan

## PANAMA

Consulate of the Republic of Panama  
Embassy of the Republic of Panama  
Ministerio de Hacienda y Tesoro  
National Bank of Panama (Banco Nacional de Panama)  
Panamanian Permanent Mission to the United Nations  
Republic of Panama

## PALAU

Compact Trust Fund  
Consulate of the Republic of Palau  
Embassy of the Republic of Palau  
Ministry of Finance  
Republic of Palau Social Security System  
Republic of Palau

## PAPUA NEW GUINEA

Bank of Papua New Guinea  
Consulate of Papua New Guinea  
Embassy of Papua New Guinea  
Independent State of Papua New Guinea  
Ministry of Finance and Treasury

## PARAGUAY

Banco Central del Paraguay (Central Bank of Paraguay)  
Consulate of Paraguay  
Embassy of Paraguay  
Paraguayan Permanent Mission to the United Nations  
Office of Commercial and Economic Affairs  
Office of Defense Attache  
Office of Press and Information Affairs  
Office of Visa and Consular Affairs  
Republic of Paraguay

## PERU

Banco Central de Reserva del Peru (Central Reserve Bank of Peru)  
Consulate of Peru  
Embassy of Peru  
Office of Air Attache to the Peruvian Embassy  
Office of Joint Fight Against Drugs  
Office of Military Attache  
Office of Peruvian Naval Commissioner & Attache  
Peruvian Permanent Mission to the United Nations  
Republic of Peru

## PHILIPPINES

Bangko Sentral ng Pilipinas (Central Bank of the Philippines)  
Commercial Office  
Consulate of the Republic of the Philippines  
Embassy of the Republic of the Philippines  
Office of Armed Forces of the Philippines Attache  
(Procurement Mission Fund)  
Office of Commercial Counselor  
Philippine Constabulary  
Philippine Permanent Mission to the United Nations  
Philippine Purchasing Agency  
Philippine Relief and Trade Rehabilitation Administration  
Republic of the Philippines  
Tourism Office of the Philippines

## POLAND

Commercial Office  
Consulate of the Republic of Poland  
Embassy of the Republic of Poland

Ministry of Finance  
Ministry of Foreign Affairs  
Ministry of Foreign Trade  
Ministry of Maritime Economy  
National Bank of Poland (Narodowy Bank Polski)  
Office of Defense Attache  
Office of Economic and Financial Counselor  
Polish American Supply Corporation  
Republic of Poland  
Polish Permanent Mission to the United Nations

## PORTUGAL

Agencia Financial de Portugal  
Banco de Portugal (Bank of Portugal)  
Casa de Portugal  
Commercial Office  
Consulate of Portugal  
Embassy of Portugal  
Office of Defense, Military, Naval and Air Attache  
Portuguese Permanent Mission to the United Nations  
Portuguese Republic

## QATAR

Consulate of the State of Qatar  
Embassy of the State of Qatar  
Ministry of Finance  
Offices of Medical, Cultural & Military Attache  
Qatar Central Bank  
Qatar Investment Authority  
Qatar Permanent Mission to the United Nations  
State of Qatar

## REUNION

Department of Reunion, French Republic  
L'agence de l'IEDOM à la Reunion (IEDOM –  
Institut d'Emission des Departements d'Outre mer)

## ROMANIA

Consulate of Romania  
Embassy of Romania  
Government of Romania  
National Bank of Romania  
Office of Defense, Military, Naval and Air Attache  
Office of Economic Counselor  
Romanian Permanent Mission to the United Nations

## RUSSIA

Central Bank of Russia (Bank Russii)  
Consulate of the Russian Federation  
Embassy of the Russian Federation  
Ministry of Finance  
National Wealth Fund  
Office of Defense, Military, Naval and Air Attache  
Office of Fisheries Attache  
Office of Information  
Office of Trade  
Office of Trade Representative of the Russian Federation  
Reserve Fund  
Russian Cultural Centre  
Russian Federation  
Stabilization Fund of the Russian Federation

**RWANDA**

Banque Nationale du Rwanda (National Bank of Rwanda)  
Consulate of the Republic of Rwanda  
Embassy of the Republic of Rwanda  
Republic of Rwanda  
Rwanda Permanent Mission to the United Nations

**ST. HELENA**

Commissioners of Currency  
Currency Fund  
Department of Finance  
Government of Saint Helena

**ST. KITTS AND NEVIS**

Consulate of St. Kitts and Nevis  
Embassy of St. Kitts and Nevis  
Federation of Saint Kitts and Nevis  
Ministry of Finance

**ST. LUCIA**

Consulate of Saint Lucia  
Embassy of Saint Lucia  
Government of Saint Lucia  
Ministry of Finance, International Financial Services  
and Economic Affairs

**ST. PIERRE AND MIQUELON**

L'agence de l'IEDOM à Saint-Pierre et Miquelon (IEDOM –  
Institut d'Emission des Departements d'Outre mer)  
Territorial Collectivity of Saint Pierre and Miquelon

**ST. VINCENT AND THE GRENADINES**

Consulate of Saint Vincent and the Grenadines  
Embassy of Saint Vincent and the Grenadines  
Government of Saint Vincent and the Grenadines  
Ministry of Finance

**SAMOA (formerly WESTERN SAMOA)**

Bank of Samoa  
Central Bank of Samoa  
Consulate of the Independent State of Samoa  
Embassy of the Independent State of Samoa  
Independent State of Samoa  
Monetary Board of Samoa

**SAN MARINO**

Central Bank of the Republic of San Marino  
Consulate of the Republic of San Marino  
Republic of San Marino  
San Marinense Institute of Credit

**SAO TOME and PRINCIPE**

Central Bank of Sao Tome and Principe  
(Banco Central de Sao Tome e Principe)  
Consulate of the Democratic Republic of Sao Tome and  
Principe  
Democratic Republic of Sao Tome and Principe  
Sao Tome and Principe Permanent Mission to the United  
Nations  
National Oil Account

**SAUDI ARABIA**

Commercial Office  
Kingdom of Saudi Arabia  
Medical Office

**Ministry of Finance**

Office of Defense and Armed Forces Attache  
Office of Saudi Arabian National Guard  
Public Investment Fund  
Royal Consulate of Saudi Arabia  
Royal Embassy of Saudi Arabia (Embassy of Saudi Arabia)  
Saudi Arabian Cultural Mission  
Saudi Arabian Monetary Agency (SAMA)  
Saudi Arabian Permanent Mission to the United Nations  
Saudi Fund for Development (SFD)

**SENEGAL**

Consulate of the Republic of Senegal  
Embassy of the Republic of Senegal  
Office of Defense, Air & Military Attache  
Ministry of Economy and Finance  
Republic of Senegal  
Senegalese Permanent Mission to the United States

**SERBIA and MONTENEGRO and KOSOVO**

Banking and Payment Authority of Kosovo  
Central Bank of Montenegro (Centrale banka crne gore)  
Consulate of Kosovo  
Consulate of Montenegro  
Consulate of Serbia  
Embassy of Kosovo  
Embassy of Montenegro  
Embassy of Serbia  
Ministry of Finance of the Republic of Kosovo  
Ministry of Finance of the Republic of Montenegro  
Ministry of Finance of the Republic of Serbia  
National Bank of Serbia (Narodna banka Srbije)  
Republic of Kosovo  
Republic of Montenegro  
Republic of Serbia

**SEYCHELLES**

Central Bank of Seychelles  
Consulate of the Republic of Seychelles  
Embassy of the Republic of Seychelles  
Republic of Seychelles  
Seychelles Permanent Mission to the United Nations

**SIERRA LEONE**

Bank of Sierra Leone  
Embassy of Sierra Leone  
Republic of Sierra Leone  
Sierra Leone Permanent Mission to the United Nations

**SINGAPORE**

Board of Commissioners of Currency  
Consulate of the Republic of Singapore  
Embassy of the Republic of Singapore  
Government of Singapore Investment Corporation (GSIC)  
Ministry of Finance  
Monetary Authority of Singapore  
Republic of Singapore  
Singapore Permanent Mission to the United Nations  
Temasek Holdings

**SLOVAKIA**

Consulate of the Slovak Republic  
Embassy of the Slovak Republic  
Government of the Slovak Republic  
Office of the Commercial Section  
National Bank of Slovakia (Narodna Banka Slovenska)  
(central bank)  
Slovak Permanent Mission to the United Nations

**SLOVENIA**

Bank of Slovenia  
Consulate of the Republic of Slovenia  
Embassy of the Republic of Slovenia  
Republic of Slovenia

**SOLOMON ISLANDS**

Central Bank of Solomon Islands  
Embassy of the Solomon Islands  
Ministry of Finance  
Republic of Solomon Islands

**SOMALIA**

Central Bank of Somalia (Bankiga Dhexe ee Soomaaliya)  
Embassy of Somali Republic  
Somali Republic  
Somalian Permanent Mission to the United Nations

**SOUTH AFRICA**

Agricultural Office  
Department of Finance  
Embassy of the Republic of South Africa  
Office of Communication Section  
Office of Department of Trade and Industry  
Office of Public Affairs  
Republic of South Africa  
Republic of South Africa Department of Customs  
Republic of South Africa Government Supply Office  
South African Consulate General  
South African Permanent Mission to the United Nations  
South African Reserve Bank  
Technical Office

**SPAIN**

Banco de Espana (Bank of Spain)  
Consulate of Spain  
Cultural Office  
Economic & Commercial Office  
Embassy of Spain  
Financial Office  
Foreign Market Services (Servicios de Mercados Extranjeros)  
Instituto Espanol de Moneda Extranjera  
Kingdom of Spain  
National Spanish Tourist Office  
Office of Air Attache  
Office of Defense Attache  
Office of Defense Cooperation Attache  
Office of Education  
Office of Information  
Office of Labor and Social Affairs  
Office of Military Attache  
Office of Naval Attache  
Spanish Agriculture Office  
Spanish Commercial Office  
Spanish Permanent Mission to the United Nations  
Spanish State

**SRI LANKA**

Central Bank of Sri Lanka  
Consulate of the Democratic Socialist Republic of Sri Lanka  
Democratic Socialist Republic of Sri Lanka  
Embassy of the Democratic Socialist Republic of Sri Lanka  
Sri Lanka Permanent Mission to the United Nations

**SUDAN**

Bank of Sudan  
Embassy of the Republic of the Sudan  
Office of the Cultural Counselor  
Office of Information Attache  
Oil Revenue Stabilization Account  
Republic of the Sudan  
Sudanese Permanent Mission to the United Nations

**SURINAME**

Central Bank van Suriname (Central Bank of Suriname)  
Consulate of the Republic of Suriname  
Embassy of the Republic of Suriname  
Republic of Suriname  
Suriname Permanent Mission to the United Nations

**SWAZILAND**

The Central Bank of Swaziland  
Embassy of the Kingdom of Swaziland  
Kingdom of Swaziland  
Monetary Authority of Swaziland  
Swaziland Permanent Mission to the United Nations

**SWEDEN**

Consulate of Sweden  
Embassy of Sweden  
Kingdom of Sweden  
Sveriges Riksbank (Bank of Sweden)  
Swedish Trade Council  
Swedish Office of Science and Technology  
Swedish Permanent Mission to the United Nations  
Swedish Travel Information Bureau, Inc.

**SWITZERLAND**

Consulate General of Switzerland  
Embassy of Switzerland  
Schweizerische Nationalbank (Banque Nationale Suisse)  
(Swiss National Bank)  
Swiss Confederation  
Swiss Government Departments

**SYRIA**

Central Bank of Syria (Masrif Suriyah al-Markaz)  
Consulate of the Syrian Arab Republic  
Embassy of the Syrian Arab Republic  
Syrian Arab Republic  
Syrian Permanent Mission to the United Nations

#### TAIWAN

Board of Supplies, Executive Yuan  
The Central Bank of China (Taiwan)  
China Defense Supplies Incorporated  
Chinese Petroleum Corporation  
Joint Commission on Rural Reconstruction in Taiwan  
National Stabilisation Fund  
Ministry of Economic Affairs  
Ministry of Finance  
Republic of China  
Taipei Economic Culture and Representative Office (TECRO)

#### TAJIKISTAN

Consulate Republic of Tajikistan  
Embassy Republic of Tajikistan  
National Bank of the Republic of Tajikistan  
Republic of Tajikistan

#### TANZANIA

Bank of Tanzania  
Consulate of the United Republic of Tanzania  
Embassy of the United Republic of Tanzania  
Tanzanian Permanent Mission to the United Nations  
United Republic of Tanzania

#### THAILAND

Bank of Thailand  
Consulate of Thailand  
Cultural Office  
Embassy of Thailand (Royal Thai Embassy)  
Kingdom of Thailand  
Office of Air Attache  
Office of Commercial Affairs  
Office of Economic and Financial Affairs  
Office of Education Affairs  
Office of Education Counselor  
Office of Industrial Affairs  
Office of Information  
Office of Military Attache  
Office of Naval Attache  
Office of Science and Technology  
Siamese Fund  
Thai Permanent Mission to the United Nations

#### TOGO

Consulate of the Republic of Togo  
Embassy of the Republic of Togo  
Ministry of Economy, Finance and Privatization  
Republic of Togo

#### TONGA

Consulate of the Kingdom of Tonga  
Embassy of the Kingdom of Tonga  
Kingdom of Tonga  
National Reserve Bank of Tonga

#### TRINIDAD AND TOBAGO

Central Bank of Trinidad and Tobago  
Consulate of the Republic of Trinidad and Tobago  
Embassy of the Republic of Trinidad and Tobago  
Heritage and Stabilization Fund  
Republic of Trinidad and Tobago  
Trinidad and Tobago Permanent Mission to the United Nations

#### TUNISIA

Banque Centrale de Tunisie (Central Bank of Tunisia)  
Consulate of Tunisia  
Embassy of Tunisia  
Office of Defense Armed Forces Attache  
Republic of Tunisia  
Tunisian Information Office  
Tunisian Permanent Mission to the United Nations

#### TURKEY

Consulate of the Republic of Turkey  
Embassy of the Republic of Turkey  
Office of Agricultural Counselor  
Office of Commercial Counselor  
Office of Defense Attache  
Office of Defense, Air, Military & Naval Attache  
Office of Economic Counselor  
Office of Educational Counselor  
Office of Financial and Customs Counselor  
Office of Planning  
Office of Press Counselor  
Office of Social Affairs  
Office of Tourism Counselor  
Republic of Turkey  
Republic of Turkey Purchasing Delegation  
Turkish Economic Mission  
Turkish Permanent Mission to the United Nations  
Turkiye Cumhuriyet Merkez Bankasi  
(Central Bank of the Republic of Turkey)

#### TURKMENISTAN

Central Bank of Turkmenistan  
Consulate of Turkmenistan  
Embassy of Turkmenistan  
Republic of Turkmenistan

#### TUVALU

Government of Tuvalu  
Ministry of Finance, Economic Planning & Industry  
National Bank of Tuvalu

#### UGANDA

Bank of Uganda  
Embassy of the Republic of Uganda  
Poverty Action Fund  
Republic of Uganda  
Ugandan Permanent Mission to the United Nations

#### UKRAINE

Consulate of Ukraine  
Embassy of Ukraine  
National Bank of Ukraine  
Government of Ukraine

#### UNITED ARAB EMIRATES

Abu Dhabi Fund for Arab Economic Development (ADFAED)  
Abu Dhabi International Petroleum Investment Company  
Abu Dhabi Investment Authority  
Abu Dhabi Investment Company  
Abu Dhabi Investment Council  
Central Bank of United Arab Emirates  
Cultural Office  
Dubai Holding  
Dubai International Capital  
Dubai International Financial Center  
Embassy of the United Arab Emirates  
Government of Abu Dhabi  
Government of Dubai  
Government of United Arab Emirates  
Investment Corporation of Dubai  
Istithmar  
Medical Office  
Mubadala Development Company  
Office of Defense, Military, Naval and Air Attache  
Ras Al Khaimah Minerals and Metals Investments (RMMI)  
Ras Al Khaimah Investment Authority  
United Arab Emirates Currency Board  
United Arab Emirates Permanent Mission to the United Nations

#### UNITED KINGDOM

Bank of England  
British Army Services  
British Army Staff  
British Embassy  
British Joint Services Mission  
British Merchant Navy Committee  
British Ministry of Pensions  
British Ministry of Transport  
British Naval Welfare Fund  
British Permanent Mission to the United Nations  
British Supply Office  
Consulate of Britain  
Crown Agents  
HM Treasury  
Office of British Naval Staff  
Office of Civil Aviation and Mission to the FAA  
Office of Northern Ireland Bureau  
R.A.F. Delegation  
United Kingdom of Great Britain and Northern Ireland  
United Kingdom Payments Office  
United Kingdom Treasury and Supply Delegation

#### URUGUAY

Banco Central del Uruguay (Central Bank of Uruguay)  
Consulate of Uruguay  
Direccion de Credito Publico  
Embassy of Uruguay  
Office of Financial Affairs  
Office of Military, Naval and Air Attache  
Office of Trade Bureau  
Oriental Republic of Uruguay  
Uruguayan Permanent Mission to the United Nations

#### UZBEKISTAN

Central Bank of the Republic of Uzbekistan  
Consulate of the Republic of Uzbekistan  
Embassy of the Republic of Uzbekistan  
Republic of Uzbekistan

#### VANUATU

Consulate of the Republic of Vanuatu  
Republic of Vanuatu  
Reserve Bank of Vanuatu

#### VENEZUELA

Banco Central de Venezuela (Central Bank of Venezuela)  
Consulate of the Bolivarian Republic of Venezuela  
Embassy of the Bolivarian Republic of Venezuela  
Banco de Desarrollo Economico Y Social de Venezuela (BANDES)  
Macroeconomic Stabilization Fund (FIEM)  
Ministerio de Obras Publicas  
National Development Fund (Fondon)  
Office of Military and Air Attache  
Office of Defense and Naval Attache  
Office of Information Service  
Republic of Venezuela  
Venezuelan Permanent Mission to the United Nations

#### VIETNAM

Consulate of Vietnam  
Embassy of Vietnam  
Ministry of Finance  
Ministry of Foreign Trade  
Office of Defense Attache  
Office of Trade  
Socialist Republic of Vietnam  
State Bank of Vietnam (Viet Bank)  
Vietnamese Permanent Mission to the United Nations

#### VIRGIN ISLANDS, BRITISH

Commissioner of Currency (British Virgin Islands)  
Ministry of Finance  
Government of British Virgin Islands

#### WALLIS AND FUTUNA

Department of Economic and Development Affairs  
L'agence de l'IEOM à le Territoire des Îles Wallis et Futuna  
(IEOM -- Institut d'Emission d'Outre-Mer)  
Territory of the Wallis and Futuna Islands

#### YEMEN

Central Bank of Yemen  
Consulate of the Republic of Yemen  
Embassy of the Republic of Yemen  
Republic of Yemen  
Republic of Yemen Permanent Mission to the United Nations

#### ZAMBIA

Bank of Zambia  
Embassy of the Republic of Zambia  
Republic of Zambia  
Zambian Permanent Mission to the United Nations

#### ZIMBABWE

Embassy of Republic of Zimbabwe  
Republic of Zimbabwe  
Reserve Bank of Zimbabwe  
Zimbabwe Permanent Mission to the United Nations

# **APPENDIX F**



## APPENDIX F: LIST OF CURRENCY CODES<sup>5</sup>

<u>Code</u>	<u>Currency</u>	<u>Code</u>	<u>Currency</u>
AFN	Afghanistan Afghani	CYP	Cyprus Pound
ALL	Albanian Lek	CZK	Czech Koruna
DZD	Algerian Dinar	DKK	Danish Krone
ADP	Andorran Peseta	DJF	Djibouti Franc
AOR	Angolan Kwanza Reajustado	DOP	Dominican Peso
ARS	Argentine Peso	XCD	East Caribbean Dollar
AMD	Armenian Dram	EGP	Egyptian Pound
AWG	Aruban Guilder	SVC	El Salvador Colon
AUD	Australian Dollar	ERN	Eritrea Nakfa
AZM	Azerbaijani New Manat	EEK	Estonia Kroon
BSD	Bahamian Dollar	ETB	Ethiopian Birr
BHD	Bahraini Dinar	EUR	European Union Euro
BDT	Bangladeshi Taka	FKP	Falkland Islands Pound
BBD	Barbados Dollar	FJD	Fiji Dollar
BYR	Belarussian Ruble	GMD	Gambia Dalasi
BZD	Belize Dollar	GEL	Georgia Lari
BMD	Bermudian Dollar	GHC	Ghana Cedi
BTN	Bhutan Ngultrum	GIP	Gibraltar Pound
BOB	Bolivian Boliviano	GTQ	Guatemala Quetzal
BWP	Botswana Pula	GWP	Guinea-Bissau Peso
BAM	Bosnia & Herzegovina Convertible Marks	GNF	Guinea Franc
BRL	Brazilian Real	GYD	Guyana Dollar
BND	Brunei Dollar	HTG	Haitian Gourde
BGN	Bulgarian Lev	HNL	Honduras Lempira
BIF	Burundi Franc	HKD	Hong Kong Dollar
KHR	Cambodian Riel	HUF	Hungarian Forint
CAD	Canadian Dollar	ISK	Iceland Krona
CVE	Cape Verde Escudo	INR	Indian Rupee
KYD	Cayman Islands Dollar	IDR	Indonesian Rupiah
XOF	CFA Franc BCEAO	IRR	Iranian Rial
XAF	CFA Franc BEAC	IQD	Iraqi Dinar
XPF	CFP Franc	JMD	Jamaican Dollar
CLP	Chilean Peso	JPY	Japanese Yen
CNY	Chinese Yuan Renminbi	JOD	Jordanian Dinar
COP	Colombian Peso	KZT	Kazakhstan Tenge
KMF	Comoro Franc	KES	Kenyan Shilling
CDF	Congolais Franc	KWD	Kuwaiti Dinar
CRC	Costa Rican Colon	KGS	Kyrgyzstan Som
HRK	Croatian Kuna	LAK	Laos Kip
CUP	Cuban Peso	LVL	Latvian Lats

<u>Code</u>	<u>Currency</u>	<u>Code</u>	<u>Currency</u>
LBP	Lebanese Pound	STD	Sao Tome & Principe Dora
LSL	Lesotho Lote	SAR	Saudi Arabian Riyal
LRD	Liberian Dollar	SCR	Seychelles Rupee
LYD	Libyan Dinar	SLL	Sierra Leone Leone
LTL	Lithuanian Litas	SGD	Singapore Dollar
MOP	Macau SAR Pataca	SKK	Slovak Koruna
MKD	Macedonian Denar	SIT	Slovenia Tolar
MGF	Malagasy Franc	SBD	Solomon Islands Dollar
MWK	Malawi Kwacha	SOS	Somali Shilling
MYR	Malaysian Ringgit	ZAR	South African Rand
MVR	Maldives Rufiyaa	KRW	South Korean Won
MTL	Maltese Lira	LKR	Sri Lanka Rupee
MRO	Mauritania Ouguiya	SDD	Sudanese Dinar
MUR	Mauritius Rupee	SRG	Suriname Guilder
MXN	Mexican Peso	SZL	Swziland Lilangeni
MDL	Moldovan Leu	SEK	Swedish Krona
MNT	Mongolian Tugrik	CHF	Swiss Franc
MAD	Moroccan Dirham	SYP	Syrian Pound
MZM	Mozambique New Metical	TWD	Taiwan New Dollar
MMK	Myanmar Kyat	TJS	Tajikistan Somoni
NAD	Namibia Dollar	TZS	Tanzanian Shilling
NPR	Nepalese Rupee	THB	Thailand Baht
ANG	Netherlands Antillean Guilder	TOP	Tongan Pa'anga
ILS	New Israeli Shekel	TTD	Trinidad and Tobago Dollar
TWD	New Taiwan Dollar	TND	Tunisian Dinar
NZD	New Zealand Dollar	TRY	Turkish Yani
NIO	Nicaraguan Cordoba Oro	TMM	Turkmenistan Manat
NGN	Nigerian Naira	UGX	Uganda New Shilling
KPW	North Korean Won	UAH	Ukrainian Hryvnia
NOK	Norwegian Krone	AED	United Arab Emirates Dirham
OMR	Omani Rial	USD	United States Dollar
PKR	Pakistani Rupee	UYU	Uruguayo Peso
PAB	Panamanian Balboa	UZS	Uzbekistan Sum
PGK	Papua New Guinea Kina	VUV	Vanuatu Vatu
PYG	Paraguay Guarani	VEB	Venezuelan Bolivar
PEN	Peruvian New Sol	VND	Vietnamese Dong
PHP	Philippine Peso	YER	Yemeni Rial
PLN	Polish Zloty	YUM	Yugoslavian Dinar
GBP	Pound Sterling	ZMK	Zambian Kwacha
QAR	Qatari Rial	ZWD	Zimbabwean Dollar
ROL	Romanian Leu		
RUB	Russian Ruble		
RWF	Rwanda Franc		
SHP	Saint Helena Pound		
WST	Samoaan Tala		

# **APPENDIX G**

## GLOSSARY

**AMERICAN DEPOSITARY RECEIPT (ADR)** - Negotiable certificates, typically issued by a U.S.-resident company and backed by shares of stock issued by a foreign corporation. ADRs that represent ownership of foreign securities are considered foreign securities and should not be reported, even if issued by a U.S.-resident company.

**ASSET-BACKED SECURITIES** - Securitized interests in a pool of assets, which give the purchaser a claim against the cash flows generated by the underlying assets. These pools may be derived from mortgage loans, auto loans, credit card receivables, vehicle and equipment leases, consumer loans, commercial loans or other assets. All asset-backed securities, including CMOs, CLOs, CBOs, CDOs, and stripped asset-backed securities are reported as security type = 12 (asset-backed security). (See Section III.D of the reporting instructions.)

**BEARER BOND** - Securities that are not registered in the name of their owner. The owner collects interest and dividends upon presentation of detachable coupons to a bank or fiduciary agent. Bearer bonds are reported as long-term debt securities, security type = 9 (bond or note, unstripped).

**BEARER BOOK-ENTRY SECURITIES** - See **Bearer Global Notes/Certificates**.

**BEARER GLOBAL NOTES/CERTIFICATES** - Bearer notes issued to one or more dealers that are represented by a single global note in bearer form and are intended to be the backing for registered securities issued by the central security depository. (See global certificates.) Bearer global notes/certificates held at a foreign-resident central securities depository are reportable. The entire amount of the issue minus any amount known to be owned by U.S. residents should be reported by the issuer as registered. If the identity of the beneficial foreign owner is not known, the country of the foreign central securities depository should be reported in Schedule 2, item 14 and the type of foreign holder should be reported as Other in Schedule 2, item 15.

**CERTIFICATE OF DEPOSIT** - See **Negotiable Certificates of Deposit**.

**COLLATERALIZED MORTGAGE OBLIGATION (CMO)** - Mortgage-backed securities, which give the purchaser a claim against the cash flows generated by the underlying mortgages. CMOs are usually characterized by a multi-tranche or multi-class serialized structure. Collateralized Mortgage Obligations (CMOs) should be reported as security type = 12 (asset-backed security).

**COMMERCIAL PAPER** - A promissory note, either unsecured or backed by assets such as loans or mortgages. They are usually sold at a discount and customarily having a fixed maturity of 270 days or less. All commercial paper should be reported as security type = 5 (commercial paper).

**COMMINGLED ACCOUNT** - An account in which the investment funds of individual clients are pooled, with each client owning portions of the pooled account. U.S. securities held in foreign-resident commingled accounts should be reported.

**COMMON STOCK** - A security representing equity ownership in a corporation. Common stock claims are subordinate to the claims of bondholders, preferred stockholders, and general creditors. Common stocks are reported as security type = 1 (common stock).

**CONVERTIBLE BOND** - A bond that can be exchanged at a set price for equity securities by the holder under certain conditions. Convertible debt securities issued by U.S.-residents that are owned by foreigners are reported as security type = 7 (convertible debt security).

**CUSTODIAN** - A bank or other entity that manages or administers the custody or safekeeping of stock certificates, debt securities, or other assets for institutional or private investors.

**DEPOSITARY RECEIPTS** - See American Depositary Receipts (ADR). Related types of depositary receipts, such as Global Depositary Receipts, that are backed by foreign securities are considered foreign securities and should not be reported.

**DEPOSIT NOTES** - A debt security issued by a bank, backed by federal deposit insurance up to \$100,000 in principal and interest. They pay a fixed rate of interest and can be issued in book entry or certificate form. Deposit notes are reported as security type = 6 (negotiable CD).

**DEPOSITORY** - An entity that holds securities, either in certificated or uncertificated (dematerialized) form, to enable the transfer of ownership of securities. Depositories are not necessarily custodians, since they may be responsible only for registering and settling security transactions. The major U.S. depository is Depository Trust and Clearing Corporation (DTCC).

**DERIVATIVE CONTRACT** - Financial instrument or other contract with all three of the following characteristics:

1. (a) One or more underlyings; (b) one or more notional amounts; and (c) payment provisions. These terms determine the amount of the settlement or settlements, and, in some cases, whether or not a settlement is required.
2. Requires no initial investment, or an initial investment that is much smaller than would be required for other types of contracts that would be expected to have a similar response to changes in market factors.
3. The terms require or permit net settlement, it can readily be settled net by a means outside the contract, or it provides for delivery of an asset that puts the recipient in a position not substantially different from net settlement.

Derivative contracts are excluded from this report. Embedded derivatives that are not bifurcated from the host contract should be included in the value of the host contract. However, if the embedded derivative is bifurcated from the host contract, the derivative should be excluded from this report.

**DIRECT INVESTMENT** - A direct investment relationship exists when a U.S. company owns 10% or more of the voting equity securities of an incorporated foreign business (or an equivalent interest in an unincorporated foreign business, including a branch), or when a foreign company owns 10% or more of the voting equity securities of an incorporated U.S. business (or an equivalent interest in an unincorporated U.S. business, including a branch). Limited partners in a limited partnership do not have voting rights and therefore cannot have direct investment. (See Section III.K.) If a direct investment relationship exists, then in general, all financial positions between the firms are considered direct investment. If a direct investment relationship exists between non-banking entities, all securities held by the parent entity that were issued by the affiliate of the parent are considered direct investment. **However, if one of the entities is a banking or securities brokerage firm, the inter-company holdings are considered direct investment only if they provide permanent capital.** All holdings known to be direct investment should be excluded from this report.

**FOREIGN BANK** - A bank located in a foreign country and organized under the laws of that country.

**FOREIGN-RESIDENT (FOREIGN, FOREIGNER)** - Any individual, corporation, or other entity legally established outside of the United States, regardless of the actual center of economic activity of the entity. Thus, a corporation incorporated outside of the United States is a foreign resident even if it has no physical presence outside the United States. Foreigners/foreign residents include:

1. Individuals, including citizens of the United States, residing outside of the United States. (This includes individuals that have filed an IRS Form W-8, indicating that the individual is a nonresident alien. However, if an IRS Form is not available, the mailing address can be used to determine residency.)
2. Any corporation or other entity legally established outside of the United States, including branches, subsidiaries and other affiliates of U.S. entities located abroad.
3. Foreign governments and any subdivision, agency or instrumentality thereof, including all foreign official nonbanking institutions, even if located in the United States (e.g., an embassy, consulate, or other diplomatic establishment of a foreign country).
4. Official international or regional organizations or subordinate or affiliated agencies thereof, created by treaty or convention between sovereign states, even if located in the United States, including the International Bank for Reconstruction and Development (IBRD or World Bank), the International Monetary Fund (IMF), and the United Nations (UN). (See Appendix D for a list of international and regional organizations.)

**FOREIGN SECURITIES** - See Section III.C.

**FOREIGN-RESIDENT CUSTODIAN** - A custodian located outside the United States, including a foreign affiliate of a U.S.-resident custodian. Reporters should determine the location of a custodian according to the country in which the custodian is incorporated, or otherwise legally established, not according to the country of the custodian's parent firm, and not according to the location of the custodian's operations center.

**FOREIGN-RESIDENT SUBCUSTODIAN** - A foreign institution that holds in custody or safekeeps foreign securities for U.S.-resident custodians.

**FUNDS** - Pooled, separate and general investment accounts, including mutual funds (open and closed end), country funds, exchange traded funds, unit investment trusts, collective-investment trusts, hedge funds, and all other similarly pooled, commingled investment funds. Foreign ownership of shares of U.S.-resident funds are reported as security type = 3 (fund shares), regardless of the types of securities held by the fund. U.S. securities held for foreign-resident funds should be reported in the same manner as the holdings of other foreign residents. (See

Section III.E for the correct reporting of funds.)

**GLOBAL NOTES/CERTIFICATES** - Notes issued to one or more dealers that are represented by a single global note and are intended to be the backing for registered securities issued by the central security depository. Global notes/certificates held at a foreign-resident central securities depository are reportable. The entire amount of the issue minus any amount known to be owned by U.S. residents should be reported. If the identity of the beneficial foreign owner is not known, the country of the foreign central securities depository should be reported in Schedule 2, item 14 and the type of foreign holder should be reported as Other in Schedule 2, item 15.

**INDIVIDUALS** - Natural persons. On item 15 on Schedule 2, enter 2 if the foreign holder of the U.S. security is a natural person who does not use a foreign custodian. That is, the reporter is holding the security directly for the individual.

**INVESTMENT TRUST SHARE** - A share of a company bound by a trust deed issued in registered form, formed to invest in specific types of securities. Shares in an investment trust can usually be bought and sold only through the stock exchange. Sometimes referred to as a 'closed-end' fund. Foreign ownership of U.S. investment trust shares are reported as security type = 3 (fund shares), regardless of the types of securities held by the trust.

**LONG-TERM** - No contractual maturity or an original maturity of more than one year.

**MUNICIPAL BONDS** - Debt securities issued by state and local governments. Municipal bonds are reportable.

**NEGOTIABLE CERTIFICATE OF DEPOSIT** - Deposits evidence by a negotiable instrument, or a deposit in book entry form evidence by a receipt or similar acknowledgement issued by a bank, which provides on its face that the amount of such deposit is payable to the bearer or any specified person. Report as security type = 6 (negotiable CD).

**PREFERRED STOCK** - Equity securities with preferences to the common stock of the issuer. Preferred stock is usually entitled to dividends stated as a fixed dollar amount or as a percentage of par value before any dividend can be paid on the common stock and have priority over common shares in the event of liquidation. Preferred stock are reported as security type = 2 (preferred stock).



**REPURCHASE AGREEMENT (REPO)** - A transaction involving the sale of financial assets by one party to another, subject to an agreement for the seller to repurchase the assets at a specified price on a future date. A resale agreement (also known as a reverse repurchase agreement) is the same transaction viewed from the opposite perspective. Securities sold or purchased under repurchase (resale) agreements should be reported as if the transaction had not occurred. (See Section III. F of the reporting instructions.)

**SECURITY** - Any bill, note, bond, debenture, stock, negotiable money market instrument, or similar instrument that is commonly referred to as a security. See Section III.B for a list of reportable U.S. securities.

**SETTLEMENT DATE** - The date a security is delivered to the purchaser.

**SETTLEMENT DATE ACCOUNTING** - Under settlement date accounting the purchase and sale of assets are not recorded until the settlement date. Settlement date accounting should be used for purposes of this report.

**SHORT-TERM** - Original maturity of one year or less.

**STATE OR LOCAL GOVERNMENT** - The fifty states of the United States and the District of Columbia, Puerto Rico and the U.S. territories and possessions, and their political subdivisions, including counties, municipalities, school districts, irrigation districts, and drainage and sewer districts.

**STRIPS** - An acronym for Separately Traded Registered Interest and Principal Securities. These securities are created by "stripping" coupon payments from securities and treating these coupons as separate securities from the principal. Stripped non-asset-backed securities are reported as security type = 10 (bond or note, stripped). Stripped asset-backed securities are reported as security type = 12 (asset-backed security).

**STRUCTURED NOTE OR BOND** - A financial instrument created specifically to meet the needs of one or a small number of investors. Some of the more common structures include: step-up bonds, index-amortizing notes, dual index notes, deleveraged bonds, range bonds, and inverse floaters. Structured notes or bonds are reportable.

**SUBSIDIARY** - A company in which another company (parent) owns 50 percent or more of the voting securities or an equivalent interest, or meets the consolidation requirement of U.S. GAAP.

**U.S. TREASURY SECURITIES** - Debt instruments that are direct obligations of the United States Treasury. These instruments include Treasury bills that have an original maturity of one year or less, Treasury notes that are intermediate-term (original maturity of 1-10 years) and Treasury bonds that have an original maturity of 10 years or more. U.S. Treasury securities are reportable.

**UNITED STATES** - The fifty (50) States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, and the following: American Samoa, Baker Island, Guam, Howland Island, Jarvis Island, Johnston Atoll, Kingman Reef, Midway Islands, Navassa Island, Palmyra Atoll, the U.S. Virgin Islands, and Wake Island.

**UNIT INVESTMENT TRUST** - A fixed portfolio of securities that are assembled by an underwriter sponsor and upon completion of the underwriting, are deposited with an independent trustee. Unit investment trusts have a definite termination date, usually between 6 months and 10 years. Unit investment trust securities are reported as security type = 3 (fund shares), regardless of the maturity date or the types of securities purchased. U.S. securities held for foreign-resident unit investment trusts should also be reported. (See Section III.E for the correct reporting of unit investment trusts.)

**U.S. RESIDENT** - Any individual, corporation, or other entity incorporated or otherwise legally established in the United States, including branches, subsidiaries and affiliates of foreign entities located in the United States. Corporations incorporated in the United States are considered to be U.S. residents even if they have a de minimus "physical presence" in the United States.

**U.S.-RESIDENT CUSTODIAN** - A custodian located in the United States, including a U.S.-resident affiliate of a foreign custodian.

**U.S.-RESIDENT ISSUER** - Any individual, corporation, or other entity located in the United States that issues securities in its own name, including U.S.-resident affiliates of foreign entities.

**ZERO-COUPON SECURITY** - Bonds that do not provide interest payments. Zero-coupon bonds usually have an issue price well below 100% of the face value with repayment on maturity at face value or par. The investors' return is the difference between the issue price and redemption value.

Zero-coupon bonds and notes are reported as security type = 8 (zero-coupon bond or note).

# **APPENDIX H**

## Technical Information for Electronic Submission

Included in this appendix are instructions for how to properly prepare data in a file for submission. Your entity must retain a copy of the data for a period of 24 months from the date of the report's submission.

### I. Requirements for submitting data via IESUB

- ✓ Each file should contain data for only one Reporter Identification Number. If your entity will be reporting using multiple Reporter Identification Numbers, the data pertaining to each Reporter Identification Number must be reported in a separate file.
- ✓ Your entity must agree to the Terms and Use for Internet Reporting. This information can be found at: <http://www.treas.gov/tic/forms.html/#benchmark>
- ✓ Your entity must have a connection to the Internet that supports the World Wide Web (WWW). Your connection must not block or disable JavaScript.
- ✓ Your entity must have a web browser program (Microsoft Internet Explorer 5.5 or higher) that supports 128-bit Secure Sockets Layer (SSL) encryption. 128-bit encryption is used for all communication between you and the Federal Reserve System.
- ✓ All Schedule 1 information must be data entered before Schedule 2 data can be submitted.
- ✓ All files must be text files and have file names ending with .TXT (e.g., Schedule\_2\_Company\_Name.TXT)

### II. Requirements for submitting data via CD

- ✓ Each CD (media) should contain data for only one Reporter Identification Number. If your entity will be reporting using multiple Reporter Identification Numbers, the data pertaining to each Reporter Identification Number must be reported on separate media.
- ✓

- ✓ Each media for a particular Reporter Identification Number must be accompanied by a paper format Schedule 1.
- ✓ A dump or print out that includes at least the first ten detail records should accompany each media.
- ✓ Include a printout of the command string used to create the file if the file was created directly from the mainframe.
- ✓ Include any special instructions on how to unload the file.
- ✓ All Schedule 2 data must be provided in a standard DOS, ASCII flat file the following media:
  - Standard 700 MB CD(s)

Data must be submitted by August 31, 2009 to:

Federal Reserve Bank of New York  
Statistics Function, 4<sup>th</sup> Floor  
33 Liberty Street  
New York, NY 10045-0001

Should you have any questions concerning the instructions in this appendix, please contact the FRBNY automation staff at 212-720-1989 or 646-720-1989.

### III. Electronic File Formats for both IESUB and CD Submissions

Reporters must use either a semicolon-delimited format or positional format. The layouts and examples of each follows.

#### Semicolon Delimited Format

Data Field and Instructions	Field Format	Schedule 2 Item Number
<b>Reporter Identification Number</b>	N10	1
Delimiter	Semi-colon	
<b>Sequence Number (value from 1 - maximum number of records)</b>	N7	2
Delimiter	Semi-colon	
<b>Reporting Unit</b>	N3	3
Delimiter	Semi-colon	
<b>Name of Reporting Unit</b>	A80	3a
Delimiter	Semi-colon	
<b>Custodian/Issuer Code</b>	A1	4
Delimiter	Semi-colon	
<b>Security ID</b>	A12	5
Delimiter	Semi-colon	
<b>Security ID System (Refer to Schedule 2, Page 1)</b>	N1	6
Delimiter	Semi-colon	
<b>Security ID System Description</b>	A80	6a
Delimiter	Semi-colon	
<b>Security Description</b>	A80	7
Delimiter	Semi-colon	
<b>Name of Issuer</b>	A80	8
Delimiter	Semi-colon	
<b>Type of Issuer (Refer to Schedule 2, Page 1)</b>	N1	9
Delimiter	Semi-colon	
<b>Security Type (Refer to Schedule 2, Page 1)</b>	N2	10
Delimiter	Semi-colon	
<b>Intentionally Left Blank</b>	N1	11
Delimiter	Semi-colon	
<b>Term Indicator (Debt and ABS Only; Otherwise Leave Null)</b>	N1	12
Delimiter	Semi-colon	
<b>Currency of Denomination (Refer to Appendix F)</b>	A3	13
Delimiter	Semi-colon	
<b>Country of Foreign Holder (Refer to Appendix D and E)</b>	N5	14
Delimiter	Semi-colon	
<b>Type of Foreign Holder (Refer to Appendix D and E)</b>	N1	15
Delimiter	Semi-colon	
<b>US\$ Fair (Market) Value of Foreign Security Owned</b>	N16	16
Delimiter	Semi-colon	
<b>Fair (Market) Value of Security Owned Denominated in the Currency of Issue</b>	N25	16a
Delimiter	Semi-colon	
<b>Intentionally Left Blank</b>	N1	17
Delimiter	Semi-colon	

<b>Number of Shares (Equity only; Otherwise Null)</b>	N11	18
Delimiter	Semi-colon	
<b>Face Value in Currency of Denomination (non-ABS debt only; Otherwise Null)</b>	N25	19
Delimiter	Semi-colon	
<b>Issue Date (MMDDYYYY) (non-ABS debt only; Otherwise Null)</b>	N8	20
Delimiter	Semi-colon	
<b>Maturity Date (MMDDYYYY) (non-ABS debt only; Otherwise Null)</b>	N8	21
Delimiter	Semi-colon	
<b>Original Face Value in Currency of Denomination (ABS only; Otherwise Null)</b>	N25	22
Delimiter	Semi-colon	
<b>Remaining Principal Outstanding in Currency of Denomination (ABS only; Otherwise Null)</b>	N25	23
Delimiter	Semi-colon	
<b>Issue Date (MMDDYYYY) (ABS only; Otherwise Null)</b>	N8	24
Delimiter	Semi-colon	
<b>Maturity Date (MMDDYYYY) (ABS only; Otherwise Null)</b>	N8	25

## Data Specifications

In addition to the instructions in the above table, follow these instructions:

- Semi-colons must be used as space-delimiters between fields.
- No special characters should be present in numeric fields (e.g. currency signs, commas, negative signs, slashes, etc.).
- All numeric fields should be unpacked, unsigned and with leading zeros.
- A format specification of N12 is numeric, with length of up to 12.
- A format specification of A80 is alphanumeric, with length of up to 80.
- Issue Date and Maturity Date fields should be in the format of MMDDYYYY with leading zero for months January-September and for the 1<sup>st</sup> to the 9<sup>th</sup> day of the month (e.g. 01092004 = January 9, 2004).



**External Label** (Affix to media, not to cover)

Company Name

Reporter Identification Number as assigned by the FRBNY

Data Processing Contact Name and Telephone Number

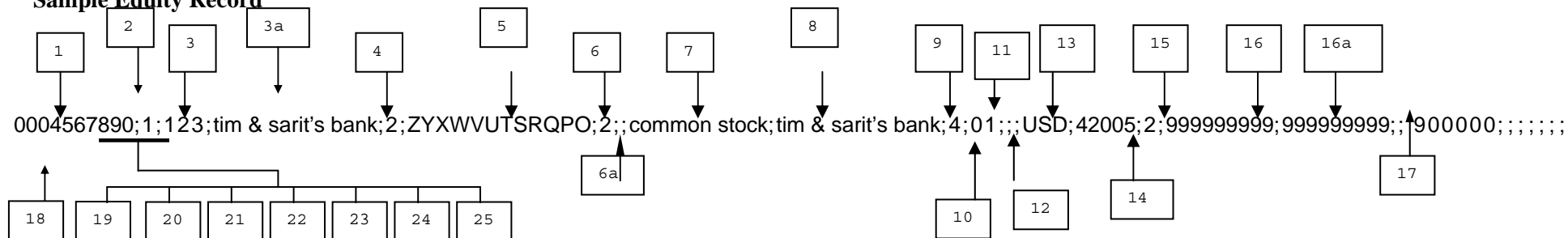
CD Identification Number (as identified in your records)

Total Number of CD: 1 of \_\_

Creation Date

Contents: 2009 Report of Foreign Holdings of U.S. Securities, Including Selected Money Market  
Securities (SHL)

### Sample Equity Record

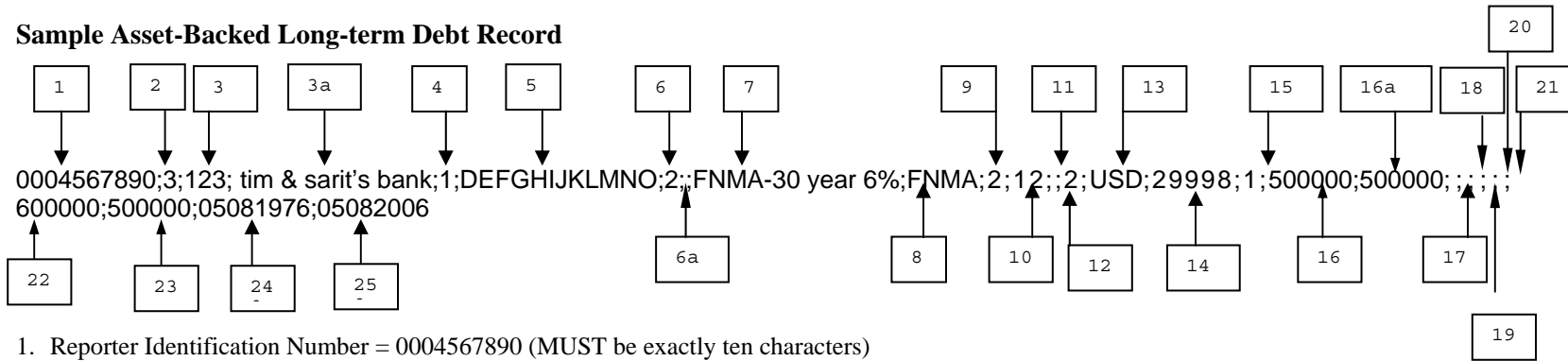


1. Reporter Identification Number = 0004567890 (MUST be exactly ten characters)
2. Sequence Number (can also be of format: 0000001)
3. Reporting Unit Code (internal code to identify the area within your organization that the data came from)
- 3a. Name of Reporting Unit (can be up to 80 characters in length)
4. Custodian / Issuer Code (1 = Custodian; 2 = Issuer)
5. Security ID (can be up to 12 characters in length)
6. Security ID System
- 6a. For Security ID System of "Other" (9) enter the name of the organization or system that assigned the Security ID
7. Security Description (can be up to 80 characters in length)
8. Name of Issuer (can be up to 80 characters in length)
9. Type of Issuer (use issuer types listed on Schedule 2, Page 1)
10. Security Type (use security types listed on Schedule 2, Page 1)
11. Intentionally Left Blank
12. Term Indicator (debt and ABS only; based on original maturity)
13. Currency of Denomination (use currency codes listed in Appendix F)
14. Country of Foreign Holder (use country codes listed in Appendix C)
15. Type of Foreign Holder (See Appendix D and E)
16. US\$ Fair (Market) Value of Foreign Owned U.S. Security (can be up to 16 characters in length)
- 16a. Fair (Market) Value in Currency of Denomination of Foreign Owned U.S. Security (can be up to 25 characters in length)
17. Intentionally Left Blank
18. Number of Shares – rounded to the nearest share (can be up to 11 characters in length)
19. Face Value in Currency of Denomination – must be null for an equity record
20. Issue Date: MMDDYYYY format – must be null for an equity record
21. Maturity Date: MMDDYYYY format – must be null for an equity record
22. Original Face Value in Currency Denomination – must be null for an equity record
23. Remaining Principal Outstanding in Currency of Denomination – must be null for an equity record
24. Issue Date: MMDDYYYY format – must be null for an equity record
25. Maturity Date: MMDDYYYY format – must be null for an equity record

Null field

Note: Null fields are to be included. They are represented by the inclusion of a delimiter as if a value were present. e.g. - ;desc; ;

### Sample Asset-Backed Long-term Debt Record

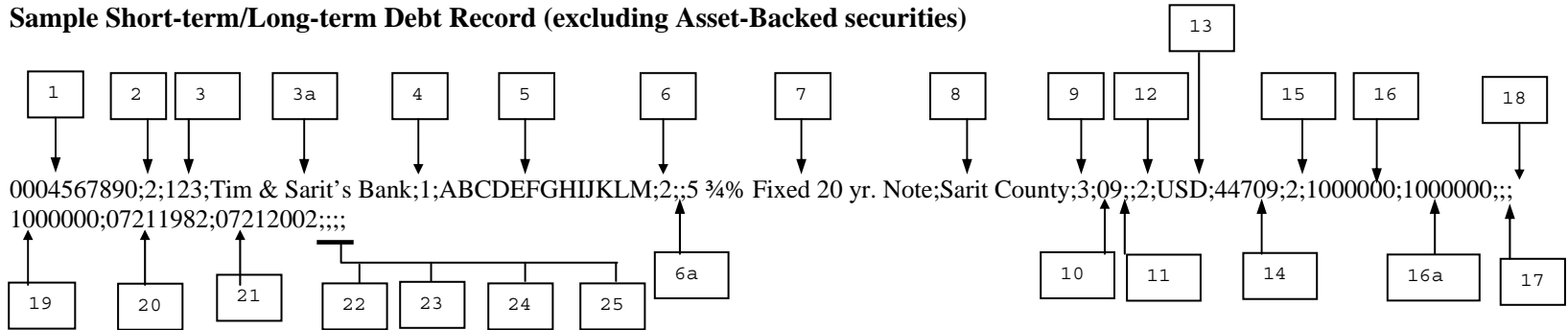


1. Reporter Identification Number = 0004567890 (MUST be exactly ten characters)
2. Sequence Number (can also be of format: 0000003)
3. Reporting Unit Code (internal code to identify the area within your organization that the data came from)
- 3a. Name of Reporting Unit (can be up to 80 characters in length)
4. Custodian / Issuer Code (1 = Custodian; 2 = Issuer)
5. Security ID (can be up to 12 characters in length)
6. Security ID System
- 6a. For Security ID System of "Other" (9) enter the name of the organization or system that assigned the Security ID
7. Security Description (can be up to 80 characters in length)
8. Name of Issuer (can be up to 80 characters in length)
9. Type of Issuer (use issuer types listed on Schedule 2, Page 1)
10. Security Type (use security types listed on Schedule 2, Page 1)
11. Intentionally Left Blank
12. Term Indicator (debt and ABS only; based on original maturity)
13. Currency of Denomination (use currency codes listed in Appendix F)
14. Country of Foreign Holder (use country codes listed in Appendix C)
15. Type of Foreign Holder (See Appendix D and E)
16. US\$ Fair (Market) Value of Foreign Owned U.S. Security (can be up to 16 characters in length)
- 16a. Fair (Market) Value in Currency of Denomination of Foreign Owned U.S. Security (can be up to 25 characters in length)
17. Intentionally Left Blank
18. Number of Shares – must be null for any record other than equity
19. Face Value in Currency of Denomination – must be null for any record other than non-asset backed debt
20. Issue Date: MMDDYYYY format – must be null for any record other than non-asset backed debt
21. Maturity Date: MMDDYYYY format – must be null for any record other than non-asset backed debt
22. Original Face Value in Currency Denomination (can be up to 25 characters in length)
23. Remaining Principal Outstanding in Currency of Denomination (can be up to 25 characters in length)
24. Issue Date: MMDDYYYY format (e.g., 05081976 = May 8, 1976)
25. Maturity Date: MMDDYYYY format (e.g., 05082006 = May 8, 2006)

Null field

Note: Null fields are to be included. They are represented by the inclusion of a delimiter as if a value were present. e.g. - ;desc;↓

**Sample Short-term/Long-term Debt Record (excluding Asset-Backed securities)**



1. Reporter Identification Number = 0004567890 (MUST be exactly ten characters)
2. Sequence Number (can also be of format: 0000002)
3. Reporting Unit Code (internal code to identify the area within your organization that the data came from)
- 3a. Name of Reporting Unit (can be up to 80 characters in length)
4. Custodian / Issuer Code (1 = Custodian; 2 = Issuer)
5. Security ID (can be up to 12 characters in length)
6. Security ID System
- 6a. For Security ID System of "Other" (9) enter the name of the organization or system that assigned the Security ID
7. Security Description (can be up to 80 characters in length)
8. Name of Issuer (can be up to 80 characters in length)
9. Type of Issuer (use issuer types listed on Schedule 2, Page 1)
10. Security Type (use security types listed on Schedule 2, Page 1)
11. Intentionally Left Blank
12. Term Indicator (debt and ABS only; based on original maturity)
13. Currency of Denomination (use currency codes listed in Appendix F)
14. Country of Foreign Holder (use country codes listed in Appendix C)
15. Type of Foreign Holder (See Appendix D and E)
16. US\$ Fair (Market) Value of Foreign Owned U.S. Security (can be up to 16 characters in length)
- 16a. Fair (Market) Value in Currency of Denomination of Foreign Owned U.S. Security (can be up to 25 characters in length)
17. Intentionally Left Blank
18. Number of Shares – must be null for any record other than equity
19. Face Value in Currency of Denomination (can be up to 25 characters in length)
20. Issue Date: MMDDYYYY format (e.g., 07211982 = July 21, 1982)
21. Maturity Date: MMDDYYYY format (e.g., 07212005 = July 21, 2005)
22. Original Face Value in Currency Denomination – must be null for any record other than asset-backed debt
23. Remaining Principal Outstanding in Currency of Denomination – must be null for any record other than asset-backed debt
24. Issue Date: MMDDYYYY – must be null for any record other than asset-backed debt
25. Maturity Date: MMDDYYYY – must be null for any record other than asset-backed debt

Null field

Note: Null fields are to be included. They are represented by the inclusion of a delimiter as if a value were present. e.g. - ;desc; ;

**Positional Format (Record length = 555 characters)**

<b>Position</b>	<b>Data Field and Instructions</b>	<b>Field Format</b>	<b>Schedule 2 Item</b>
<b>1-10</b>	<b>Reporter Identification Number</b>	<b>N10</b>	<b>1</b>
11	Filler (space)	Space	
<b>12-18</b>	<b>Sequence Number (value from 1 - maximum number of records)</b>	<b>N7</b>	<b>2</b>
19	Filler (space)	Space	
<b>20-22</b>	<b>Reporting Unit Code</b>	<b>N3</b>	<b>3</b>
23	Filler (space)	Space	
<b>24-103</b>	<b>Name of Reporting Unit</b>	<b>A80</b>	<b>3a</b>
104	Filler (space)	Space	
<b>105</b>	<b>Custodian/Issuer Code</b>	<b>A1</b>	<b>4</b>
106	Filler (space)	Space	
<b>107-118</b>	<b>Security ID</b>	<b>A12</b>	<b>5</b>
119	Filler (space)	Space	
<b>120</b>	<b>Security ID System (Refer to Schedule 2, Page 1)</b>	<b>N1</b>	<b>6</b>
121	Filler (space)	Space	
<b>122-201</b>	<b>Security ID System Description (Null Unless Item 6 = 9 – Other)</b>	<b>A80</b>	<b>6a</b>
202	Filler (space)	Space	
<b>203-282</b>	<b>Security Description</b>	<b>A80</b>	<b>7</b>
283	Filler (space)	Space	
<b>284-363</b>	<b>Name of Issuer</b>	<b>A80</b>	<b>8</b>
364	Filler (space)	Space	
<b>365</b>	<b>Type of Issuer (Refer to Schedule 2, Page 1)</b>	<b>N1</b>	<b>9</b>
366	Filler (space)	Space	
<b>367-368</b>	<b>Security Type (Refer to Schedule 2, Page 1)</b>	<b>N2</b>	<b>10</b>
369	Filler (space)	Space	
<b>370</b>	<b>Intentionally Left Blank</b>	<b>N1</b>	<b>11</b>
371	Filler (space)	Space	
<b>372</b>	<b>Term Indicator (Debt and ABS Only; Otherwise Leave Null)</b>	<b>N1</b>	<b>12</b>
373	Filler (space)	Space	
<b>374-376</b>	<b>Currency of Denomination (Refer to Appendix F)</b>	<b>A3</b>	<b>13</b>
377	Filler (space)	Space	
<b>378-382</b>	<b>Country of Foreign Holder (Refer to Appendix C)</b>	<b>N5</b>	<b>14</b>
383	Filler (space)	Space	
<b>384</b>	<b>Type of Foreign Holder (Refer to Appendix D and E)</b>	<b>N1</b>	<b>15</b>
385	Filler (space)	Space	
<b>386-401</b>	<b>US\$ Fair (Market) Value of Foreign Security Owned</b>	<b>N16</b>	<b>16</b>
402	Filler (space)	Space	
<b>403-427</b>	<b>Fair (Market) Value of Security Owned Denominated in the Currency of Issue</b>	<b>N25</b>	<b>16a</b>
428	Filler (space)	Space	
<b>429</b>	<b>Intentionally Left Blank</b>	<b>N1</b>	<b>17</b>
430	Filler (space)	Space	
<b>431-441</b>	<b>Number of Shares (Equity only; Otherwise Null)</b>	<b>N11</b>	<b>18</b>
442	Filler (space)	Space	
<b>443-467</b>	<b>Face Value in Currency of Denomination (non-ABS debt only; Otherwise Null)</b>	<b>N25</b>	<b>19</b>
468	Filler (space)	Space	
<b>469-476</b>	<b>Issue Date (MMDDYYYY) (non-ABS debt only; Otherwise Null)</b>	<b>N8</b>	<b>20</b>
477	Filler (space)	Space	

<b>478-485</b>	<b>Maturity Date (MMDDYYYY) (non-ABS debt only; Otherwise Null)</b>	<b>N8</b>	<b>21</b>
486	Filler (space)	Space	
<b>487-511</b>	<b>Original Face Value in Currency of Denomination (ABS only; Otherwise Null)</b>	<b>N25</b>	<b>22</b>
512	Filler (space)	Space	
<b>513-537</b>	<b>Remaining Principal Outstanding in Currency of Denomination (ABS only; Otherwise Null)</b>	<b>N25</b>	<b>23</b>
538	Filler (space)	Space	
<b>539-546</b>	<b>Issue Date (MMDDYYYY) (ABS only; Otherwise Null)</b>	<b>N8</b>	<b>24</b>
547	Filler (space)	Space	
<b>548-555</b>	<b>Maturity Date (MMDDYYYY) (ABS only; Otherwise Null)</b>	<b>N8</b>	<b>25</b>

555 character logical records blocked at 60 logical records or a block size of 33,300 bytes.

### Data Specifications

In addition to the instructions in the above table, follow these instructions:

- No special characters should be present in numeric fields (e.g. currency signs, commas, negative signs, slashes, etc.).
- All numeric fields should be unpacked, unsigned, **right** justified with leading zeros, e.g., COBOL PIC 9(12). A format specification of N12 is numeric, with length of up to 12.
- Alphanumeric data should be **left** justified and blank filled, e.g., COBOL PIC X(50). A format specification of A80 is alphanumeric, with length of up to 80.
- Issue Date and Maturity Date fields should be in the format of MMDDYYYY with leading zero for months January-September and for the 1<sup>st</sup> to the 9<sup>th</sup> day of the month (e.g., 01092004 = January 9, 2004)
- The filler should be a space, e.g., in COBOL PIC X value spaces.
- Columns corresponding to null or not applicable items should be space filled

**External Label for CD submissions** (affix to media, not to cover)

Company Name

Reporter Identification Number as assigned by the FRBNY

Data Processing Contact Name and Telephone Number

CD Identification Number (as identified in your records)

Total Number of CD: 1 of \_\_

Creation Date

Contents: 2009 Report of Foreign Holdings of U.S. Securities, Including Selected Money Market  
Securities (SHL)





# **APPENDIX I**

## **LIST OF FEDERAL AGENCIES AND FEDERALLY SPONSORED ENTERPRISES**

### **A. U.S. FEDERAL GOVERNMENT AGENCIES and CORPORATIONS**

Architect of the Capital  
Commodity Credit Corporation (CCC)  
Department of Agriculture, including former Rural Electrification Administration (REA),  
and former Farmers Housing Administration (FmHA).  
Department of Defense and Military Services (e.g. Air Force)  
Department of Housing and Urban Development (HUD)  
Department of Interior  
Export-Import Bank of the United States (Ex-Im Bank)  
Federal Communication Commission (FCC)  
Farm Credit System Financial Assistance Corporation (FCSFAC)  
Federal Deposit Insurance Corporation (FDIC), including FSLIC Resolution Fund  
Federal Housing Administration (FHA)  
Financing Corporation (FICO)  
General Services Administration (GSA)  
Government National Mortgage Association (GNMA or Ginnie Mae)  
Maritime Administration  
National Archives and Records Administration (NARA)  
National Consumer Cooperative Bank  
Overseas Private Investment Corporation (OPIC)  
Resolution Funding Corporation (REFCORP)  
Rural Telephone Bank  
Small Business Administration (SBA)  
Tennessee Valley Authority (TVA), including lease obligations  
Washington Metropolitan Area Transit Authority (WMATA)

### **B. FEDERALLY SPONSORED ENTERPRISES**

Farm Credit System:  
    Agricultural Credit Bank (ACB)  
    Farm Credit Banks (FCB)  
Federal Agricultural Mortgage Corporation (FAMC or Farmer Mac)  
Federal Home Loan Banks (FHLB)  
Federal Home Loan Mortgage Corporation (FHLMC or Freddie Mac)  
Federal National Mortgage Association (FNMA or Fannie Mae)