

1. ANNUAL GROSS BROKERAGE / INVESTMENT INCOME / GROSS DEALER CONCESSION (GDC)

Include	<ul style="list-style-type: none">• Brokerage fees earned based on assets under management• Annuity transaction fees• Fees from investment insurance products sold by brokerage personnel
Exclude	<ul style="list-style-type: none">• Annuity sales made by dedicated insurance agents (See 'Insurance' [10B])• Investment income / brokerage income from 3rd party subsidiaries• Life and disability insurance fees sold as part of credit transactions (See 'Consumer Lending' [05])

Answer: _____

Format: \$0

2. NUMBER OF INVESTMENT ACCOUNTS

Answer: _____

Format: 0

3. INVESTMENT MANAGEMENT FTE

Include	<ul style="list-style-type: none">• Supervising, managing investment employees
Exclude	<ul style="list-style-type: none">• Brokerage, annuity and mutual funds activities (See 'Investment Advisor' [10A])

Answer: _____

Format: 0.00

4. IN-HOUSE INVESTMENT ADVISORS FTE

Include	<ul style="list-style-type: none">• Licensed in-house FTE for brokerage, annuity and mutual funds
Exclude	<ul style="list-style-type: none">• Third party brokers

Answer: _____

Format: 0.00

5. THIRD-PARTY INVESTMENT ADVISORS FTE

Include	<ul style="list-style-type: none">• Third party brokers working exclusively for your institution
Exclude	<ul style="list-style-type: none">• In-house investment advisory function related to brokerage, annuities and mutual funds (See 'In-House Investment Advisors FTE' [10A])

Answer: _____

Format: 0.00

6. INVESTMENT ADMIN. / SUPPORT FTE

Include	<ul style="list-style-type: none">Any other non-agent investment personnel
Exclude	<ul style="list-style-type: none">Third party brokers' support

Answer: _____

Format: 0.00