

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

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

Answer: \_\_\_\_\_

Format: \$0

## 2. NUMBER OF INVESTMENT ACCOUNTS

Answer: \_\_\_\_\_

Format: 0

## 3. INVESTMENT SERVICES FTE

<b>Include</b>	<ul style="list-style-type: none"><li>• Licensed in-house FTE for brokerage, annuity and mutual funds</li><li>• Third party brokers working exclusively for your institution</li><li>• Non-agent investment support</li></ul>
<b>Exclude</b>	<ul style="list-style-type: none"><li>• Third party brokers' support</li></ul>

Answer: \_\_\_\_\_

Format: 0.00

## 4. AVERAGE INVESTMENT SERVICES RESOURCE COST

<b>Include</b>	<ul style="list-style-type: none"><li>• Total salaries and benefits expense per investment services FTE</li></ul>
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Answer: \_\_\_\_\_

Format: 0