

INVESTMENT MANAGERS FILE LAYOUT

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This record contains information on the organization such as address, phone & fax number, affiliation, and total assets. Also included are breakdowns of assets by category type, historic assets, # of accounts gained and lost, mutual fund assets and other data. Most of the information used to make special selections out of the entire database is contained in this record. There is only one of these records per organization.	
MM2ASSET.txt	Page 5
This record contains historic assets, managed tax-exempt and taxable assets by category type, accounts gained or lost, hedge fund assets, mutual fund assets and totals by domestic or international tax designation. There will be none or one of these records for each firm.	
MM2PERS.txt	Page 8
This record contains the names, titles and job codes of the personnel for this organization. If they are portfolio managers, research analysts or traders, this will be indicated here along with their portfolio, research & trade specialties. There will be at least one of these records. (People's names are segmented so that matching can take place, and so that letters may easily and automatically be addressed to Dear Mr."Last Name".)	
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These records (none or several per company) describe the Sub Advisors who work with this firm. The name of the subAdvisor firm, its home city and its ID# are listed.	
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This record contains the overall investment mix of this organization's tax-exempt and taxable funds. There will be none or several records per organization.	
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If firms wish to indicate special information or refer to other firms so one can obtain a complete picture of their organization. Text and a referring ID number can be displayed here.	
 OPTIONAL FILE	
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This OPTIONAL FILE contains information on 401(k) Service Providers. It includes a breakdown of types of organizations that have 401(k) assets and the kind of services this organization offers to Plan Sponsors.	
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* = New Table for 2009

MM2HDRS File

<u>Position</u>	<u>Size</u>	<u>Col. Name</u>	<u>Field Description</u>
1-7	7	ID	1. Permanent ID Number - This 7-Digit number is unique to this organization and is used to tie up all other records of the organization.
8-9	2	CATEGORY	2. Category Code - Identifies type of organization. See TABLE A for list of possible codes and identification of each.
10-51	42	NAME	3. Company Name1 - Organization's name.
52-93	42	NAME2	4. Company Name2 - Organization's name, continued.
94-135	42	ADDRESS1	5. Street Address1 - Text field for physical location of organization.
136-177	42	ADDRESS2	6. Street Address2 - continued
178-219	42	MAILADD	7. Mailing Address - This is text containing a P.O.Box or P.O.Drawer if the organization has one.
220-249	30	CITY	8. City - Text field for city location.
250-251	2	STATE	9. State - Official Post Office abbreviation for state where organization is located.
252-261	10	ZIP	10. Zip Code - Zip or mailing code of U.S., Canadian or British organizations. If there is a mailing address in addition to a street address, the zip code is for the mailing address.
262-296	35	METRO	11. State and City Standard Metropolitan Area
297-316	20	COUNTRY	12. Country or Nation (If not U.S.)
317-338	22	PHONE	13. Main Telephone Number
339-360	22	FAX	14. FAX number for company
361-440	80	INTERNET	15. Internet Worldwide Web Address
441-506	66	SORTNAME	16. Sort Name - Text field with name of organization used for alphabetizing if COMPANY-NAME is inappropriate for this purpose.
507-586	80	AFFILIATE	17. Affiliate, Subsidiary - Text field indicating the organization's relationship to some other organization.
587-595	9	EIN_NO	18. Employer Identification Number (EIN#)
596-606	11	TEXASSETS	19. Tax-Exempt Assets managed by the organization. Assets are in thousands.
607-613	7	TECLIENT	20. Number of Tax-exempt Clients
614-620	7	TEACCOUNTS	21. Total accounts of Tax-Exempt Clients
621-631	11	TAXASSETS	22. Taxable Assets managed by the organization. Assets are in thousands.
632-638	7	TACLIENT	23. Number of Taxable Clients
639-645	7	TXACCOUNTS	24. Total accounts of Taxable Clients
646-656	11	TOT_ASSETS	25. Total Assets - managed by the organization. Assets are in thousands.
657-664	8	VALDATE	26. Valuation Date for Assets totals in Fields 24,26,28 in MMDDYYYY format.
665-671*	7	TOTCLIENTS	27. Total Clients
672-678	7	TOTACCOUNTS	28. Total accounts of all Clients

* = New for 2009

MM2HDRS, Continued

<u>Position</u>	<u>Size</u>	<u>Col. Name</u>	<u>Field Description</u>
679-728	50	PORTSW	29. Portfolio Management Software currently used
729-768	40	SWVENDOR	30. Software Vendor
769-793	25	VENCITYST	31. Software Vendor's City and State
794-794	1	WOMAN_OWNED	32. Woman owned Firm? Y/N
795-797	3	PERWOWN	33. Percentage Woman owned
798-798	1	MINORITY_OWN	34. Minority owned Firm? Y/N
799-801	3	PERMOWN	35. Percentage Minority owned
<u>The firm is an affiliate of:</u>			
802-802	1	BANKAFF	36. Bank Affiliate, Y/N
803-803	1	BROKAFF	37. Broker Affiliate, Y/N
804-804	1	INSAFF	38. Insurance Company Affiliate, Y/N
805-805	1	IADVISOR	39. Independent Advisor, Y/N
806-806	1	MGRACCTS	40. Sponsored Retail Managed Accounts Program , Y/N
807-807	1	SEPMGRACCT	41. Firm seeks to manage retail assets in Separately Managed Account Programs sponsored by Broker Dealers, Y/N
808-887	80	GENEMAIL	42. Firm's General Email Address
888-893	6	IARDCRD	43. Firm's IARD / CRD Number
894-901	8	MMDUPDATE	44. Organization's record last updated on: (in MMDDYYYY format)

MM2ASSETS File

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
1-7	7	ID	1. Permanent ID Number - This 7-Digit number is unique to this organization and is used to tie up all other records of the organization.
<u>Historic Assets</u>			
8-18	11	ASSETS00	2. Total Assets under Management as of 12/31/00
19-29	11	ASSETS01	3. Total Assets under Management as of 12/31/01
30-40	11	ASSETS02	4. Total Assets under Management as of 12/31/02
41-51	11	ASSETS03	5. Total Assets under Management as of 12/31/03
52-62	11	ASSETS04	6. Total Assets under Management as of 12/31/04
63-73	11	ASSETS05	7. Total Assets under Management as of 12/31/05
74-84	11	ASSETS06	8. Total Assets under Management as of 12/31/06
85-95	11	ASSETS07	9. Total Assets under Management as of 12/31/07
<u>Managed Assets By Category Type</u>			
96-105	10	CORPRASS	10. Total Managed Tax-Exempt Assets for Corporate Retirement Plans (in '000s)
106-112	7	CORPRCLI	11. Number of Clients for Corporate Retirement Plans
113-119	7	CRPACC	12. Number of Client Accounts for Corp. Retirement Plans
120-129	10	PUBRASS	13. Total Managed Tax-Exempt Assets for Public Retirement Plans (in thousands)
130-136	7	PUBRCLI	14. Number of Clients for Public Retirement Plans
137-143	7	PRPACC	15. Number of Client Accounts for Public Retirement Plans
144-153	10	UNIONASS	16. Total Managed Tax-Exempt Assets for Union Retirement Plans (in thousands)
154-160	7	UNIONCLI	17. Number of Clients for Union Retirement (Taft-Hartley) Plans
161-167	7	URPACC	18. Number of Client Accounts for Union Retirement Plans
168-177	10	FOUNDASS	19. Total Managed Tax-Exempt Assets for Foundations (in thousands)
178-184	7	FOUNDCLI	20. Number of Clients for Foundations
185-191	7	FOUNDACC	21. Number of Client Accounts for Found. Retirement Plans
192-201	10	ENDOWASS	22. Total Managed Tax-Exempt Assets for Endowments (in thousands)
202-208	7	ENDOWCLI	23. Number of Clients for Endowments
209-215	7	ENDOWACC	24. Number of Client Accounts for Endow. Retirement Plans
216-225	10	NPROFITASS	25. Total Managed Tax-Exempt Assets for Not for Profits (in thousands)
226-232	7	NPROFITCLI	26. Number of Clients for Not for Profits
233-239	7	NOTPACC	27. Number of Client Accounts for Not for Profit Retirement Plans
240-249	10	INDIVASS	28. Total Managed Tax-Exempt Assets for Individuals (in thousands)
250-256	7	INDIVCLI	29. Number of Clients for Individuals
257-263	7	INDIVACC	30. Number of Client Accounts for Individ. Retirement Plans
264-273	10	OTH1ASS	31. Total Managed Tax-Exempt Assets for Other1 Plans (in thousands)
274-280	7	OTH1CLI	32. Number of Clients for Other1 Plans
281-287	7	01ACC	33. Number of Client Accounts for Other1 Retirement Plans
288-347	60	OTH1DESC	34. Other1 Description
348-357	10	OTH2ASS	35. Total Managed Tax-Exempt Assets for Other2 Plans (in thousands)
358-364	7	OTH2CLI	36. Total number of Clients for Other2 Plans
365-371	7	02ACC	37. Number of Client Accounts for Other2 Retirement Plans
372-431	60	OTH2DESC	38. Other2 Description
432-441	10	OTH3ASS	39. Total Managed Tax-Exempt Assets for Other3 Plans (in thousands)
442-448	7	OTH3CLI	40. Total number of Clients for Other3 Plans
449-455	7	03ACC	41. Number of Client Accounts for Other3 Retirement Plans
456-515	60	OTH3DESC	42. Other3 Description

MM2ASSETS, Continued

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
516-525	10	BANKASS	43. Total Managed Taxable Assets for Banks (in thousands)
526-532	7	BANKCLI	44. Number of Clients for Banks
533-539	7	BNKACC	45. Number of Client Accounts for Bank Retirement Plans
540-549	10	INSASS	46. Total Managed Taxable Assets for Insurance Companies (in thousands)
550-556	7	INSCLI	47. Number of Clients for Insurance Companies
557-563	7	INSACC	48. Number of Client Accounts for Ins. Retirement Plans
564-573	10	MFASS	49. Total Managed Taxable Assets for Mutual Funds (in thousands)
574-580	7	MFCLI	50. Number of Clients for Mutual Funds
581-587	7	MUTFACC	51. Number of Client Accounts for Mutual Fund Retirement Plans
588-597	10	TINDIVASS	52. Total Managed Taxable Assets for Individuals (in thousands)
598-604	7	TINDIVCLI	53. Number of Clients for Individuals
605-611	7	TINDIVACC	54. Number of Client Accounts for Individ. Retirement Plans
612-621	10	TOTH1ASS	55. Total Managed Taxable Assets for Other1 Plans (in thousands)
622-628	7	TOTH1CLI	56. Number of Clients for Taxable Other1 Plans
629-635	7	T01ACC	57. Number of Client Accounts for Taxable Other1 Retirement Plans
636-695	60	TOTH1DESC	58. Taxable Other1 Description
696-705	10	TOTH2ASS	59. Total Managed Taxable Assets for Other2 Plans (in thousands)
706-712	7	TOTH2CLI	60. Number of Clients for Taxable Other2 Plans
713-719	7	T02ACC	61. Number of Client Accounts for Taxable Other2 Retirement Plans
720-779	60	TOTH2DESC	62. Taxable Other2 Description
780-789	10	TOTH3ASS	63. Total Managed Taxable Assets for Other3 Plans (in thousands)
790-796	7	TOTH3CLI	64. Number of Clients for Taxable Other3 Plans
797-803	7	T03ACC	65. Number of Client Accounts for Taxable Other3 Retirement Plans
804-863	60	TOTH3DESC	66. Taxable Other3 Description
864-868	5	ACTGAINED	67. Number of accounts gained since 1/1/2007
869-879	11	ACTGAINASS	68. Total assets of gained accounts (in thousands)
880-884	5	ACTLOST	69. Number of accounts lost since 1/1/2007
885-895	11	ACTLOSTASS	70. Total assets of lost accounts (in thousands)
<u>Hedge Funds</u>			
896-896	1	HEDGEYN	71. Does Firm manage Hedge Funds , Y/N
897-908	12	HEDGEASS	72. Hedge Fund Assets (in thousands)
<u>Mutual Funds</u>			
909-920	12	TMFASS	73. Total Mutual Fund Assets (in thousands)
921-926	6	MFEQUITY	74. % of Mutual Funds allocated to Equity Funds
927-932	6	MFBOND	75. % of Mutual Funds allocated to Bond Funds
933-938	6	MFBAL	76. % of Mutual Funds allocated to Balanced Funds
939-944	6	MFOTHER	77. % of Mutual Funds allocated to Other Funds
945-945	1	MFLOAD	78. Use LOAD Mutual Funds, Y/N
946-946	1	MFNOLOAD	79. Use NO LOAD Mutual Funds, Y/N
947-947	1	FOFFUNDS	80. Offer Fund of Funds , Y/N

MM2ASSETS, Continued

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
<u>Top Five Mutual Fund Families Used</u>			
948-997	50	MFFAM1	81. Mutual Fund Family 1
998-1047	50	MFFAM2	82. Mutual Fund Family 2
1048-1097	50	MFFAM3	83. Mutual Fund Family 3
1098-1147	50	MFFAM4	84. Mutual Fund Family 4
1148-1197	50	MFFAM5	85. Mutual Fund Family 5
Totals by Tax Designation & Asset Code Category (See Table D)			
1198-1208	11	TEDOMFR	86. Total domestic tax-exempt fixed return assets (in thousands).
1209-1219	11	TEINTFR	87. Total international tax-exempt fixed return assets (in thousands).
1220-1230	11	TEDOMV	88. Total domestic tax-exempt variable return assets (in thousands).
1231-1241	11	TEINTV	89. Total international tax-exempt variable return assets (in thousands).
1242-1252	11	TEOTHER	90. Total other tax-exempt assets (in thousands).
1253-1263	11	TXDOMFR	91. Total domestic taxable fixed return assets (in thousands).
1264-1274	11	TXINTFR	92. Total international taxable fixed return assets (in thousands).
1275-1285	11	TXDOMV	93. Total domestic taxable variable return assets (in thousands).
1286-1296	11	TXINTV	94. Total international taxable variable return assets (in thousands).
1297-1307	11	TXOTHER	95. Total other taxable assets (in thousands).

MM2PERS File

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
1-7	7	ID	1. Permanent ID Number for Firm
8-15	8	CONTID	2. Permanent ID Number for Person
16-21	6	PERSONLTITLE	3. Social Title - a person's "social title" (i.e. Dr., Mrs., etc.).
22-43	22	FNAME	4. First Name - Person's first name.
44-55	12	MNAME	5. Middle Name - Person's middle name or initial(s)
56-77	22	LNAME	6. Last Name - Person's last name.
78-90	13	SUFFIX	7. Suffix - Any suffix after a person's name (i.e. CIC, CFA, JR, III)
91-91	1	SEX	8. Sex - A "M" or a "F" will appear in this field, depending on the person's gender. Occasionally an "A" will appear here denoting a law firm, portfolio management firm or marketing organization.
92-151	60	JOB_TITLE	9. Title - Person's job title, such as Vice President.
Job Description Code - This is a code or codes identifying what the person does. (This is necessary because the same job may involve different job functions at different companies.) See TABLE B.			
152-153	2	JOB_CODE1	10. Job Code 1
154-155	2	JOB_CODE2	11. Job Code 2
156-157	2	JOB_CODE3	12. Job Code 3
158-159	2	JOB_CODE4	13. Job Code 4
160-161	2	JOB_CODE5	14. Job Code 5
162-163	2	JOB_CODE6	15. Job Code 6
164-165	2	JOB_CODE7	16. Job Code 7
166-167	2	JOB_CODE8	17. Job Code 8
168-209	42	COMPANY	18. Alternate Company - This is an alternate company name for this person, if different from main organization.
210-251	42	ADDRESS1	19. Alternate Address1 - This is an alternate address for this person, if different from main organization address.
252-293	42	ADDRESS2	20. Alternate Address2
294-323	30	CITY	21. Alternate City, if different
324-325	2	STATE	22. Alternate State, if different
326-335	10	ZIP	23. Alternate Zip Code, if different
336-355	20	COUNTRY	24. Alternate Country, if different
356-385	30	PHONE	25. Alternate or Direct Telephone Number
386-535	150	EMAIL	26. Personal Email address
536-539	4	YRHIRED	27. Year Hired
540-543	4	SPEC_1	28. Portfolio Manager/Research Analyst Specialty Code 1 (See TABLE C)
544-547	4	SPEC_2	29. Portfolio Manager/Research Analyst Specialty Code 2 (See TABLE C)
548-551	4	SPEC_3	30. Portfolio Manager/Research Analyst Specialty Code 3 (See TABLE C)
552-555	4	SPEC_4	31. Portfolio Manager/Research Analyst Specialty Code 4 (See TABLE C)
556-559	4	SPEC_5	32. Portfolio Manager/Research Analyst Specialty Code 5 (See TABLE C)
560-563	4	SPEC_6	33. Portfolio Manager/Research Analyst Specialty Code 6 (See TABLE C)
564-567	4	SPEC_7	34. Portfolio Manager/Research Analyst Specialty Code 7 (See TABLE C)
568-571	4	SPEC_8	35. Portfolio Manager/Research Analyst Specialty Code 8 (See TABLE C)
572-575	4	SPEC_9	36. Portfolio Manager/Research Analyst Specialty Code 9 (See TABLE C)
576-579	4	SPEC_10	37. Portfolio Manager/Research Analyst Specialty Code 10 (See TABLE C)
580-583	4	SPEC_11	38. Portfolio Manager/Research Analyst Specialty Code 11 (See TABLE C)
584-587	4	SPEC_12	39. Portfolio Manager/Research Analyst Specialty Code 12 (See TABLE C)
588-591	4	SPEC_13	40. Portfolio Manager/Research Analyst Specialty Code 13 (See TABLE C)
592-595	4	SPEC_14	41. Portfolio Manager/Research Analyst Specialty Code 14 (See TABLE C)
596-599	4	SPEC_15	42. Portfolio Manager/Research Analyst Specialty Code 15 (See TABLE C)

MM2PERS File, continued

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
600-603	4	SPEC_16	43. Portfolio Manager/Research Analyst Specialty Code 16 (See TABLE C)
604-607	4	SPEC_17	44. Portfolio Manager/Research Analyst Specialty Code 17 (See TABLE C)
608-611	4	SPEC_18	45. Portfolio Manager/Research Analyst Specialty Code 18 (See TABLE C)
612-615	4	SPEC_19	46. Portfolio Manager/Research Analyst Specialty Code 19 (See TABLE C)
616-619	4	SPEC_20	47. Portfolio Manager/Research Analyst Specialty Code 20 (See TABLE C)
620-623	4	MKTSPEC1	48. If is a client contact - marketing officer (job code 30), their marketing focus 1 (See TABLE C)
624-627	4	MKTSPEC2	49. If is a client contact - marketing officer (job code 30), their marketing focus 2
628-631	4	MKTSPEC3	50. If is a client contact - marketing officer (job code 30), their marketing focus 3
632-635	4	MKTSPEC4	51. If is a client contact - marketing officer (job code 30), their marketing focus 4
636-639	4	MKTSPEC5	52. If is a client contact - marketing officer (job code 30), their marketing focus 5

If individual is in charge of business development (JobCode 76), what type of business:

640-640	1	RIA	53. Invest. Advisor, Y/N
641-641	1	BANK	54. Bank, Y/N
642-642	1	MUTFUND	55. Mutual Fund Co., Y/N
643-643	1	INSURE	56. Insurance Co., Y/N
644-644	1	BROKER	57. Broker Dealer, Y/N
645-645	1	OTHER	58. Other, Y/N
646-695	50	OTHERDESC	59. Other Description
696-696	1	REGREP	60. Contact is a registered rep of a Broker/Dealer, Y/N
697-756	60	BROKERNM	61. Broker/Dealer Name

MM2SUBAD File

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
1-7	7	ID	1. Permanent ID Number
8-87	80	SUBNAME	2. SubAdvisor Name and City
88-94	7	SUBID	3. SubAdvisor ID#

MM2AMIX File

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
1-7	7	ID	1. Permanent ID Number
8-10	3	SEQ_NO	2. Sequence Number - There is often more than one AMIX-RECORD per organization. This number identifies each one separately. Begins with 001, 002, 003, etc.
11-11	1	EORT	3. Tax-Exempt or Taxable asset record (Values are either E or T)
12-13	2	AMIXCODE	4. Asset Mix Type Code. (See TABLE D)
14-63	50	OTHERA	5. "Other" Asset Mix Type Description.
64-69	6	PERCENT	6. Percentage of the Total Tax-exempt or Taxable Asset Allocation that this record represents in ##.## format
70-80	11	DOLLARS	7. Dollar Amount (in thousands) for this asset type.

MM2WRAP File

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
1-7	7	ID	1. Permanent ID Number
8-9	2	SEQ_NO	2. Sequence Number
10-69	60	BROKER1	3. Broker/Dealer1 Name (i.e. Merrill Lynch)
70-89	20	B1CITY	4. Broker/Dealer1's City and State
90-141	52	PRGM1	5. Wrap Fee Program1 Name
142-150	9	ASSETS1	6. Assets in Wrap Fee Program (in thousands)

MM2CLIS File

<u>Position</u>	<u>Length</u>	<u>Col.Name</u>	<u>Description</u>
1-7	7	ID	1. Manager Permanent ID Number
8-10	3	SERVCODE	2. Service Code (see TABLE E)
11-90	80	PSNAME	3. Plan Sponsor Name
91-97	7	PSID	4. Plan Sponsor Permanent ID Number
98-161	64	SORTNAME	5. Sortname for Plan Sponsor
162-163	2	CATCODE	6. Category Code for Plan Sponsor

MM2TEXT File

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
1-7	7	ID	1. Permanent ID Number
8-9	2	SEQ_NO	2. Sequence Number - Used to position and identify this record from other TEXT records for same company.
10-969	960	TEXT	3. TEXT-WORDS Text - This text describes the "investment style/strategy" of the manager.

MM2INVST File

<u>Position</u>	<u>Length</u>	<u>Col.Name</u>	<u>Description</u>
1-7	7	ID	1. Permanent ID Number

The following fields indicate which of the investment styles the investment advisors utilize. None, one or more may be indicated.

8-19	12	STYLECODE	2. Investment Style Code (See TABLE G)
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RIASEC-RECORD

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
1-7	7	ID	1. Permanent ID Number
8-13	6	IARDCRD	2. Firm's IARD/CRD number
14-14	1	SECREG	3. Firm is registered with SEC, Y/N
15-15	1	STATEREG	4. Firm is only state registered, Y/N [See MM2STATE]
16-23	8	REGDATE	5. SEC Registration Date - that the investment advisory organization became registered with the Securities and Exchange Commission in MMDDYYYY format.
24-32	9	FILENO	6. SEC File Number - Company's SEC registration number.
<p>Managed Assets - for those investment advisory organizations that manage assets, the following fields will provide the total amounts by category as well as percentage breakdown indicating how and for whom they are managed.</p>			
33-45	13	MANASSETS	7. Managed Assets - Total assets under management listed in thousands of dollars for those organizations that manage assets. Blank when zero or not provided.
46-58	13	TEASSETS	8. Tax-Exempt Assets Under Management - This field contains total tax-exempt assets under management for those organizations that manage tax-exempt assets. Assets in thousands. Blank when zero or not provided.
59-71	13	TAXASSETS	9. Taxable Assets Under Management - This field contains total taxable assets under management for those organizations that manage taxable assets. Assets are in thousands. Blank when zero or not provided.
72-77*	6	PERINDIV	10. Individually Managed - Percentage of total managed assets (see above) that are individually managed (combines with the following field to total 100%).
78-83*	6	PERCOM	11. Commingled - Percentage of total managed assets that are commingled (combines with previous field to total 100%).
84-89*	6	PERDISC	12. Discretionary - Percentage of total managed assets that are discretionary (combines with following field to total 100%).
90-95*	6	PERNONDISC	13. Non-Discretionary - Percentage of total managed assets that are non-discretionary (combines with previous field to total 100%).
96-101	6	EMPLOYEES	14. Professional Employees - Number of professional employees at this organization.
102-105	4	YRFOUND	15. Year Organization was founded

Investment Advisory Services - Category 50 & 80, 81 Organizations only. The following fields indicate which primary investment advisory services the advisor provides. The last option is "Other". A description of it may appear in the next field.

106-106	1	PUBLICATION	16. Investment Advisory Publications - For organizations whose primary service is publishing a newsletter, a <u>Y</u> will appear in this field.
107-107	1	SECBROKER	17. Securities Broker/Dealer - Advisors who are securities brokers/dealers will have a <u>Y</u> in this field.
108-108	1	INSAGENT	18. Insurance Broker/Agent - Advisors who are insurance brokers will have a <u>Y</u>
109-109	1	MGRMGR	19. Manager of Managers - Advisors who are managers of managers will have a <u>Y</u>
110-110	1	OTHERSERV	20. Other - If the services provided are not included in the list above, a <u>Y</u> will appear in this field. A description may also appear in the next field.

* = New Size for 2009

RIASEC-RECORD, Continued

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>FieldDescription</u>
111-230	120	OTHERTEXT	21. Other - Text - A description of the other service(s) provided.
231-231	1	ASSETMGR	22. Asset Manager - Advisors that are asset managers will have a <u>Y</u> in this field.
232-232	1	FIXEDASS	23. Fixed Assets - Advisors who are fixed asset managers will have a <u>Y</u> in this field.
233-233	1	EQUITYASS	24. Equity Assets - Advisors who are equity asset managers will have a <u>Y</u> in this field.
234-234	1	ALTASS	25. Alternative Assets - Advisors who are alternative asset managers will have a <u>Y</u> in this field.
235-235	1	FINPLANNER	26. Financial Planner - Advisors that are financial planners will have a <u>Y</u> in this field.
236-236	1	PENCONSULT	27. Pension Consultant - Advisors that are Pension Consultants have a <u>Y</u> here.
237-237	1	FUNDMGR	28. Fund of Funds Manager - Advisors who are Fund of Funds Mgrs have a <u>Y</u> here.
238-238	1	OTHADVISOR	29. Selection of Other Advisors - Advisors who select other advisors have a <u>Y</u> here.
<u>Research</u>			
239-241	3	RESIH	30. Percentage of Research from In-House Sources
242-244	3	RESCONS	31. Percentage of Research from Consultants
245-247	3	RESSTREET	32. Percentage of Research from Street Sources
248-250	3	RESOTHER	33. Percentage of Research from Other Sources
251-310	60	RETEXT	34. Other Sources Text
<u>Professional & Industry Associations</u> to which the advisor belongs.			
311-390	80	ASSOC1	35. Associations 1 the investment advisor is a member of (text)
391-470	80	ASSOC2	36. Associations 2 the investment advisor is a member of (text)
471-550	80	ASSOC3	37. Associations 3 the investment advisor is a member of (text)
551-630	80	ASSOC4	38. Associations 4 the investment advisor is a member of (text)
631-710	80	ASSOC5	39. Associations 5 the investment advisor is a member of (text)
711-711	1	BROKERYN	40. Brokers suggested to clients, Y/N
712-716	5	BROKUSED	41. Number of Broker/Dealers used regularly
<u>Standards</u>			
717-717	1	AIMRNO	42. Organization in compliance w. AIMR Performance Presentation Stds, Y/N
718-718	1	GIPS	43. Organization in compliance w. Global Investment Performance Stds Y/N
719-724*	6	PERINTMGN	44. Percentage of total assets internally managed
725-730*	6	PEREXTMGN	45. Percentage of total assets externally managed
731-731	1	529PLAN	46. Firm directs client assets to 529 plans, Y/N
732-732	1	MGNACCTS	47. Firm sponsors a retail managed accounts program, Y/N
733-733	1	RETASS	48. Firm seeks to manage retail assets in separately managed accounts program sponsored by broker/dealers, Y/N
734-734	1	BUND401K	49. Firm sells a bundled DC/401(k) plan through an affiliate of a broker/dealer or fund company, Y/N

* = New Size for 2009

MM2FEE File

<u>Position</u>	<u>Length</u>	<u>Col.Name</u>
1-7	7	ID

Description

1. **Permanent ID Number**

Fee Details

8-8	1	FEEADV
9-9	1	PERFORMFEE
10-10	1	COMMISFEE
11-11	1	SOFTFEE

2. Organization is a **fee-only Advisor**? Y/N
3. Organization offers **performance-based fees**? Y/N
4. Organization offers **commission-based fees**? Y/N
5. Organization offers **soft dollar fees**? Y/N

12-266	255	MINACCT
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6. **Minimum Size of Account accepted by company** text

267-1546	1280	FEE
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7. **FEE Schedule Text** - This text describes the "fee schedule" of the management firm.

MM2STATE File

<u>Position</u>	<u>Length</u>	<u>Col.Name</u>
1-7	7	ID

Description

1. **Permanent ID Number**

State Registration

8-9	2	STATE
10-39	30	REGNO
40-47	8	DATE

2. State firm registered in
3. State Registration Number
4. State Registration date in **MMDDYYYY** format

MM2SVCS-RECORD

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>
1-7	7	ID
8-22	15	SVCCODE
23-277	255	SVCOTHER

Field Description

1. **Permanent ID Number**
2. Investment Counsel Services Code (**See Table F**)
3. If Code is not listed, then description

MM2ADVPR-RECORD

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>
1-7	7	ID
8-42	35	ADVPRM
43-142	100	ADVOTHER

Field Description

1. **Permanent ID Number**
2. Advisor Program
3. If not listed, then description

RIASEC2-RECORD

<u>Position</u>	<u>Size</u>	<u>Col. Name</u>	<u>Field Description</u>
1-7	7	ID	1. Permanent ID Number
8-18	11	INTLASSETS	2. Total Assets invested outside the USA in thousands of dollars.
19-53	35*	COUNTRY1	3. International Country 1
54-59	6	PERCENT1	4. International Country 1 Assets % of total.
60-94	35*	COUNTRY2	5. International Country 2
95-100	6	PERCENT2	6. International Country 2 Assets % of total.
101-135	35*	COUNTRY3	7. International Country 3
136-141	6	PERCENT3	8. International Country 3 Assets % of total.
142-176	35*	COUNTRY4	9. International Country 4
177-182	6	PERCENT4	10. International Country 4 Assets % of total.
183-217	35*	COUNTRY5	11. International Country 5
218-223	6	PERCENT5	12. International Country 5 Assets % of total.
224-258	35*	COUNTRY6	13. International Country 6
259-264	6	PERCENT6	14. International Country 6 Assets % of total.
265-299	35*	COUNTRY7	15. International Country 7
300-305	6	PERCENT7	16. International Country 7 Assets % of total.
306-340	35*	COUNTRY8	17. International Country 8
341-346	6	PERCENT8	18. International Country 8 Assets % of total.
347-381	35*	COUNTRY9	19. International Country 9
382-387	6	PERCENT9	20. International Country 9 Assets % of total.
388-422	35*	COUNTRY10	21. International Country 10
423-428	6	PERCENT10	22. International Country 10 Assets % of total.
<u>Largest Holdings</u> (in order)			
429-478	50	EQHOLD1	23. Largest Equity Holding #1
479-528	50	EQHOLD2	24. Largest Holding #2
529-578	50	EQHOLD3	25. Largest Holding #3
579-628	50	EQHOLD4	26. Largest Holding #4
629-678	50	EQHOLD5	27. Largest Holding #5
679-728	50	EQHOLD6	28. Largest Holding #6
729-778	50	EQHOLD7	29. Largest Holding #7
779-828	50	EQHOLD8	30. Largest Holding #8
829-878	50	EQHOLD9	31. Largest Holding #9
879-928	50	EQHOLD10	32. Largest Holding #10
<u>Clearing Services</u>			
929-1004	76	THIRDPSVC1	33. Organization's third party for clearing services #1
1005-1080	76	THIRDPSVC2	34. Organization's third party for clearing services #2
1081-1156	76	THIRDPSVC3	35. Organization's third party for clearing services #3
1157-1232	76	THIRDPSVC4	36. Organization's third party for clearing services #4

* = New Size for 2009

RIASEC2-RECORD, Continued

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
1233-1233	1	SCREENINV	37. Socially Screened Investments? Y/N
1234-1488	255	RESTRICT	38. Social Restrictions Text

Liability Insurance

1489-1489	1	LIABLEINS	39. Organization carries Liability Insurance , Y/N?
1490-1609	120	INSNAME	40. Primary Liability Insurance Company Name
1610-1709	100	CUSTODIAN	41. Firm's Primary Custodian

Services provided for Defined Contribution/ 401(k) Plans

1710-1710	1	ASSETALLOC	42. Asset Allocation Analysis , Y/N?
1711-1711	1	EMPCOMM	43. Employee Communications , Y/N?
1712-1712	1	EMPEDUC	44. Employee Education , Y/N?
1713-1713	1	INVMGMT	45. Investment Management , Y/N?
1714-1714	1	PLANDESIGN	46. Plan Design , Y/N?
1715-1715	1	RECKEEP	47. Recordkeeping/Administration , Y/N?

MM2BRACH File (Company Branch Offices)

<u>Position</u>	<u>Size</u>	<u>Col. Name</u>	<u>Field Description</u>
1-7	7	ID	1. Permanent ID Number for main office
8-10*	3	BOFFICE	2. Branch Office Code
11-52	42	NAME1	3. Company or Branch Name1
53-94	42	NAME2	4. Company or Branch Name2
95-136	42	ADDR1	5. Address1
137-178	42	ADDR2	6. Address2
179-200	22	CITY	7. City
201-202	2	ST	8. State
203-212	10	ZIP	9. Zipcode
213-232	20	COUNTRY	10. Country or Nation (if not USA)
233-254	22	PHONE	11. Telephone Number
255-276	22	FAX	12. FAX Number
277-287	11	BASSETS	13. Assets Managed at this branch (in thousands of dollars)

MM2BCONTACT (1 or more records per company) *

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
1-7	7	ID	1. Permanent ID Number
8-10	3	BOFFICE	2. Branch Office Code number
11-18	8	CONTID	2. Permanent ID Number for person

*** = New Field or Table for 2009**

MM2OTH-RECORD (Category 55 & 60 Organizations)

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>FieldDescription</u>
1-7	7	ID	1. Permanent ID Number
8-15	8	VALDATE	2. Valuation Date of assets (in MMDDYYYY format)
16-28	13	CUSTTEASS	3. Custodial Tax-exempt assets (in thousands)
29-36	8	CUSTTECLI	4. Custodial Tax-exempt clients
37-49	13	CUSTTXASS	5. Custodial Taxable assets (in thousands)
50-57	8	CUSTTXCLI	6. Custodial Taxable clients
58-70	13	MCUSTASS	7. Master Custodial assets (in thousands)
71-78	8	MCUSTCLI	8. Master Custodial clients
79-91	13	DTRUSTASS	9. Directed Trust assets (in thousands)
92-99	8	DTRUSTCLI	10. Directed Trust clients
100-112	13	MTRUSTASS	11. Master Trust assets (in thousands)
113-120	8	MTRUSTCLI	12. Master Trust clients
121-133	13	EMPBENASS	13. Employee Benefit Accts in Gen. Insurance Portfolio assets (in thousands)
134-141	8	EMPBENCLI	14. Employee Benefit Accts in Gen. Ins. Portfolio clients
142-154	13	OTHER1ASS	15. Other 1 assets (in thousands)
155-162	8	OTHER1CLI	16. Other 1 clients
163-240	78	OTHER1DESC	17. Other 1 description
241-253	13	OTHER2ASS	18. Other 2 assets (in thousands)
254-261	8	OTHER2CLI	19. Other 2 clients
262-339	78	OTHER2DESC	20. Other 2 description

MM2REFER-RECORD (Category 50, 80, 81 Organizations)

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>FieldDescription</u>
1-7	7	ID	1. Permanent ID Number
8-14	7	REFID	2. Referral ID number, if present
15-514*	500	TEXT	3. Special text or referral information.

* = New Size for 2009

MM2401K-RECORD - OPTIONAL (Category 53 Organizations)

<u>Position</u>	<u>Size</u>	<u>Col. Name</u>	<u>Field Description</u>
1-7	7	ID	1. Permanent ID Number
8-18	11	DCASSETSMGR	2. Total Defined Contribution Plan Assets Managed (in thousands)
19-22	4	DCCLIENTS	3. Number of Defined Contribution Sponsor Clients
23-28	6	DCPARTS	4. Number of Defined Contribution Plan Participants
29-32	4	YRSTART	5. Year started in the 401(k) business
33-43	11	KASSETS	6. Total 401(k) Plan Assets Managed (in thousands)
44-47	4	KCLIENTS	7. Total number of 401(k) Plan Sponsor Clients
48-53	6	KPARTS	8. Total number of 401(k) Plan Participants
Target Participant Range			
54-59	6	TARGETFROM	9. Target Market Participant Range, From value
60-65	6	TARGETTO	10. Target Market Participant Range, To value
66-71	6	PLANS100	11. Number of plans for companies with fewer than 100 employees
72-77	6	PLANS500	12. Number of plans for companies with 100 to 500 employees
78-83	6	PLANS1000	13. Number of plans for companies with 501 to 1000 employees
84-89	6	PLANS5K	14. Number of plans for companies with 1001 to 5000 employees
90-95	6	PLANS5KPLUS	15. Number of plans for companies with over 5000 employees
Assets (in thousands) and number of clients by Category			
96-105	10	CORPASSETS	16. Total managed defined contribution assets for Corporate Retirement Plans
106-112	7	CORPCLIENTS	17. Number of clients for Corporate Retirement Plans
113-122	10	GOVASSETS	18. Total managed defined contribution assets for Government Plans
123-129	7	GOVCLIENTS	19. Number of clients for Government Plans
130-139	10	UNIONASSETS	20. Total managed defined contribution assets for Union Plans
140-146	7	UNIONCLIENTS	21. Number of clients for Union Plans
147-156	10	FOUNDASSETS	22. Total managed defined contribution assets for Foundation Plans
157-163	7	FOUNDCLI	23. Number of clients for Foundation Plans
164-173	10	ENDOWASSETS	24. Total managed defined contribution assets for Endowment Plans
174-180	7	ENDOWCLI	25. Number of clients for Endowment Plans
181-190	10	INDIVDASSETS	26. Total managed defined contribution assets for Individuals
191-197	7	INDIVDCLI	27. Number of Individual clients
198-207	10	OTHER1ASS	28. Total managed defined contribution assets for Other1 Plans
208-214	7	OTHER1CLI	29. Number of clients for Other1 Plans
215-264	50	OTHER1DESC	30. Other1 Description
265-274	10	OTHER2ASS	31. Total managed defined contribution assets for Other2 Plans
275-281	7	OTHER2CLI	32. Number of clients for Other2 Plans
282-331	50	OTHER2DESC	33. Other2 Description
332-341	10	OTHER3ASS	34. Total managed defined contribution assets for Other3 Plans
342-348	7	OTHER3CLI	35. Number of clients for Other3 Plans
349-398	50	OTHER3DESC	36. Other3 Description
399-401	3	FOFFERED	37. Number of Funds Offered
402-404	3	FUNDINHSE	38. Number of Funds Managed In-House
405-415	11	TOTALMGN	39. Total Assets under Management (in thousands)
416-416	1	FULLSVC	40. Does firm offer a full-service bundled product to DC sponsors? Y/N
417-476	60	PRODUCT1	41. Full service bundled Product Name1
477-536	60	PRODUCT2	42. Full service bundled Product Name2

MM2401K File (Category 53 Organizations), Continued

<u>Position</u>	<u>Size</u>	<u>Col.Name</u>	<u>Field Description</u>
537-596	60	PRODUCT3	43. Full service bundled Product Name3
597-656	60	PRODUCT4	44. Full service bundled Product Name4

401K Services Provided

657-657	1	ASSETALLOC	45. Asset Allocation Analysis, Y/N
658-658	1	COMPLIANCE	46. Compliance Testing, Y/N
659-659	1	CUSTODIAL	47. Custodial Services, Y/N
660-660	1	ACCTVALU	48. Daily Account Valuation, Y/N
661-661	1	EMPCOMM	49. Employee Communications, Y/N
662-662	1	EMPEDUC	50. Employee Education, Y/N
663-663	1	ENROLL	51. Enrollment Assistance, Y/N
664-664	1	GOVRPT	52. Government Reporting, Y/N
665-665	1	INVMGR	53. Investment Management, Y/N
666-666	1	PERFORM	54. Performance Measurement, Y/N
667-667	1	PLANDESIGN	55. Plan Design, Y/N
668-668	1	RECKEEP	56. Record Keeping / Administration, Y/N
669-669	1	RECKEEPSW	57. Record Keeping Software, Y/N
670-670	1	TELERESPON	58. Toll-free Telephone Voice Response System, Y/N
671-671	1	TRUSTSVC	59. Trust Services, Y/N
672-672	1	INTERNETSVC	60. Internet Access, Y/N
673-673	1	OTHER1SER	61. Other1 Service, Y/N
674-708	35	OTH1DESC	62. Other1 Service Description
709-709	1	OTHER2SER	63. Other2 Service, Y/N
710-744	35	OTH2DESC	64. Other2 Service Description
745-745	1	OTHER3SER	65. Other3 Service, Y/N
746-780	35	OTHER3DESC	66. Other3 Service Description
781-781	1	OTHER4SER	67. Other4 Service, Y/N
782-816	35	OTHER4DESC	68. Other4 Service Description

Toll-Free Telephone Services

817-817	1	ACCTBAL	69. Account Balance, Y/N
818-818	1	STATEMENTS	70. Account Statements, Y/N
819-819	1	TRANSFERS	71. Account Transfers, Y/N
820-820	1	BENEFICIARY	72. Beneficiary Information, Y/N
821-821	1	CHGALLOC	73. Changes to Allocations, Y/N
822-822	1	FUNDINFO	74. Fund Information, Y/N
823-823	1	LIVEOPER	75. Live Operator, Y/N
824-824	1	LOANMODEL	76. Loan Modeling, Y/N
825-825	1	LOANREQUEST	77. Loan Request Processing, Y/N
826-826	1	PERFORMDATA	78. Performance Data, Y/N
827-827	1	RETIREPLAN	79. Retirement Planning Advice, Y/N
828-828	1	HOUR24	80. 24-hour access, Y/N
829-829	1	TELEOTHER1	81. Other1 Telephone Service, Y/N
830-864	35	TELE1DESC	82. Other1 Telephone Service Description
865-865	1	TELEOTHER2	83. Other2 Telephone Service, Y/N
866-900	35	TELE2DESC	84. Other2 Telephone Service Description
901-975	75	DAYSHOURS1	85. For live Operator, days/hours available text1
976-1050	75	DAYSHOURS2	86. For live Operator, days/hours available text2

MM2401K File, Continued

<u>Position</u>	<u>Size</u>	<u>Col. Name</u>	<u>Field Description</u>
<u>Type of Employee Education Offered:</u>			
1051-1051	1	NEWSLETTER	87. Newletters, Y/N
1052-1127	76	NEWSDESC	88. Newsletter descriptions
1128-1128	1	SOFTWARE	89. Software, Y/N
1129-1204	76	SOFTDESC	90. Software descriptions
1205-1205	1	VIDEOS	91. Videos, Y/N
1206-1281	76	VIDEODESC	92. Videos descriptions
1282-1282	1	RETIRESEM	93. Retirement Planning Seminars, Y/N
1283-1358	76	RETIREDESC	94. Seminars description
1359-1359	1	INPERSON	95. In-person Presentations, Y/N
1360-1435	76	INPERDESC	96. Presentations descriptions
1436-1436	1	INTERNET	97. Internet, Y/N
1437-1512	76	INTERNETDESC	98. Internet descriptions
1513-1513	1	EOTHER1	99. Other1, Y/N
1514-1589	76	EOTH1DESC	100. Other1 description
1590-1590	1	EOTHER2	101. Other2, Y/N
1591-1666	76	EOTH2DESC	102. Other2 description
1667-1742	76	ALLIANCE1	103. Formal Alliances text listings #1
1743-1818	76	ALLIANCE2	104. Formal Alliances text listings #2
1819-1894	76	ALLIANCE3	105. Formal Alliances text listings #3
<u>Type of Internet Services Offered:</u>			
1895-1895	1	IACCTBAL	106. Account Balance, Y/N
1896-1896	1	IACCTSMTS	107. Account Statements, Y/N
1897-1897	1	IACCTTRAN	108. Account Transfers, Y/N
1898-1898	1	IBENEFIC	109. Beneficiary Information, Y/N
1899-1899	1	ICHGALLOC	110. Changes to Allocations, Y/N
1900-1900	1	IFUNDINFO	111. Fund Information, Y/N
1901-1901	1	ILOANMODEL	112. Loan Modeling, Y/N
1902-1902	1	ILOANREQ	113. Loan Request Processing, Y/N
1903-1903	1	IPERFORM	114. Performance Data, Y/N
1904-1904	1	IRETIREMNT	115. Retirement Planning Advice, Y/N
1905-1905	1	IROLLOVER	116. Withdrawal/Rollover Processing, Y/N
1906-1906	1	INTOTHER1	117. Other1, Y/N
1907-1941	35	INTDESC1	118. Other1 Description
1942-1942	1	INTOTHER2	119. Other2, Y/N
1943-1977	35	INTDESC2	120. Other2 Description

REFERENCE TABLES

COMPANY CATEGORIES: TABLE A

Part II, Money Managers

50	Advisors (Investment Managers)
55	Banks (Commercial)
60	Insurance Companies
70	Independent Real Estate Advisors
53	401(k) Defined Contribution Service Providers
80	Registered Investment Advisors
81	Registered Investment Advisors

JOB CODES: TABLE B

12	Director of Operations
30	Client Contact - Marketing Officer - None or multiples per company
31	Client Contact for 401(k) service providers (cat. 53)
45	Investment Officers-None or multiples per company
48	Individual responsible for voting proxy
50	Individual who maintains firm's consultant relationships
51	Individual is a Tax-exempt Portfolio Manager
52	Individual is a Taxable Portfolio Manager
53	Individual is an International Portfolio Manager
54	Individual is a Mutual Fund Portfolio Manager
55	Individual is a Research Analyst in the Research Department
56	Individual is a Trader
57	Individual is an Equity Portfolio Manager
58	Individual is a Fixed Income Portfolio Manager
61	Individual with primary responsibility for investment risk management
64	Individual who negotiates soft-dollar relationships
67	General Counsel
68	Individual responsible for obtaining portfolio management software
69	Compliance Officer
70	Senior Investment Officer
73	Treasurer / Chief Financial Officer
75	Individual responsible for Retail Managed Accounts Business Development
76	Individual in charge of Business Development
77	Portfolio Administrator
78	Director of Research
79	Manager of Trading Department
90	President / CEO

Specialty Codes: TABLE C**RESEARCH**

0010	Director of Research	0990	Energy
0030	Advertising	1010	Engineering
0050	Aerospace	1030	Entertainment
0070	Agriculture	1050	Environmental
0090	Airlines	1070	Equities
0110	Alarm Services	1080	European Bonds
0130	Apparel	1085	European Equities
0150	Appliances	1090	Financial Services
0160	Asian/Pacific Rim Bonds	1100	Fixed Income
0165	Asian/Pacific Rim Equities	1110	Food
0168	Asset-Backed Securities	1130	Foreign Securities
0170	Assistant Director of Research	1150	Futures
0190	Associate Director of Research	1160	Gaming
0210	Auto Parts	1170	Generalist
0230	Automobiles	1190	Glass
0250	Balanced	1210	Gold
0270	Banks	1230	Government Bonds
0290	Beverages	1250	Health Care
0310	Biotechnology	1270	Home Furnishings
0330	Bonds	1290	Hospital Management
0350	Brewing & Distilling	1310	Hospital Supplies
0370	Broadcasting	1330	Household Products
0390	Brokerage	1350	Housing
0410	Building Materials	1370	Industrial Products
0430	Business Machines	1390	Information Systems
0450	Business Services	1410	Instrumentation
0470	Cable TV	1430	Insurance
0480	Canadian Bonds	1435	International Equities
0485	Canadian Equities	1440	International Bonds
0490	Capital Goods	1445	Internet
0510	Cash/Short Term	1450	Investment Companies
0530	Cellular	1470	Investment Policy
0550	Chemicals	1490	Investment Strategist
0570	Closely Held Companies	1492	Japanese Bonds
0590	Coal	1495	Japanese Equities
0610	Communications	1500	Latin American Bonds
0630	Computer Software & Services	1505	Latin American Equities
0650	Computers	1510	Leasing
0670	Conglomerates	1530	Leisure Time
0690	Connectors	1550	Lodging
0710	Construction	1570	Machine Tools
0730	Consumer Goods & Services	1590	Machinery
0750	Containers	1610	Manufacturing
0770	Convertibles	1630	Media
0790	Corporate Bonds	1650	Medical Technology
0810	Cosmetics & Toiletries	1670	Metals
0830	Currencies	1690	Mining
0850	Data Processing	1700	Microcomputers
0870	Defense	1710	Money Market Instruments
0890	Derivatives	1730	Mortgages
0910	Drugs	1740	Mortgage Securities
0920	Durable Goods	1750	Municipal Bonds
0930	Economist	1760	Mutual Funds
0950	Electrical Equipment	1770	Natural Gas
0970	Electronics		
0980	Emerging Market Bonds		
0985	Emerging Market Equities		

Specialty Codes: TABLE C, Continued

1790	Natural Resources
1810	Non-Ferrous Metals
1830	Office Equipment
1850	Office Supplies
1870	Oil
1890	Oil Services
1910	Options
1930	Packaging
1950	Paper/Forest Products
1970	Personal Care
1990	Photography
2010	Pipelines
2030	Private Placements
2050	Publishing
2070	Quantitative Analysis
2090	Railroads
2110	Real Estate
2120	Real Estate Invest. Trusts
2130	Restaurant
2150	Retail Trade
2170	Rubber
2190	Savings & Loan
2210	Semi-Conductors
2230	Small Growth Companies
2250	Special Situations
2270	Steels
2280	Supermarkets
2290	Technical Market
2310	Technology
2330	Telecommunications
2350	Textiles
2360	Timberland
2370	Tires
2390	Tobacco
2400	Tourism
2410	Toys
2430	Transportation
2450	Trucking
2470	Utilities
2490	Venture Capital
2510	Video Entertainment
2530	Waste Disposal
2550	Wholesaling

MARKETING FOCUS

3000	401(k) Plans
3100	Corporations / Institutions
3200	Endowments
3300	Foundations
3400	Government / Public Funds
3500	Hospitals
3600	Individuals
3700	Insurance Companies
3800	Mutual Funds
3900	Unions

TRADING

9900	Manager - Trading Department
9910	Bond Trader
9920	Commodities
9930	Convertibles
9940	Equity Trader
9945	International Bond Trader
9946	International Equity Trader
9950	Money Market Instrument Trader
9960	Options
9970	OTC Trader

ASSET MIX TYPES: TABLE D

Cash & Short Term	01	VARIABLE RETURN	
FIXED RETURN		Micro Cap Equities	50
Canadian Bonds*	70	Small Cap Equities	49
Corporate Bonds	41	Small Cap Growth	24
U.S. Government Bonds	43	Small Cap Value	80
Municipal Bonds	45	Mid Cap Equities	63
High Yield Bonds	47	Mid Cap Growth	68
European Bonds	23	Mid Cap Value	38
Japanese Bonds	79	Large Cap Equities	77
Asian/Pacific Rim Bonds	57	Large Cap Growth	74
Latin American Bonds	59	Large Cap Value	40
International Bonds (unspecified)	25	Growth Equities	51
Global Bonds	61	Value Equities	53
Indexed Bonds	31	Core Diversified Equities	55
Emerging Markets Bonds	67	Indexed Equities	12
Bonds (unspecified)	03	Enhanced Indexed Equities	13
GIC/BICs	05	Real Estate Equity	14
Synthetic GICs	60	Real Estate Investment Trusts (REITs)	58
Mortgages	71	Canadian Equities*	66
Mortgage Securities	08	European Equities	69
Convertibles	27	Japanese Equities	30
Fixed Private Placements	33	Asian/Pacific Rim Equities	71
		Latin American Equities	73
		International Equities (unspecified)	18
		Global Equities	65
		Emerging Markets Equities	75
		Equities (unspecified)	10
		Venture Capital	16
		Oil & Gas Investments	21
		Mutual Funds	29
		Private Equity	35
		Hedge Funds	15
		Leveraged Buyouts	39
		Managed Futures	17
		ETFs	49
		Limited Partnerships	26
		Commodities	06
		Other1 Allocation (see description)	81
		Other2 Allocation (see description)	82

TABLE E: SERVICE PROVIDER CODES

<u>Code</u>	<u>Description</u>
CON	CONSULTANT
MGR	Manager
MTR	Master Trustee

* = New for 2009

TABLE F: INVESTMENT COUNSEL SERVICE CODES

<u>Code</u>	<u>Description</u>
CASHSERV	Cash, Short Term
CORESERY	Equities - Core Diversified
GROWSERV	Equities - Growth
SCAPSERV	Equities - Small Cap
MCAPSERV	Equities - Mid Cap
LCAPSERV	Equities - Large Cap
VALUESERV	Equities - Value: Low P/E
PASSIVESERV	Equities - Passive Indexed
EQUITYSERV	Equities - Other U.S.
INTEQSERV	Equities - International
GOBEQSERV	Equities - Global
CANEQSERV	Equities - Canadian
EMERGESERV	Equities - Emerging Markets
JAPEQSERV	Equities - Japanese
PRIVEQSERV	Private Equity
EXCHTSERV	Exchange Traded Funds
FOLIOSERV	Folios
DERVSERV	Derivatives
PRIVPSERV	Private Placements
BALANCESERV	Balanced Accounts
MORTSERV	Mortgages
MSECSERV	Mortgage Securities
VENTURESERV	Venture Capital
OPTIONSERV	Options
FUTURESERV	Futures
ESTATESERV	Real Estate
REITSERV	REITs
LEVBUYSERV	LBO's
LPARTSERV	Limited Partnerships
EMBNDSERV	Bonds - Emerging Markets
GOVBNDSERV	Bonds - Government Agency
MUNIBNDSERV	Bonds - Municipal
HIYBNDSERV	Bonds - High Yield
MORTBSERV	Bonds - Mortgage Backed
FINBNDSERV	Bonds - Finance & Banking
INDBNDSERV	Bonds - Industrial
TRANBNDSERV	Bonds - Transportation
UTILBNDSERV	Bonds - Utility
INXBNDSERV	Bonds - Passive Indexed
CORPBNDSERV	Bonds - Corporate
USBNDSERV	Bonds - Other U.S.
GOBBNDSERV	Bonds - Global
CANBNDSERV	Bonds - Canadian
INTBNDSERV	Bonds - International
OILSERV	Oil & Gas
MUTUALSERV	Mutual Funds
CONVERTSERV	Convertibles
HEDGESERV	Hedge Funds
COMMODSERV	Commodities
ASSBSERV	Asset Backed Securities
GICSERV	GICs/BICs
CMOSERV	CMO's
VARANNSERV	Variable Annuities
FIXANNSERV	Fixed Annuities
FORXSERV	Foreign Exchange
TIMBERSERV	Timber/Farmland
BONDSSUBSERV	Bonds - Substitutes
ENHINDEXSERV	Enhanced Index
SOCSCRNSERV	Social Screening
SPECMGMTSERV	Specialty Management
SPECSERV	Other Specialized
FFUNDSERV	Fund of Funds

TABLE G: INVESTMENT STYLE CODES

CODE	DESCRIPTION
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Investment Style Codes - Equities

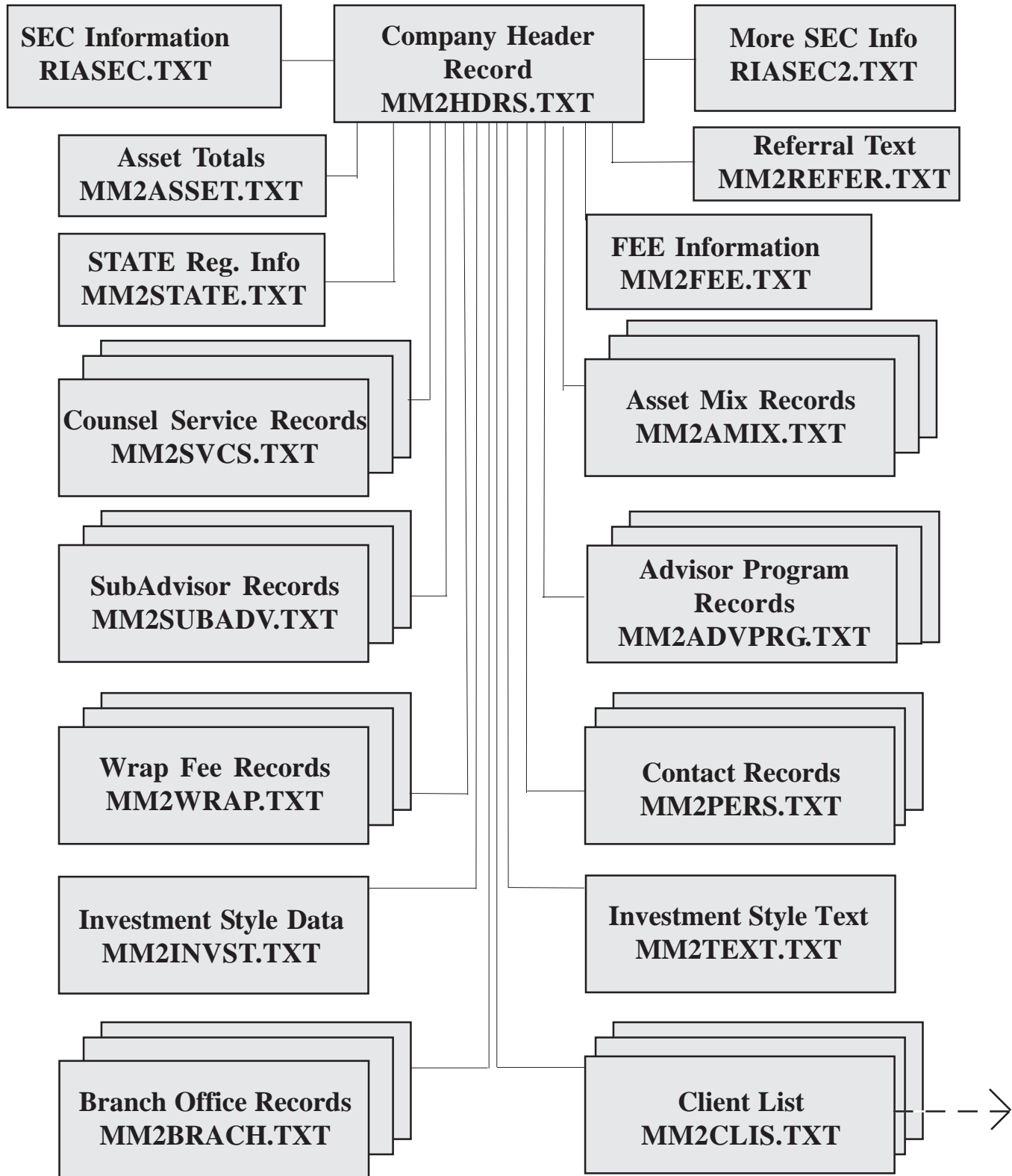
EGROWTH	Growth
EVALUE	Value
EPPORTUNIST	Opportunistic
EMARKETTIMER	Market Timer
EDIVERSE	Diverse
EHEDGING	Hedging
EQANTITATIVE	Quantitative
ETACTICAL	Tactical
EINDEXING	Indexing
EPASSIVE	Passive
EACTIVE	Active
ESECTOR	Sector Rotation
ETOPDOWN	Top Down
EBOTTOM	Bottom Up
EFUNDMENT	Fundamental
ECONTAR	Contrarian
ECOREDIV	Core Diversified
ESPECSITU	Special Situations

Investment Style Codes - Fixed Income

FPASSIVE	Passive
FBUYHOLD	Buy & Hold
FACTIVE_MGMT	Active Management
FNONMARKET	Non-Marketable Areas
FQUANTITATIV	Quantitative
FTACTICAL	Tactical
FSECTOR	Sector Rotation
FTOPDOWN	Top Down
FBOTTOM	Bottom Up
FHIQLT	High Quality Long-Term
FHIQIT	High Quality Intermediate Term
FHIQST	High Quality Short-Term
FMEDQLT	Med Quality Long Term
FMEDQIT	Med Quality Intermediate Term
FMEDQST	Med Quality Short Term
FHEDGING	Hedging
FINDEXING	Indexing
FINTRATE	Interest Rate Forecasting
FFUNDMENT	Fundamental

Investment Manager File Relationships

Category 50,70, 80, 81 Companies



One to many relationship between MM2HDRS and MM2PERS, MM2BRACH, MMCLIS, MMWRAP - Key field: PID#
MMCLIS ties back to Plan Sponsor Database through the 4th field, the Plan Sponsor PID#.

PENSIONSSCOPE

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DATASYSTEMS

Available File Formats for Investment Advisor Information

MS Access
ASCII SDF Format
ASCII Comma Delimited Format

Available Media

CD-ROM
viaFTP

Investment Manager Changes for 2009

Tables

MM2HDRS	Field 27 'Total Clients' added because TECLIENTS + TAXCLIENTS don't necessarily reflect grand total.	Pg. 3
RIASEC-	Fields #10 -13 (% Individ. Mgned, Commingled, Discretionary, Non-Disc.) increase size from 5 to 6 characters	Pg. 11
	Field 44-45 (% int. or ext. mgned) increase size from 5 to 6 characters	Pg. 12
RIASEC2	Country name fields 1-10 expanded to 35 chars.	Pg. 14
MM2BRACH	New field: BOFFICE	Pg. 15
	New Table for branch contacts MM2BCONTACT , ties MM2BRACH to MM2PERS	Pg.15
MM2REFER	Text field expanded to 500 characters	Pg. 16

Reference Tables

New Asset Mix Types: Canadian Bonds (70), Canadian Equities (66)	Pg. 23
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