Annual Classification of Shareholder Assets Specification Document

Updated 01-09-2013

This specification provides information needed to create files of data for the Investment Company Institute's Annual Classification of Shareholder Assets Survey, and to electronically deliver such files to ICI for tabulation. The following sections are included in this document:

I. ICI Contact Information
II. Survey Objective
III. When to Report Data
IV. How to Deliver Data
V. File Format
VI. File Naming Convention
VII. Business Rules & Validation Requirements

I. ICI Contact Information

Should you require additional help in creating the Classification of Shareholder Assets data file, or if you have questions regarding the process of supplying survey data electronically, you may call or e-mail ICI at any time.

E-mail messages may be sent to the surveymaster@ici.org. Or you may contact:

Paul Camarata
Director – Electronic Data Collection
(202) 326-5952
e-mail: paul@ici.org

II. Survey Objective

The Institute's conducts an annual collection of Shareholder Asset data. The report generated from this data collection is used by our members, the Federal Reserve and internally by our legal and legislative staffs to reflect the size and trends within the mutual fund institutional market.

III. When to Report Data

ICI asks that data providers supply previous year-end information on each of their fund classes prior to January 25th of the current year.

IV. How to Deliver Data

<u>Flat File Creation</u>

Generate a pipe (|) delimited ASCII text file according to the file format found in Section V of this document.

<u>Encryption</u>

Because the data you are transferring can be considered confidential, it is wise to encrypt, or scramble, the data file so it becomes unusable to a non-authorized recipient. The ICI currently makes use of PGP encryption software for electronic data submissions. You may wish to refer to PGP's website located at http://www.pgpi.org for a complete description of their product.

ICI will provide you with the necessary PGP encryption keys. As always, if you have any questions or problems, please give ICI a call for personal assistance.

<u>FTP Access</u>

The preferred method for uploading (or sending) data to the ICI is via the Internet's File Transfer Protocol (or FTP). To access the ICI's FTP server (located at ftp.ici.org), you must provide your ICI User ID and Password. The ICI FTP server does not accept anonymous FTP transmissions. If you don't have an ID and Password, or you are not sure what it is, feel free to contact Paul Camarata in the ICI's Information Systems Department (202-326-5952 or e-mail: paul@ici.org) for assistance.

<u>File Transfer</u>

When transferring your data file to the ICI's FTP server, you will be automatically logged into your company's own unique directory. This process is based on your FTP server User ID. The name of your directory will be a 5-digit number that represents your company's ICI Complex Number. This simplifies your process of sending data in that you won't have to worry about changing your remote directory once you are connected to the ICI's FTP host.

V.   File Format

Field Label	Length	Type of Variable	Delimiter Used
Version Number ("3")	1	Numeric	| (pipe symbol)
ICI Fund Number	5	Numeric	|
Survey Date - Year	4	Numeric (i.e. 2012)	|
ICI Fund Name	40	String	|
ICI Class Number	2	Numeric	|
ICI Class Name	20	String	|
Date of Data	8	String (mm/dd/yy)	|
Total Assets of Fiduciary Accounts	9	Numeric (In thousands)	|
Total Assets of Business Corp Accounts	9	Numeric (In thousands)	|
Total Assets of Retirement Plan Accts	9	Numeric (In thousands)	|
Total Assets of Financial Institutions	9	Numeric (In thousands)	|
Total Assets of Non-Profit Organizations Accounts	9	Numeric (In thousands)	|
Total Assets of State and Local Governments Accounts	9	Numeric (In thousands)	|
Total Assets of 529 Plan Accounts	9	Numeric (In thousands)	|
Total Assets of Mutual Funds and Closed-End Funds Accounts	9	Numeric (In thousands)	|
Total Assets of Other Institutional Investors Accounts	9	Numeric (In thousands)	|
Total Assets of Institutional Accounts	9	Numeric (In thousands)	|
Total Assets of Street Name/Broker Dealer Accounts	9	Numeric (In thousands)	|
Total Assets of Individual, Joint Tenants, and IRA/Keogh Accounts	9	Numeric (In thousands)	|
Total Assets of All Types of Accounts	9	Numeric (In thousands)	|
Name of Provider	20	String	|
Phone Number	13	String ((202)326-5933)	

Notes on the file format shown on the previous page:

(a) All fields should be formatted without commas, single or double quotes, or dollar signs.

(b) Currently, the version number should be set a numeric value of "3".

(c) A complete mapping of your company's funds with ICI Fund Numbers and Class ID Numbers can be downloaded from your home directory on the ICI's FTP server (ftp.ici.org). The file is called "Fname.txt".

(d) To report data for a new fund, or a fund that ICI does not yet know about, assign the fund an ICI Fund Number between 96000 and 96999. The Class ID Number for the new fund should be set to "0".

The following example illustrates how a line from an Institutional data file may appear. Please note that in the example the line wraps and appears as two lines. In your data file, it will be one continuous line.

```
Sample line:

3|12345|2012|The XYZ Fund|1|Class A||1327|3|17|0|29|0|0|0|0|1376
|0|10900|12276|John Doe|999-999-9999^M
```

VI. File Naming Convention

The data file that is sent to ICI should follow the naming convention:

HIxxxxx.Ayy

Where:

"H" is a fixed character indicating the data represents Shareholder Survey data.
"I" is a fixed character indicating an ad-hoc "File-to-File" format.
"xxxxx" is your 5-digit complex number, zero filled if necessary *(provided by ICI)*.
"A" is a fixed character indicating the data represents annual data.
"yy" is the corresponding 2-digit year.

For example:

A file named **HI12345.A12** contains year-end 2012 data from a fund family with an ICI Complex Number of "12345".

VII. Business Rules and Validation Requirements

The following validation rules were put in place to help ensure that the data submitted is consistent and meaningful. Records that fail these checks are flagged at ICI and you may receive a call about the data reported.

(1) Data appearing in the Total Assets field must be greater than "0" and less than or equal to 999,999,999. ***Assets must be rounded to the nearest thousand (000's).***

(2) Total Assets should equal the sum of line items A1-A9 and B1-B2 *(refer to the physical paper questionnaire).* In addition, the Total Assets of each individual class should equal the Total Assets as reported on ICI's Monthly questionnaire.

(3) Total Institutional Assets should equal the sum of line items A1 – A9.