

Appendix B: Industry Classification List

| Assigned No. | Abbreviation | Classification Name | Description/Examples |
|----------------------------------|--------------|---|--|
| 001 | EPP | ERISA Pension Plan (U.S.) | A Pension Plan governed by the Employee Retirement Income Security Act of 1974 (ERISA). Includes Employee benefit pension plans, employee benefits pensions, employee benefit retirement, retirement pension plans, union pension funds. |
| 002 | NPP | Non ERISA Pension Plan (U.S.) | A pension plan not subject to ERISA rules. Could include Employee benefit pension plans, employee benefits pensions, employee benefit retirement, retirement pension plans, union pension funds. |
| 003 | RIC | 1940 Act Registered Investment Company (U.S.) | An Investment Company governed by the Investment Company Act of 1940 ("1940 Act"). Includes Mutual fund agencies (brokerages); brokers' offices; mutual fund managing; and closed end and open-ended funds. |
| 004 | OIC | Other Investment Company | All other mutual funds, not governed by 1940 Act. Includes Mutual fund agencies (brokerages); brokers' offices; mutual fund managing; KAG's, non-regulated funds and closed end and open-ended funds. |
| 005 | HEF | Hedge Fund | An unregulated fund, company or partnership that invests in financial assets. It is highly leveraged and attempts to maximize returns by taking on large risks and employing speculative strategies. Funds, which have more than 35% leverage on the balance sheet also, can be part of this classification. The primary aim of most hedge funds is to reduce the volatility of returns while attempting to preserve capital and deliver high absolute returns under any market condition. Most hedge funds are established in such a way as to avoid extensive regulatory scrutiny. |
| 006 | CEB | Central Bank | A central bank of a country. It can issue currency, administer monetary policy, participate in open market operations, hold deposits representing the reserves of other banks; and engage in transactions that are largely designed to facilitate the conduct of business and protect the public interest. Includes Monetary Authorities, Central Banking. |
| 007 | BCU | Bank/Credit Union | A commercial institution licensed as a receiver of deposits; a bank may collect checks for customers and lend or invest surplus deposits, it may engage in investment banking services. A credit union is member-owned financial co-operative Includes: Savings Banks, Savings Institutions, State Savings banks, Credit unions, Federal credit unions, State credit unions |
| 008 | RBD | Registered Broker-Dealer | A Company registered as a Broker-Dealer. Includes Securities Brokerages, Securities brokers' offices, Stock brokerages, Stock brokers' offices, Stock options brokerages. |
| 009 | INC | Insurance company | Insurance Carriers and Related Activities. |
| 010 | COE | Corporate Entity | A legal entity that is separate and distinct from the persons or activities that own it. It may own property, incur debt, sue or be sued. A corporate entity has limited liability and continuity of existence. It is not a bank, not a pension fund, not an insurance company and not a broker-dealer. e.g. IBM corporation. |
| 011 | GOV | Governmental | Includes state and municipal government agencies, and multinational agencies. e.g. World Bank |
| 012 | FOU | Foundation (supersedes trust) | Includes corporate foundations, awarding grants; grant making charitable foundations |
| 013 | END | Endowment (supersede trust, includes religious) | Includes religious charities and organizations; educational endowments. |
| 014 | CMT | Common Trust | A group of securities set aside by a trustee for investment by two or more trusts operated by the same trustee. Used by banks and trust companies, and not by individual trustees. Includes: Administrators of private estates, Bank trust offices, Personal investments trust administration, Nondepository Trust companies Escrow agencies (except real estate), Fiduciary agencies (except real estate), Securities custodians Charitable trusts, Bankruptcy estates, Personal estates (i.e., managing assets), Personal investment trusts, Personal trusts Private estates (i.e., administering on behalf of beneficiaries), Testamentary trusts, Trusts, estates, and agency accounts |
| 015 | CLT | Collective Trust | An investment fund formed from the pooling of investments by institutional investors it excludes all categories in "common trust" above. |
| 016 | OTT | Other Trust | A trust other than "common" and "collective" as described above. |
| 017 | LAU | Labor Union | Labor Unions covered by the Taft-Hartley Labor Act of 1947 Includes: Employees' associations for improvement of wages and working conditions, Federation of workers, labor organizations, Federations of labor, Industrial labor unions, Labor unions (except apprenticeship programs), Local Labor Unions (except apprenticeship programs). Trade unions (except apprenticeship programs). |
| 018 | PAR | Partnerships | A business organization in which two or more individuals manage and operate a business. Includes both limited and general partnerships. |
| 019 | UCI | UCITS | Undertakings for the Collective Investment of Transferable Securities: A public limited company that coordinates the distribution and management of unit trusts amongst countries within the European Union including but not limited to ICVC's, SICAV's, SCP's. |
| 020 | OTH | Other | Entities belonging to a category not included above |
| Proposed Additional Codes | | | |
| 021 | CRP | Corporate Pension Fund | A formal arrangement between a company and its employees - or the employees' union - that provides funding for the employees' retirement. Could include Employee benefit pension plans, employee benefits pensions, employee benefit retirement, retirement pension plans, union pension funds. |
| 022 | SPF | State Pension Fund | A pension fund that is management by the state. It is the basic state pension is paid to everyone. The level of pension you get depends on the amount of National Insurance contributions you pay over your working life. |
| 023 | SWF | Sovereign Wealth Fund | A state-owned fund composed of financial assets such as stocks, bonds, property or other financial instruments. |
| 024 | IVT | Investment Trust | A company whose business is to make money for shareholders through investment in other assets. An investment trust is a closed-end fund and shares will be listed on and traded through a major exchange, just like any other company. |
| 025 | SUP | Supranational Entities | Entities that are created by way of international treaty and include entities such as World Bank, European Bank for Reconstruction and Development (EBRD). |