



The Federal Reserve Bank of New York
Statistics Function

SHC(A) Historic Reporting Changes

Reflects changes made since 1999

Date

Description

December 2001

- Added reporting of short-term securities and selected money market instruments.
- Eliminated price, exchange rate, and U.S. dollar denominated face value and replaced with foreign currency denominated market value and face value.
- Eliminated financial derivatives.
- Changed the exemption level from \$20 million to \$100 million.

Report Form and Instructions URL:

<http://www.treas.gov/tic/forms.html#benchmark>

December 2003

- Added valuation techniques to determine market values
- Eliminated issuer type

Report Form and Instructions URL:
<http://www.treas.gov/tic/forms.html#benchmark>

December 2006

- Changed security type categories to be more consistent with SHL report
- Added term indicator
- Eliminated field which explained reason for zero market value
- Eliminated custodian code 77 (foreign-resident custodians) and custodian code 88 (U.S.-resident central securities depositories) from Schedule 3

Report Form and Instructions URL:
<http://www.treas.gov/tic/forms.html#benchmark>

December 2014

- "Security ID System" (Item 7) consistent across Forms SHC(A) and SHL(A).
 - The new categories are: 1 = CUSIP, 2 = ISIN, 3 = CINS, 4 = Common Code, 5 = SEDOL, 6 = Internally Generated, and 7 = Other.
- Security Type" is now consistent with Form SHL(A)

12. Security Type:

<u>Equities</u>	<u>Debt (excluding asset-backed securities)</u>	<u>Asset-Backed Securities</u>
1 = Common stock	5 = Commercial paper	9 = Bond or note, unstripped
2 = Preferred stock	6 = Negotiable CD	10 = Bond or note, stripped
3 = Fund shares	7 = Convertible debt security	11 = All other debt
4 = All other equity	8 = Zero-coupon bond or note	12 = Asset-backed security

- "Type of Foreign Issuer" is added

11. Type of Foreign Issuer:.....
1 = Foreign Official Institutions 2 = All Other Foreigners

- "Reporting As" line item is added

5. Reporting As:.....
1 = End-investor 2 = Custodian

- "Ownership Code" is replaced with "Type of U.S. Owner"

15. Type of U.S. Owner:
1 = Depository Institution 4 = Mutual Fund
2 = Fund or Other Investment Vehicle 5 = Insurance company
(excluding pension and mutual fund) 6 = Other Financial Organization (including BHC and FHC)
3 = Pension Fund 7 = Nonfinancial Organization (including individual/household)

- Depository Institution replaces Banks
- Fund/Fund Manager/Sponsor (excluding pension fund) replaces Mutual fund or investment trust
- Other Financial Organization specifies to include BHCs and FHCs
- Industrial Classification Code is replaced with Reporter Type