

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.