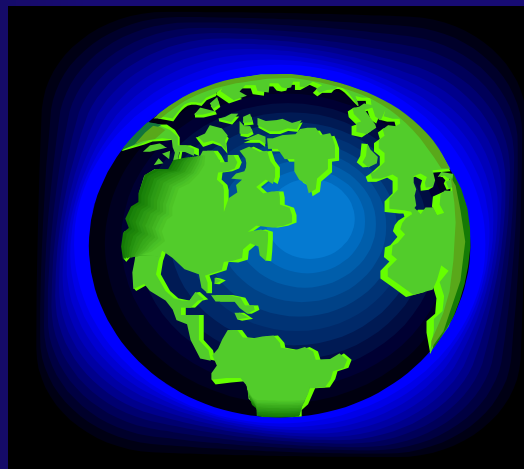


Report of U.S. Ownership of Foreign Securities, Including Selected Money Market Instruments ("SHC")



Technical Topics on Submitting the Report

November 10, 2011

Technical Topics: Options for Filing

	<u>Mail</u>	<u>Internet</u>
<u>On Paper:</u>	<u>On Media:</u>	<u>Via IESUB:</u>
<ul style="list-style-type: none">➤ Schedule 1➤ Schedule 2<ul style="list-style-type: none">➤ Only if less than 200 records➤ Schedule 3	<ul style="list-style-type: none">➤ Schedule 2<ul style="list-style-type: none">➤ No minimum record requirement➤ Must submit Schedule 1 on paper with the media	<ul style="list-style-type: none">➤ Schedule 1➤ Schedule 2<ul style="list-style-type: none">➤ No minimum record requirement➤ Schedule 3 <p>Electronically submitted Schedule 1 required</p>

Technical Topics:

Media Requirements for Schedule 2 Data



- Standard Windows PC ASCII Text Files
With a .txt extension
- Labeled With Reporter Name & ID

Technical Topics:

Unacceptable Media & File Formats

➤ Unacceptable Media

- IBM Mainframe Tapes/Cartridges - 3480/3490
- Round (Reel) Tapes

➤ Unacceptable File Formats

- EBCDIC Files
- Compressed Files
- Excel files (.xls)
- COBOL packed decimal fields

Technical Topics:

IESUB General Information

IESUB - Internet Electronic SUBmission

Data Submission

Schedules 1 and 3

- Data Entry Form
- Initial and Revised Data

Schedule 2

- File Transfer
- Initial and Revised Data
- Standard Windows PC ASCII Text Files With a .txt extension

Technical Topics:

IESUB General Information (cont'd)



- Data Review
- Data Validation
- Receipt
- Feedback

Technical Topics: IESUB Security Information



- Unique User-ID and Password
- 128 Bit SSL Encryption
- Server-side Certificate

Technical Topics:

IESUB Additional Information

- User id and password request forms, and system requirements and file transfer formatting guide can be found on the Internet at IESUB website:

<http://www.frbervices.org/centralbank/reportingcentral/iesub.html>

Technical Topics:

Schedule 2 File Formats



Use Either of Two File Formats for IESUB
or Media Submission:

- Positional
- Semi-colon Delimited

Technical Topics

Correct Positional File Example

```

sample records - Notepad
File Edit Format View Help
-----+-----+-----+-----+-----+-----+-----+-----+
1          2          3          4          5          6
123456789012345678901234567890123456789012345678901234567
0000067890 0000001 010 CUSTODY SERVICES
0000067890 0000002 020 NY BRANCH
0000067890 0000003 020 NY BRANCH

```

Technical Topics

Correct Positional File Example (cont'd)

sample records.txt - Notepad

File Edit Format View Help

```

    4           4           4           4           4           4           4
    0           1           2           3           4           5
567890123456789012345678901234567890123456789012345678901234
-----+-----+-----+-----+-----+-----+-----+-----+-----+-----+-----+-----+-----+
000000032538      000008000000  000046000000  04102001  04102007
000047897500      000023000000  11022005  11022019
000021850000
  
```

Annotations:

- Face Value (Non-ABS) - points to the 11th-14th characters of the first record (04102001).
- Debt Only - NULL - points to the 15th-18th characters of the first record (04102007).
- Filler (space) - points to the 19th-20th characters of the first record (two zeros).
- Number of Shares Held - points to the 21st-26th characters of the first record (000008000000).
- Filler (space) - points to the 27th-30th characters of the first record (000000032538).

Technical Topics

Correct Positional File Example (cont'd)

sample records.txt - Notepad

File Edit Format View Help

```

      4      4      4      4      4      4
      0      1      2      3      4      5
56789012345678901234567890123456789012345678901234
-----+-----+-----+-----+-----+-----+-----+
000000032538      00000800000
000047897500      000046000000 04102001 04102007
000021850000      000023000000 11022005 11022019
                                     Maturity
                                     Date
                                     Filler (space)
                                     Issue Date
                                     Filler (space)
                                     Face Value (Non-ABS) Debt Only
                                     Filler (space)
                                     Number of Shares Held -NULL
                                     Filler (space)

```

The diagram illustrates the field structure of a positional file record. The record is 40 characters long, with fields defined by their starting and ending positions (0-9):

- Field 1: Positions 0-3 (Value: 000000032538)
- Field 2: Positions 4-11 (Value: 00000800000, circled)
- Field 3: Positions 12-19 (Value: 000046000000)
- Field 4: Positions 20-23 (Value: 04102001)
- Field 5: Positions 24-27 (Value: 04102007)
- Field 6: Positions 28-35 (Value: 000023000000)
- Field 7: Positions 36-39 (Value: 11022005)
- Field 8: Positions 40-43 (Value: 11022019)

Labels and arrows indicate the following field descriptions:

- Positions 0-3: Filler (space)
- Positions 4-11: Number of Shares Held -NULL
- Positions 12-19: Filler (space)
- Positions 20-23: Face Value (Non-ABS) Debt Only
- Positions 24-27: Filler (space)
- Positions 28-35: Issue Date
- Positions 36-39: Filler (space)
- Positions 40-43: Date
- Positions 44-47: Maturity

Technical Topics

Incorrect Positional File Example

```
sample records - Notepad
File Edit Format View Help

      1          2          3          4          5          6          7
123456789012345678901234567890123456789012345678901234567890123456
-----+-----+-----+-----+-----+-----+-----+-----+-----
0000067890 0000001 010 CUSTODY SERVICES
0000067890 0000002 020   NY BRANCH
0000067890 0000003 020   NY BRANCH
```

Reporting Unit Description field begins in the incorrect position, 26. The correct position is 24.

Technical Topics

Correct Delimited File Example

```
sample records - Notepad
File Edit Format View Help
0000012345;0000001;001;ACCOUNTING SYSTEMS;ANN2879J1070;LMA INTERNAT
0000012345;0000002;001;ACCOUNTING SYSTEMS;CH0004704588;SWITZERLAND
0000012345;0000003;002;CUSTODY SERVICES;MXP810081010;WAL-MART DE ME
```

Reporter ID

Delimiter

Sequence Number

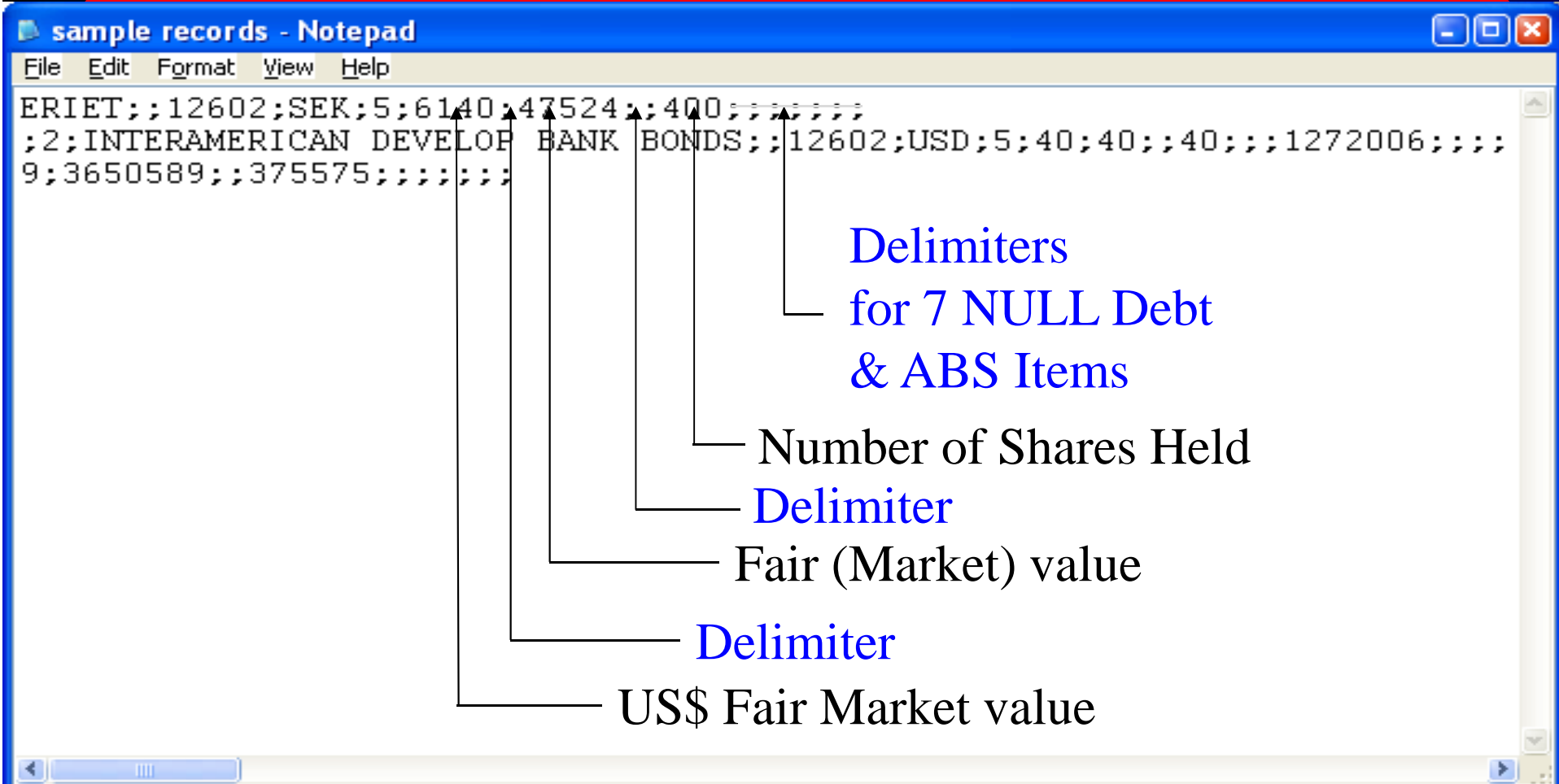
Delimiter

Reporting Unit

Name of Reporting Unit

Technical Topics

Correct Delimited File Example (cont'd)



The screenshot shows a Notepad window titled "sample records - Notepad" with a menu bar (File, Edit, Format, View, Help). The text content is as follows:

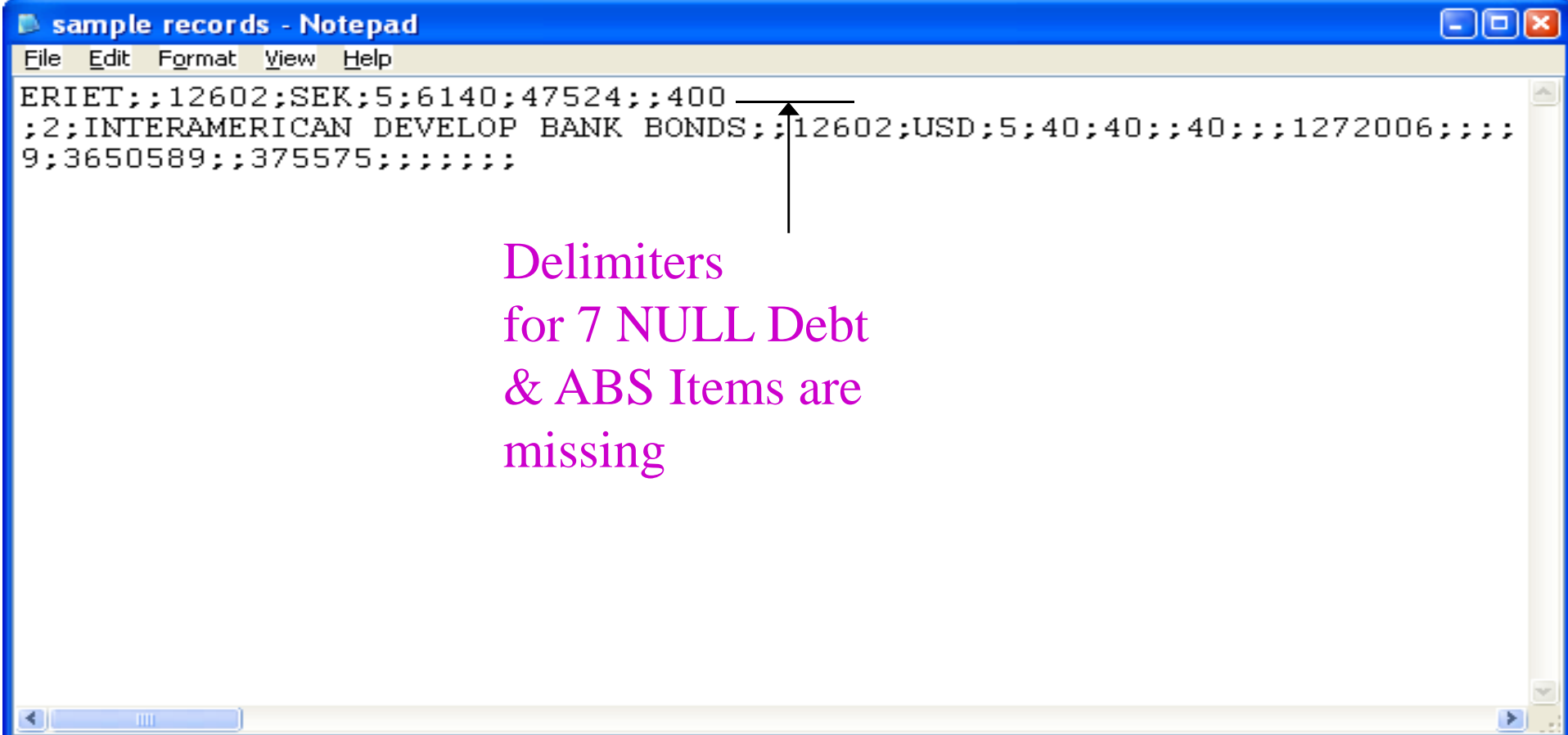
```
ERIET;;12602;SEK;5;6140;47524;;400;:::;;  
;2;INTERAMERICAN DEVELOP BANK BONDS;;12602;USD;5;40;40;;40;;;1272006;::;  
9;3650589;;375575;:::;;
```

Annotations with arrows point to specific parts of the text:

- Delimiters for 7 NULL Debt & ABS Items**: Points to the semicolons in the first line.
- Number of Shares Held**: Points to the value "400" in the first line.
- Delimiter**: Points to the semicolon before "400" in the first line.
- Fair (Market) value**: Points to the value "47524" in the first line.
- Delimiter**: Points to the semicolon before "47524" in the first line.
- US\$ Fair Market value**: Points to the value "3650589" in the second line.

Technical Topics

Incorrect Delimited File Example



```
sample records - Notepad
File Edit Format View Help
ERIET;;12602;SEK;5;6140;47524;;400
;2;INTERAMERICAN DEVELOP BANK BONDS;;12602;USD;5;40;40;;40;;;1272006;;;
9;3650589;;375575;;;;;
```

Delimiters
for 7 NULL Debt
& ABS Items are
missing

Technical Topics

Positional & Delimited Files Example

```
sample records - Notepad
File Edit Format View Help
      3      4      4      4      4      4      4
      9      0      1      2      3      4      5
345678901234567890123456789012345678901234567890123456789012345
-----+-----+-----+-----+-----+-----+-----+-----+
000000405986 000047897500 00000075453 000000000000 00000000 00000000
000000052639 000000032538 00000800000 000000000000 00000000 00000000

405986;47897500;;75453;;;;;
52639;32538;;800000;;;;;
```

Number of shares

Technical Topics

Positional & Delimited Files Example

```
sample records - Notepad
File Edit Format View Help
  3      4      4      4      4      4      4
  9      0      1      2      3      4      5
345678901234567890123456789012345678901234567890123456789012345
-----+-----+-----+-----+-----+-----+-----+
000000405986 000047897500 00000075453 000000015745 00000000 00000000
000000052639 000000032538 00000800000 0000000000023 12152000 12152049

Face Value (Non-ABS) Debt Only

405986;47897500;;75453;15745;;;;;
52639;32538;;800000;23;12152000;12152049;;;;;
```

Technical Topics

Tips & Traps

➤ Date Format

- Correct format MMDDYYYY. For example, the date May 3, 2006 would be reported as 05032006
- Examples of incorrect date formats MM/DD/YY, MM/DD/YYYY, MM-DD-YY, etc.

➤ Need to Have Leading Zeroes

- Reporter ID
- Date Fields

Technical Topics

Tips & Traps

- Illegal Characters in the file, such as
(carriage return)
- The document entitled “Key Issues for SHC Software Developers” is an extended list of tips & traps under SHC 2006 at:

<http://www.treasury.gov/resource-center/data-chart-center/tic/Pages/forms-sh.aspx#shc>

Technical Topics

Contact Information

- If you have questions about IESUB, call your SRD analyst at the Federal Reserve Bank of New York , call the SHC Helpline at (212)720-6300, or email SHC.HELP@NY.FRB.ORG.
- If you have questions about the file format, call one of the IT support analysts listed below:

Cecy Valentin (212) 720-7383

Michael Hasell (212) 720-7950

David Carley (212) 720-6845

Navin Persaud (212) 720-6214

Sophia Shi (212) 720-1409

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