

UNIQUE SECURITY IDENTIFICATION REQUIREMENTS-- INVESTMENT MANAGEMENT PERSPECTIVE										
		DEPARTMENT	GSA, FIC, ST OPS	GSA, FIC, ST OPS	GSA, OPS, FIC	FIC, FACU, IA/PC	IA/PC, OPS	IA/PC, OPS	IA/PC, OPS, FIC	IA/PC, OPS, ACCOUNTING
		FUNCTION ⁽¹⁾	DATABASE	PRICING ⁽²⁾	CORPORATE ACTIONS	COMPLIANCE	TRADING	CONFIRMATION	SETTLEMENT	RECONCILIATION
FACTOR	ATTRIBUTE OF:	I.E.								
TRADING CURRENCY	SECURITY	USD, CAD, AUD, JPY	X	X			X	X	X	X
EXCHANGE LISTING	SECURITY	OTC, ATHENS, FRANKFURT, NYSE, EASDAQ	X	X	X	X	X			
RESTRICTIONS/ SEASONING/ RANKING	SECURITY	144A, REG S, PP, ERISA, 4 (2), NEW, WHEN-ISSUED, RFD	X	X	X	X	X	X	X	X
ISSUER	SECURITY		X		X	X	X			
COUNTRY	SECURITY		X	X		X	X			
INCORPORATION	SECURITY		X			X	X			
ISSUE TYPE	SECURITY	FIXED INCOME, EQUITY, CVT, WARRANT	X	X	X	X	X			
LOT SIZE	SECURITY		X		X	X	X			
UNIT/PAR	SECURITY		X		X	X	X			
MAT/DEMAT	SECURITY		X	X						
BEARER/REGISTERED	SECURITY		X	X	X	X	X	X	X	
DR DESIGNATION	SECURITY	ADR, GDR, IDR	X		X	X		X	X	X

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		FUNCTION ⁽¹⁾	DATABASE	PRICING ⁽²⁾	CORPORATE ACTIONS	COMPLIANCE	TRADING	CONFIRMATION	SETTLEMENT	RECONCILIATION
FACTOR	ATTRIBUTE OF:	I.E.								
CLEARING AGENCY/ DEPOSITARY	TRADE	EUROCLEAR, DTC, CEDEL							X	
⁽¹⁾ NOT ALL DEPARTMENTS THAT PERFORM A SPECIFIC FUNCTION REQUIRE ALL FACTORS FOR UNIQUE SECURITY IDENTIFICATION										
⁽²⁾ A FUNDAMENTAL ASSUMPTION IS THAT NO UNIQUE SECURITY MAY HAVE MULTIPLE PRICES FOR END-OF-DAY VALUATIONS										