§ 210.12–13 Investments other than securities.

[For management investment companies only]

Language of instruction 1:

Col. A Col. B Col. C

| Description 1 | Balance held at close of period—quantity | Value of each item at close of period 2,3,4,5 |

1. List each major category of investments by descriptive title.
2. If practicable, indicate the quantity or measure in appropriate units.
3. Indicate by an appropriate symbol each investment which is non-income producing.
4. Indicate by an appropriate symbol each investment subject to option. State in a footnote: (a) The quantity subject to option, (b) nature of option contract, (c) option price, and (d) dates within which options may be exercised.
5. Column C shall be totaled and shall agree with the correllative amount shown on the related balance sheet.
6. State in a footnote the following amounts based on cost for Federal income tax purposes: (a) Aggregate gross unrealized appreciation or depreciation for all investments in which there is an excess of tax cost over value, (c) the net unrealized appreciation or depreciation, and (d) the aggregate cost of investments for Federal income tax purposes.

§ 210.12–14 Investments in and advances to affiliates.

[For management investment companies only]

Language of instruction 1:


| Name of issuer and title of issue or nature of indebtedness 1 | Number of shares—principal amount of bonds, notes and other indebtedness held at close of period | Amount of equity in net profit and loss for the period 2,3,5 | Amount of dividends or interest 2,3,5 | Value of each item at close of period 2,3,4,5 |

1. List each issue separately and group (1) Investments in majority-owned subsidiaries, segregating subsidiaries consolidated, (2) other controlled companies; and (3) other affiliates. (b) If during the period there has been any increase or decrease in the amount of investment in and advance to any affiliate, state in a footnote (or if there has been changes to numerous affiliates, in a supplementary schedule) (1) name of each issuer and title of issue or nature of indebtedness; (2) balance at beginning of period; (3) gross additions; (4) gross reductions; (5) balance at close of period as shown in Column E. Include in the footnote or schedule comparable information as to affiliates in which there was an investment at any time during the period even though there was no investment at the close of the period of report.
6. Indicate by an appropriate symbol each issue of restricted securities. The information required by instruction 5 of §210.12–13 shall be given in a footnote. (b) Indicate by an appropriate symbol each issue of securities subject to option. The information required by instruction 5 of §210.12–13 shall be given in a footnote. (c) Indicate by an appropriate symbol all non-cash dividends and explain the circumstances in a footnote. (d) Indicate by an appropriate symbol each issue of securities which is non-income producing.