Industrial Organization and Finance Division

Quarterly Survey of Financial Statements

Investment Funds

F5

Confidential document when completed

Please return one completed copy within 30 days of quarter end

Si vous préférez ce questionnaire en français, veuillez cocher ☐

Please correct name and address, if necessary

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INFORMATION

AUTHORITY

"This survey is conducted under the authority of the Statistics Act, Revised Statutes of Canada, 1985, c. S-19. Completion of this questionnaire is a legal requirement under the Statistics Act."

PURPOSE

The information you provide is used in the preparation of industry financial statements for the Canadian financial sector; also, these financial statements are used as inputs to the National Economic Accounts.

CONFIDENTIALITY

Statistics Canada is prohibited by law from publishing any statistics which would divulge information obtained from this survey that relates to any identifiable institution without the previous written consent of that institution. The data reported on this questionnaire will be treated in confidence, used for statistical purposes and published in aggregate form only. The confidentiality provisions of the Statistics Act are not affected by either the Access to Information Act or any other legislation.

INSTRUCTIONS

- Report amounts in thousands of Canadian dollars.
- This survey covers both incorporated and trusteed funds, including funds set up solely to accept contributions made under registered retirement savings and other tax-sheltered plans.
- If actual financial data is not available, estimates may be used in this report.
- Please explain any significant changes in accounting or basis of reporting affecting the comparison of this return with that of the previous quarter.

FURTHER INFORMATION

Please refer to "Financial Statistics Reporting Guide" or contact:

Operations and Integration Division
Statistics Canada,
Ottawa, Canada,
K1A 0T6

Telephone: (877) 898-6686

Fax: (800) 552-4428

This report covers the period from:

month _____ 2 0 | | to month _____ 2 0 | |

Company official to contact regarding this form *(Please print)*	Position	
Signature _____ Date	Telephone number ( )	Facsimile number ( )
	E-Mail address	

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Rec'd:	Captured:	Analyzed:	Edited:

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SECTION A – BALANCE SHEET

01 Balance Sheet Date: year month day

			Thousands of dollars
	ASSETS		
1.	**Cash and demand deposits** (report term deposits which are cashable on demand in item 2)		
1.1	Cash and Canadian currency demand deposits in chartered bank branches in Canada	11110	
1.8	Other Canadian currency demand deposits	11180	
1.9	Foreign currency demand deposits	11200	
2.	**Term deposits** (including bearer term notes, swapped deposits and deposit receipts, certificates, debentures and like instruments)		
2.1	Canadian currency		
2.1.1	Chartered bank branches in Canada	11631	
2.1.9	Other institutions	11638	
2.9	Foreign currency	11680	
3.	**Accounts receivable and accrued revenue** (before allowance for doubtful accounts)	12100	
3.9	Less: Allowance for doubtful accounts	12800	( )
4.	**Canadian investments, at amortized cost** (before deducting provisions and allowances for losses - item 10; report mortgage loans under item 6 and other loans under item 7)		
4.1	Government of Canada treasury bills	15110	
4.2	Bankers' acceptances and finance and other short-term paper (original term to maturity of less than one year; including provincial and municipal government short-term bills and notes)	15120	
4.3	Government of Canada debt	15130	
4.4	Provincial and municipal government debt (exclude short-term bills and notes - item 4.2)	15140	
4.5	Corporate bonds and debentures (including mortgage bonds; exclude short-term paper - item 4.2)	15150	
4.6	Corporate shares (including share warrants and options)	15160	
4.6.1	Investment fund shares or unit - Canadian	15170	
4.9	Other Canadian investments (including precious metals, gold and silver certificates, commodity options etc.)	15180	
5.	**Foreign investments, at amortized cost** (before deducting provisions or allowances for losses - item 10; report term deposits under item 2, mortgage loans under item 6 and other loans under item 7)	15200	
6.	**Mortgage loans** (before deducting provisions or allowances for losses - item 10)	16000	
7.	**Non-mortgage loans** (before deducting provisions or allowances for losses - item 10)	17000	
8.	**Repossessed assets held for sale**	18100	
9.	**Other assets**	19880	
10.	**Less: Accumulated provisions and allowances for losses on investments, loans and other assets, charged to expenses**	19810	( )
15.	**TOTAL ASSETS** (AT COST)	**10000**	
16.	**Unrealized appreciation on assets** (i.e., difference between market value and book value of assets)	61100	
20.	**TOTAL ASSETS AT MARKET VALUE**	**61300**	
	LIABILITIES AND EQUITY		
21.	**Accounts payable and accrued liabilities**	22100	
22.	**Income taxes payable** (report income taxes recoverable in item 3)	23000	
23.	**Loans and overdrafts**		
23.1	With Chartered bank branches in Canada	25110	
23.9	With others	25180	
29.	**Other liabilities**	29000	
30.	**TOTAL LIABILITIES**	**20000**	
31.	**Unitholders' Equity**		
31.1	RRSP funds	32210	
31.2	Other tax-sheltered funds	32220	
31.3	Non-tax sheltered funds	32230	
40.	**TOTAL UNITHOLDERS' EQUITY**	**32200**	
50.	**TOTAL LIABILITIES AND EQUITY (SHOULD EQUAL ITEM 15)**	**39000**	

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SECTION B – STATEMENT OF UNITHOLDERS' EQUITY

			Period Covered:
02	From		
03	To	year month day	

			Thousands of dollars
51.	**Opening balance**	38100	
	Add:		
52.	**Net income (loss) for the period** (transfer from item 100)	38200	
53.	**Proceeds from the sale of units**	38610	
54.	**Reinvestment of income in additional units**	38620	
59.	**Other additions** (deductions) - please specify	38700	
	Deduct:		
60.	**Amounts paid on the redemption of units**	38630	
61.	**Dividends declared**	38800	
70.	**BALANCE AT END OF PERIOD** (SHOULD EQUAL ITEM 40)	**38000**	

SECTION C – INCOME STATEMENT

	REVENUE (net of applicable goods and services tax)		
71.	**Interest revenue from Canadian sources** (including amortization of discounts and premiums on investments)		
71.1	Bonds and debentures	45100	
71.2	Mortgages	45200	
71.9	Other	45800	
72.	**Dividends from Canadian corporations**	46000	
72.1.	**Income allocated from other investment funds**	78300	
73.	**Foreign dividend and interest revenue**		
73.1	Dividends	47100	
73.2	Interest (including amortization of discounts and premiums on investments)	47200	
74.	**Realized gains (losses) on the sale of assets** (before income taxes; include gains and losses on futures; report extraordinary items under item 96; also complete Supplementary Schedule A)	48000	
79.	**Other revenue**	49000	
80.	**TOTAL REVENUE**	**40000**	
	EXPENSES		
81.	**Interest expense**	53000	
89.	**Other expenses**	55000	
90.	**TOTAL EXPENSES**	**50000**	
91.	**Gains (losses) on the translation of foreign currency** (realized and unrealized; also complete Supplementary Schedule A)	56100	
92.	**Write-offs and valuation adjustments not classified as extraordinary** (report extraordinary items under item 96; also complete Supplementary Schedule A)	56200	
93.	**Income (loss) before income taxes and extraordinary items**	**58460**	
94.	**Canadian income taxes**	57000	
95.	**Income (loss) after income taxes**	**58470**	
96.	**Extraordinary gains (losses)** (net of income taxes; also complete Supplementary Schedule A)	58300	
100.	**NET INCOME (LOSS)** (transfer to item 52)	**58480**	

SUPPLEMENTARY QUESTION

A.	**Unusual revenues, expenses, gains/losses from continuing business operations** (reported in income statement)	74700	

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SUPPLEMENTARY SCHEDULE A: DISTRIBUTION OF REALIZED GAINS (LOSSES) AND WRITE-UPS (WRITE-DOWNS) BY ASSET – item numbers refer to corresponding balance sheet items

			Thousands of dollars
4.	**Canadian investments**		
4.3	Government of Canada debt	81310	
4.4	Provincial and municipal government debt	81320	
4.5	Corporate bonds and debentures	81330	
4.6	Corporate shares	81340	
4.6.1	Investment fund shares or units - Canadian	81370	
4.9	Other Canadian investments	81380	
5.	**Foreign investments**	81400	
6.	**Mortgage loans**	81500	
7.	**Non-mortgage loans**	81600	
8.	**Repossessed assets held for sale**	81710	
	Other assets and liabilities (please specify)	81800	
	TOTAL (should equal sum of items 74, 91, 92 and 96)	**81000**	

SUPPLEMENTARY SCHEDULE B: YEAR-END AND PRIOR YEAR'S ADJUSTMENTS

If this report covers your fourth fiscal quarter and the reported revenues and expenses include year-end adjustments (eg. adjustments from preliminary estimates to actual, or year-end accruals not made in the interim financial statements)

OR

If this report includes adjustments through retained earnings pertaining to the prior year's operations (eg. year-end adjustments of the prior year made after the prior year's fourth quarter report was prepared):

SPECIFY BELOW THE REVENUE OR EXPENSE ACCOUNTS AFFECTED BY THE ADJUSTMENTS AND THE AMOUNT OF INCREASE OR DECREASE.

Report only adjustments in excess of $500 thousand.

ITEM DESCRIPTION	ITEM NUMBER	INCREASE	DECREASE
		Thousands of dollars	

Approximately how many hours did you spend collecting the data and completing this questionnaire? 80005 _____ hours

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