

### Survey of Suppliers of Business Financing 2001

Confidential when completed.

Please provide your contact information below and correct pre-printed label information if necessary:

Legal Name:	
Business Name:	
No. & Street:	
City:	
Province:	
Postal Code:	

Please complete and return this questionnaire within 30 days of receipt.

### Introduction

### **AUTHORITY**

Collected under authority of the Statistics Act, Revised Statutes of Canada, 1985, Chapter S-19. Completion of this questionnaire is a legal requirement under this Act.

### **PURPOSE**

In response to recommendations made by a federal task force on the financial sector, the Government of Canada has committed to improving the information available about financing small and medium-sized enterprises (SME) in Canada.

Statistics Canada is conducting this survey to collect and report aggregate information on the financing of SME. The information you provide will be used in the preparation of these reports.

### CONFIDENTIALITY

Statistics Canada is prohibited by law from publishing any statistics which would divulge information obtained from this survey that relates to any identifiable business without the previous writer consent of that business. 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.

### RETURNING THIS QUESTIONNAIRE

Please complete this questionnaire within 30 days. Please follow the procedure outlined in the **Respondent reporting guide** to electronically send back your questionnaire. Thank you.

### FOR ASSISTANCE

Toll-free

If you require assistance in completing this questionnaire or if you have any comments or questions regarding this survey, please contact:

### Operations and Integration Division

Statistics Canada
Ottawa, Ontario
K1A OT6
Telephone:
613-951-0938
Toll-free
1-877-48)-8432
Fax:
613-951-9673

### Contact information

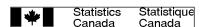
Please provide the name and title of the person who completed this questionnaire. We require this information for follow-up our poses. It is recommended that you keep a copy of this questionnaire for your records in case we require clarification about the information provided.

Name and title of the person who completed this questionnaire:

1-800-552-4428

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Name:	
Title:	
Telephone:	
Fax:	
Email:	
Date:	

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### Instructions

- \* Please read through the entire questionnaire before attempting to respond.
- \* You may only have to provide data in one or two sections of Sections B, C, D or E.
- \* All respondents must complete Section A.
- \* Please report for the consolidated enterprise that should include all consolidated branches, subsidiaries and affiliates located in Canada.
- \* Please report all dollar amounts in thousands of Canadian dollars.
- \* Your best estimates are acceptable when precise figures are not available.

If you require assistance in completing this questionnaire or if you have any comments or questions regarding this survey, please contact:

Operations and Integration Division Telephone: 613-951-0936 Statistics Canada Toll-free 1-877-481-8432 Ottawa, Ontario Fax: 613-951-9673 K1A OT6 Toll-free 1-800-552-4428

### **Definitions**

level:

clients:

leases

outstanding

the parent unit that independently directs and controls the allocation of resources and economic activities **Enterprise:** 

relating to operations in Canada; and for which accounting records provide a complete set of financial

statements.

the maximum amount of money that a client is permitted to borrow from a supplier under a certain instrument. Authorization

This may or may not be the amount that a client actually borrowed.

the authorization level of a client, aggregated over all clients falling into the particular size, instrument, industrial **Total amounts** 

authorized: or geographic category.

**Total amounts** the principal amount of money that a client has actually borrowed but not yet paid back, aggregated over all outstanding:

clients falling into the particular size, instrument, industrial or geographic category.

the number of businesses with an amount outstanding as of December 31, 2001, aggregated over all Total number of

businesses falling into the particular size, instrument, industrial or geographic category. It is not necessary to

unduplicate client counts between categories.

Lease size of client the original value of the lease provided to the client.

the original value of the lease, aggregated over all clients with lease amounts outstanding, falling into the Total value of

particular size, instrument, industrial or geographic category.

the amount of money that a client still owes on the lease, aggregated over all clients falling into the particular **Total lease** amounts

size instrument, industrial or geographic category.

Page 2

# A. General information

A1. What was the end date	of this enterprise's most	recently completed fiscal period?
End date		
End date	MM	YY
A2. What were the total ass	sets of this enterprise in (	Canada as of the end of the most recently completed fiscal period?
Total assets (\$000)		]
A3. Does this enterprise as renewing financing?	sk client businesses to pr	rovide the number of employees or an employment size when obtaining or
	Yes No (go to Question B1)	(Please indicate "Yes" with a "1" in cell A14) (Please indicate "No" with a "2" in cell A15)
A4. Please report the distri	bution of these client bus	sinesses by employment size.
Employment size	Total number of clients	Comments:
Zero employees		
1 to 4 employees		
5 to 19 employees		
20 to 49 employees		
50 to 99 employees		
100 to 499 employees		
500 or more employees		
Unknown		<u> </u>
Total		
		Page 3
	$\rightarrow$	

# **B.** Debt financing

B1. Did this enterprise have credit outstanding to client businesses in Canada as of December 31, 2001? Credit refers to all loans, mortgages, credit cards and related debt items that your enterprise provided to any business in Canada.

Yes (go to Question B3)
No (go to Question C1)

(Please indicate "Yes" with a "1" in cell A6) (Please indicate "No" with a "2" in cell A7)

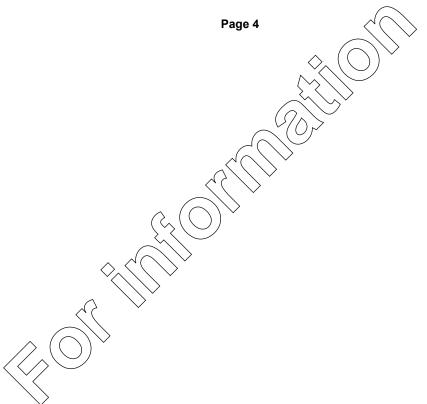
### Include:

- \* Term loans and mortgage loans
- \* Lines of credit and credit cards
- \* Umbrella credit
- \* Credit provided under government guarantees
- \* Credit provided by a subsidiary or an affiliate to client
- \* Credit provided to unrelated businesses only

### Exclude:

- \* Credit provided to a subsidiary or an affiliate
- \* Loans or mortgages that you have received
- \* Equity investments
- \* Credit provided through factoring, i.e. invoice discounting or purchases of receivables
- \* Leasing

B2. Please go to Question B3.



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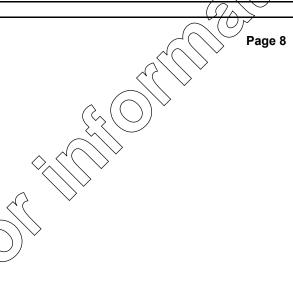
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B6. Please report actual losses (net of recoveries) during calendar year 2001 on credit to businesses in Canada by authorization level of client business. If actual losses are not available please report loss provisions.

Authorization level of client (report losses by the initial authorization levels)	Total losses (\$000)	Total number of clients (for losses only)
Less than \$25,000		
\$25,000 - \$49,999		
\$50,000 - \$99,999		
\$100,000 - \$249,999		
\$250,000 - \$499,999		
\$500,000 - \$999,999		
\$1,000,000 - \$4,999,999		
\$5,000,000 or more		
Total - all clients		

Comments:	
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### C. Equity Financing

December 31, 2001? SME are defined as have	estments in small- and medium-sized enterprises (SME) in Canada as of ing fewer than 500 employees. If reporting mutual fund activity, please do not the fund that provides private equity placements or venture capital financing.	
Yes	(Please indicate "Yes" with a "1" in cell A5)	

### Include:

- \* Financing provided to SMEs only (businesses with less than 500 employees)
- \* Venture capital
- \* Private placements
- \* Capital managed by this enterprise on behalf of others

No (go to Question D1)

\* Equity provided by a subsidiary or an affiliate to client businesses

### Exclude:

(Please indicate "No" with a "2" in cell A6)

- \* Equity provided to a subsidiary or an affiliate
- \* Shares purchased on an exchange
- \* Capital owned by this enterprise but managed by others
- \* Entire funds (unless the fund provides venture capital or makes private placements)
- \* Financing provided to large businesses (businesses with greater than 500 employees)

C2. Please report all direct equity investments in SME in Canada under management as of December 31, 2001.

	Venture capital	' '	Total
		and other	
Total capital under management (\$000)			
Total cost of the portfolio at book value (\$000)			
Estimated market value of the portfolio (\$000)		$\wedge$ ((	
Capital available for investment but not yet committed to an investee (\$000)			
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Comments:	
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# D. Factoring

D1. Did this enterprise provide factoring financing to client businesses in Canada as of December 31, 2001? Factoring financing activities include invoice discounting and purchases of receivables.

Yes (Please indicate "Yes" with a "1" in cell A5)
No (go to Question E1) (Please indicate "No" with a "2" in cell A6)

### Include:

- \* Invoice discounting
- \* Purchases of receivables
- \* Factoring provided by your subsidiary or an affiliate to client businesses
- \* Credit provided to unrelated businesses only

### Exclude:

- \* Credit provided to a subsidiary or an affiliate
- \* Credit provided without invoice discounting or purchases or receivables
- \* Securitization, Asset-backed securities of Special Purpose Trusts

### D2. Please go to Question D3.



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DA. Please report factoring financing provided to client client business and subsortzation level of client business cliedating definitions.	Police In the Control of Control	

D5. Please report actual losses (net of recoveries) during calendar year 2001 on factoring financing provided to client businesses in Canada by authorization level of client businesses. If actual losses are not available please report loss provisions.

Authorization level of client (report losses by the initial authorization levels)	Total losses (\$000)	Total number of clients (for losses only)
Less than \$25,000		
\$25,000 - \$49,999		
\$50,000 - \$99,999		
\$100,000 - \$249,999		
\$250,000 - \$499,999		
\$500,000 - \$999,999		
\$1,000,000 - \$4,999,999		
\$5,000,000 or more		
Total - all clients		

Comments:	
	$\Diamond_{\wedge}$ (( ))

Page 13

# E. Leasing

# E1. Did this enterprise have leases outstanding to client businesses in Canada as of December 31, 2001?

Yes (Please indicate "Yes" with a "1" in cell A5)
No (please go to Section F) (Please indicate "No" with a "2" in cell A6)

### Include:

- \* Leases on assets such as cars, trucks, machinery, equipment, computers and office equipment (fax machines, photocopiers, printers, etc.)
- \* Credit provided under government guarantees
- \* Leasing provided by a subsidiary or an affiliate to client businesses

### Exclude:

- \* Leases provided to a subsidiary or an affiliate
- \* Leases to individuals for non business purposes
- \* Leases on real estate and office space
- \* Short term rentals, i.e., less than one year

### E2. Please go to Question E3.



	Order number of determs	
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Management of companies and enterprises (55)								>		_															
Administration and waste management (56)								\		1.															
ducational services (61)								>		,					1	1				1					
fealth care and social assistance (62)						1			1	$\stackrel{ ightarrow}{\uparrow}$	>					1									-
Accommodation and food services (72)									\ \ \	?															
Other services except public administration (81)									^																
All other industries and/or unknown										/	/														
Total - all industries									<b>≯</b>		1														
AOf which: knowledge-based industries				L						//	+	H	L		L		L			L					
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# E5. Please report actual losses (net of recoveries) during calendar year 2001 on leases to client businesses in Canada by lease size of client businesses. If actual losses are not available please report loss provisions.

Lease size of client (report losses by the original value of the lease)	Total losses (\$000)	Total number of clients (for losses only)
Less than \$25,000		
\$25,000 - \$49,999		
\$50,000 - \$99,999		
\$100,000 - \$249,999		
\$250,000 - \$499,999		
\$500,000 - \$999,999		
\$1,000,000 - \$4,999,999		
\$5,000,000 or more		
Total - all clients		

Comments:	
	$\Diamond_{\lambda}((\ ))$

Rage 1

# F. Conclusion

F1. How long did you spend collecting the data and completing this questionnaire?
hours
Thank you for your co-operation in filling out this questionnaire.
Please keep a copy of the information provided in this questionnaire for your records and in case we require clarifications about the information provided.
If you have any comments concerning this survey please make note of them in the space below.
Comments:
$\Diamond_{\lambda}$
Thank you!

### North American Industry Classification System (NAICS)

### Agriculture (111, 112, 1151, 1152)

### 111 Crop Production This subsector compris

This subsector comprises establishments, such as farms, orchards, groves, greenhouses and nurseries, primar engaged in growing crops, plants, vines, trees and their seeds (excluding those engaged in forestry operations)

112 Animal Production
This subsector comprises establishments, such as ranches, farms and feedlots, primarily engaged in raising animals, producing animal products and fattening animals.

1151 Support Activities for Crop Production
This industry comprises establishments primarily engaged in providing support activities for growing crops.

1152 Support Activities for Animal Production
This industry comprises establishments primarily engaged in providing support activities related to raising livestock, including companion animals.

### Forestry, Fishing and Hunting (113, 114, 1153)

113 Forestry and Logging
This subsector comprises establishments primarily engaged in growing and harvesting timber on a long production cycle (of ten years or more).

114 Fishing, Hunting and Trapping
This subsector comprises establishments primarily engaged in harvesting fish and other wild animals from their

1153 Support Activities for Forestry
This industry comprises establishments primarily engaged in performing particular support activities, related to harvesting timber.

21 Mining and Oil and Gas Extraction
This sector comprises establishments primarily engaged in extracting naturally occurring minerals and engaged in exploration for minerals, development of mineral properties and mining operations.

22 Utilities
This sector comprises establishments primarily engaged in operating electric, gas and water utilities

23 Construction
This sector comprises establishments primarily engaged in constructing, repairing and renovating buildings and engineering works, and in subdividing and developing land.

31-33 Manufacturing
This sector comprises establishments primarily engaged in the physical or chemical transformation of materials or substances into new products.

41 Wholesale Trade
This sector comprises establishments primarily engaged in wholesaling merchandise and providing related logistics, marketing and support services. The wholesaling process is generally an intermediate step in the distribution of merchandise and is therefore organized to sell merchandise in large quantities to retailers, and business and

44-45 Retail Trade
This sector comprises establishments primarily engaged in retailing merchandise, generally without transformation, a rendering services incidental to the sale of merchandise. The retailing process is the final step in the distribution of merchandise and they are organized to sell merchandise in small quantities to the general public.

48-49 Transportation and Warehousing
This sector comprises establishments primarily engaged in transporting passengers and goods, warehousing and storing goods, and providing services to these establishments.

This sector comprises establishments primarily engaged in creating and disseminating information and cultural products, such as written works, musical works or recorded performances, recorded dramatic performances, software and information databases, or providing the means to disseminate them. Establishments that provide access to equipment and expertise to process information are also included. This sector includes publishing industries, software publishing, the motion pricture and sound recording industries, the broadcasting and telecommunications industries, at the information services and data processing industries.

52 Finance and Insurance
This sector comprises establishments primarily engaged in financial transactions (transactions involving the foreign injudiation, or change in ownership of financial assets) or in facilitating financial transactions.

53 Real Estate and Rental and Leasing
This sector comprises establishments primarily engaged in renting, leasing or other

54 Professional, Scientific and Technical Services
This sector comprises establishments primarily engaged in activities in which haven rapidal whe miser input
establishments make available the knowledge and skills of their employees, offection an assignment tests. The
components of this sector are legal services industries, accounting and related services industries, architecture
regineering and related services industries, surveying and mapping services industries, architecture
regineering and related services industries, surveying and mapping services industries, and advertising and related services industries, surveying and mapping services industries, surveying services industries, softific meeting and very services industries, and advertising services industries.

55 Management of Companies and Enterprises
This sector comprises establishments primarily engaged in managing companies, and enterprises and/or holding the securities or financial assets of companies and enterprises, for the purpose of owning a controlling interest in them and/or influencing their management decisions.

56 Administrative and Support, Waste Management and Remediation Services
Two different types of establishments are included lefter: those primarily engaged in activities that support the day-to-day operations of other organizations; and mobe primarily engaged in waste management activities.

### 61 Educational Services

This sector comprises establishments primarily engaged in or subjects. This instruction and training is provided by specialize and training centres ding instruction and training in a wide variety of establishments, such as schools, colleges, universities

62 Health Care and Social Assistance
This sector deprivace establishments primarily engaged in providing health care by diagnosis and treatment, providing residential care for medical and social reasons, and providing social assistance, such as counselling, welfare, child protection, commonly hosping and food services, vocational rehabilitation and child care, to those requiring such

71 Arts, Entertainment and Decreation
This sector comprises establishments primarily engaged in operating facilities or providing services to meet the
cultural, entertainment and recreational interests of their patrons. They produce, promote or participate in live
performances, events or exhibits intended for public viewing; provide the artistic, creative and technical skills necessified from the production of artistic products and live performances; preserve and exhibit objects and sites of historical,
cultural or educational interest, and operate facilities or provide services that enable patrons to participate in sports or
recreational activities or pursue amusement, robbies and dissure-time interview or provide services.

72 Accommodation and Food Services
This sector comprises establishments primarily engaged in providing short-term lodging and complementary services to travellers, vacationers and others, in facilities such as hotels, motor hotels, resorts, motels, casino hotels, bed and breakfast accommodation, housekeeping cottages and cabins, recreational vehicle parks and campgrounds, hunting and fishing camps, and various types of recreational and adventure camps.

81 Other Services (except Public Administration)
This sector comprises establishments, not classified to any other sector, primarily engaged in repairing, or performing general or routine maintenance, on motor whiches, machinery, equipment and other products to ensure that they work efficiently, providing personal care services, funeral services, sand price services and other services to individuals, such pet care services and proto finishing services; organizing and promoting religious activities; supporting various causes through grant-making, advocating (romoting) various social and political causes, and promoting and defending the interests of their members. Private households are also included.

### 91 Public Administration

This sector comprises establishments primarily engaged in activities of a governmental nature, that is, the enactment and judicial interpretation of laws and their pursuant regulations, and the administration of programs based on them.

### Knowledge-Based Industries (KBIs)

### Introduction

Knowledge based firms are considered backbone of the "new economy." They have been considered to be consistently outperforming the total economy in terms of growth and job creation since the 1970s. Because of their smaller size and the nature of their activities, they imply different challenges for traditional suppliers of finance. Typically, firms involved in pharmaceuticals, health biotech, new materials, telecommunications, information technology, software, medical equipment and avionics are considered to be in the knowledge-based industries. They have long product development cycles and their comparative advantage usually comes from innovative and creative people who make up the development team. These companies face particular financing challenges because of their lack of fixed assets, the difficulty that traditional lenders have in assessing their potential, and the unique operational risks they face. As a result of challenges faced by these firms in obtaining financing, we have been asked to undertake collection of data related to the knowledge based industries to see the extent of financing activities related to

### Definition for KBI

In 1996, based on research undertaken by Industry Canada and the Business Development Bank of Canada, a definition of knowledge-based industries (KBI) was developed using the Standard Industrial Classification (SIC). This has since been converted to the North American Industrial Classification System (NAICS). Since there was no single definition of KBI, Industry Canada proposed the use of a two-tiered categorization of industries that would be appropriate for identifying industries as KBI

- $^{\star}$  Tier I a narrow band of science and technology-based firms, composed of knowledge producers; and
- \* Tier II a broad band of "high knowledge" firms which, based on measures of research and development and knowledge worker inputs, could be considered to be business innovators and high-knowledge users

The Tier I group consists of technology firms involved in the following industries; these are some examples of the industries in this group.

Aerospace Products and Parts Audio and Video Equipment
Cable and Other Program Distribution Computer and Peripheral Equipment
Computer Systems Design and Related Services Data Processing Services Engineering and Life Sciences Environmental Consulting Services Motion Picture and Video Production Navigational and Guidance Instruments Pay and Specialty Television Pharmaceutical and Medicine Post-Production and Other Motion Picture and Video Industries

Radio

Research and Development in the Physical Satellite Communications
Semi-Conductor and Other Electronic Component Software Publishers Telecommunications Resellers Telephone Apparatus Television Broadcasting

Wireless Communications

The Tier II group consists of "high-knowledge" firms involved in the fo these are some examples of the industries in this group.

Adhesive Alkali and Chlorine Architectural Services Basic Inorganic Chemical Chemical Fertilizer (except Potash)

Custom Compounding of Purchased Resigs Electric Power Distribution Engineering Services and Drafting Services Explosives
Fossil-Fuel Electric Power Generation

Heating Equipment and Commercial Refrigeration Equipment Hydro-Electric Power Generation

Industrial and Commercial F Industrial Gas nd Air Purification Equipment

Industrial Gas
Material Handking Equipment
Mining and Joil and Gas Fleld Machivery
Mixed Fetilizer
Motor and Cenerator
Motor Vehicle and Electronic Equipment
Nuclear Power Generation

Paper Industry Machinery

Pesticide and Agricultural Chemical Petrochemical

Petroleum and Coal Products

Petroleum Refineries
Pipeline Transportation of Crude Oil

Pipeline Transportation of Natural Gas Pipeline Transportation of Refined Petroleum Products

Power Distribution and Specialty Transformers

Printing Ink

Pump and Compressor Relay and Industrial Control Apparatus

Resin and Synthetic Rubber Rubber and Plastics Industry Machinery

Sawmill and Woodworking Machinery Switchgear and Switchboard

Synthetic Dye and Pigment Turbine and Turbine Generator Sets Units