AAC Cost Basis Reporting Survey II - July 2011 Please complete the survey buestions require clarification, please contact Diane Butler at butler@ici.org ourvey Results	y July 15. If a 202-326-5850	ny of the sur).
1. Company name		
48 Responses		
2. Survey completion contact		
48 Responses		
Completion contact phone number		
48 Responses	the state of the s	e entre presenta en monte en entre en entre entre en entre entre en entre entre en entre entre entre entre en
Completion contact email address		
48 Responses		
		, , , ,
What is the primary distribution channel for your complex?		
Object to the second of the second process of the second o		1
irect sold	11	23%
ealer distributed	36	77%
irect sold		
rect sold ealer distributed Total	36	77%
rirect sold ealer distributed Total What is your transfer agency model?	36	77% 100%
rect sold ealer distributed Total What is your transfer agency model?	36	77%
irect sold ealer distributed Total What is your transfer agency model? ully external external except for customer intact points (e.g., call	36 47	77% 100%
irect sold ealer distributed Total What is your transfer agency model? Ully external external except for customer intact points (e.g., call inter)	36 47 14	77% 100% 30%
irect sold ealer distributed Total What is your transfer agency model? Ully external external except for customer intact points (e.g., call inter) ternal - proprietary system	36 47 14 16	77% 100% 30% 34%
rect sold ealer distributed Total What is your transfer agency model? ully external external except for customer intact points (e.g., call inter) ternal - proprietary system	36 47 14 16 4	77% 100% 30% 34% 9%
irect sold ealer distributed Total What is your transfer agency model? Ully external external except for customer intact points (e.g., call einter) ternal - proprietary system ternal - remote system	36 47 14 16 4 13	77% 100% 30% 34% 9% 28%
what is your transfer agency model? What is your transfer agency model? Ully external except for customer intact points (e.g., call inter) ternal - proprietary system Total	36 47 14 16 4 13 47	77% 100% 30% 34% 9% 28% 100%
ealer distributed Total What is your transfer agency model? Utly external except for customer intact points (e.g., call inter) ternal - proprietary system Total Has your organization selected a default cost basis reporting methodology for covered shares (e.g., shares acquired points)	36 47 14 16 4 13 47	77% 100% 30% 34% 9% 28% 100%
Direct sold Dealer distributed Total What is your transfer agency model? Fully external except for customer ontact points (e.g., call enter) Internal - proprietary system Internal - remote system Total	36 47 14 16 4 13 47	77% 100% 30% 34% 9% 28% 100%

verage cost		37	000
FIFO			90%
Other, please specify		2	5%
ester, picade openiy		2	5%
To the term of the	Total	41	100%
9. If you answered no t	o question 7, where is your organization leaning in terms of a default method selection?		
Average Cost		6	60%
FIFO		3	30%
Other, please specify		1	10%
NO. N. S. C.	Total	10	100%
		***************************************	J
LO. If you answered no	to question 7, what is your organization's internal deadline for selecting a default cost basis report	ting method?	
Jndecided		2	20%
luly 2011		3	30%
August 2011		2	20%
September 2011		3	30%
October 2011		0	0%
lovember 2011		0	0%
December 2011		0	0%
Other, please specify		0	0%
1 30 MM 1	Total	10	100%
If a shareholder election information?	cts average cost, will you offer the single account election to combine pre- and post- effective date	shares where you ha	ve accurate cost b
es		4	8%
lo		34	71%
Indecided		10	21%
	Total	48	
***	TOTAL		100%
2. For shareholders the	at elect or are defaulted to average cost as their basis method, do you plan to extend the revocation as permitted in the final regulations?	n/change period beyo	and one year from
is a result of the man result where the	as permitted in the final regulations?	e district a successive probability we may be a	HARRING STOLEN AND CO. SOME STANDING SERVICES
es	ASSESSED.	34	71%
0		2	4%
	STATES AND		

Undecided

25%

100%

12

48

Total

13. If you answered yes to question 12, when will the revocation/change period for shareholders with the average cost basis method expire?

At first redemption of covered shares		29	85%
Earlier of 18 months (from date of election) or first redemption (of covered shares)		1	3%
Earlier of 2 years or first redemption		0	0%
Earlier of 3 years or first redemption		0	0%
Earlier of 4 years or first redemption		0	0%
Earlier of 5+ years or first redemption		0	0%
Other, please specify		4	12%
	Total	34	100%

14. Has your organization established a policy for what constitutes an electronic writing from a shareholder for the purposes of revoking, changing, or making a new average cost election?

Yes	32	68%
No Control of the Con	6	13%
Undecided	9	19%
Tota	47	100%

15. If you answered yes to question 14, what types of communication, both electronic and hard copy, will you accept from shareholders that would like to revoke, change, or make a new average cost election? (check all that apply)

Hard copy letter of instruction	31	97%
Form designed by fund	31	97%
Facsimile	25	78%
Secure email	8	25%
Secure website instruction	25	78%
VRU instruction	0	0%
Instruction over a recorded telephone line	1	3%
Other, please specify	3	9%

Will you accept cost basis information from shareholders or other 3rd parties when you are not required to by the final rules*, as long as the information meets the accuracy standard set forth in the rules (i.e., you neither know nor have reason to know that the information is incorrect)? *The final rules require the broker to accept cost basis information from estate representatives for inherited shares. (may select more than one answer)

Yes, for covered shares		21	44%
Yes, for non-covered shares		13	27%
No		2	4%
Undecided		25	52%
Other, please specify	- Secretary	3	6%

17. When transferring	g shares to another fund or broker, do you plan to include cost basis information on non-covered sh	ares?	
′es		13	27%
No		18	38%
Jndecided		17	35%
12 2 4 M 13 2 Noncorres 14 My 1991	Total	48	100%
es 0		4	69% 8%
8. For fund controll	ed/direct at fund accounts, will you accept cost basis instructions (e.g., method elections, lot selection holder, if the investment adviser has the authority to transact on the account?	ns, etc.) from an inves	stment adviser on
o		4	8%
Indecided		11	23%
	Total	48	100%
es o	o you plan to voluntarily provide cost basis information to shareholders* for pre-effective date/non-co lan single account average cost.	vered shares? *For th 29	ose shareholders 60% 15%
After 1/1/2012, do a method other the es	o you plan to voluntarily provide cost basis information to shareholders* for pre-effective date/non-collan single account average cost.	29	60%
es	o you plan to voluntarily provide cost basis information to shareholders* for pre-effective date/non-collan single account average cost.	29 7	60%
es o ndecided	lan single account average cost.	29 7 12	60% 15% 25%
es o ndecided	Total	29 7 12	60% 15% 25%
es o ndecided If you answered y	Total	29 7 12 48	60% 15% 25% 100%
es o ndecided If you answered y 999B and alone cost basis	Total	29 7 12 48	60% 15% 25% 100%

1099B		15	47%
Stand alone cost basis statement		11	34%
Other, please specify		6	19%
	Total	32	100%
			Ann i was i inaman sana ii ii i

Yes		14	42%
No Company of the Com		4	12%
Jndecided Control of the Control of		15	45%
	Total	33	100%

Are you planning to voluntarily track cost basis on accounts exempt from 1099B reporting (e.g., retirement accounts) or on accounts where another entity is responsible for the cost basis reporting (e.g., broker controlled accounts)? (select all that apply) 22. Top number is the count of respondents selecting the

Bottom % is percent of the total respondents selecting the option.	Yes	No	Undecided
Retirement plan accounts (IRAs, etc.)	4 8%	40 83%	4 8%
NSCC Networking Matrix Level 3 accounts	3	39	5

	6%	83%	and the second s
her account types	3 7%	31 67%	
If you chose 'yes'	for 'Other account types' in question 22, please specify.		
may a say a summar and a say to the lower say a summar summar summar summar summar summar summar summar summar	5 Responses	A P C C C C C C C C C C C C C C C C C C	
4. Do you plan to use	e DTCC's Cost Basis Reporting Service (CBRS) to send and receive cost basis information	on transfers?	
es		45	96%
O		0	0%
ndecided		2	4%
was a sure of the	Tota	al 47	100%
5. If you answered ye	es to question 24, when do you plan to begin using CBRS?		
1 2011	Control of the Contro	11	24%
nuary 2012		32	71%
bruary 2012		0	0%
arch 2012		0	0%
	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1		
iher, please specify		2	4%
her, please specify	Tota		4% 100%
« · · · · · · · · · · · · · · · · · · ·	Total did to send the initial solicitation to existing corporate shareholders to identify S Corporations	l 45	and the second second second
6. When do you inten	id to send the initial solicitation to existing corporate shareholders to identify S Corporations	l 45	and the second second second
5. When do you inten eady sent - Q1 2011 eady sent - Q2 2011		l 45 ?	100%
6. When do you inten eady sent - Q1 2011 eady sent - Q2 2011 y 2011	id to send the initial solicitation to existing corporate shareholders to identify S Corporations	?	100%
6. When do you inten eady sent - Q1 2011 eady sent - Q2 2011 y 2011 gust 2011	id to send the initial solicitation to existing corporate shareholders to identify S Corporations	? 0 10	0% 21%
6. When do you inten eady sent - Q1 2011 eady sent - Q2 2011 y 2011 gust 2011	nd to send the initial solicitation to existing corporate shareholders to identify S Corporations	? 0 10 6	0% 21% 12%
S. When do you inten eady sent - Q1 2011 eady sent - Q2 2011 y 2011 gust 2011 ptember 2011 tober 2011	id to send the initial solicitation to existing corporate shareholders to identify S Corporations	?	100% 0% 21% 12% 29%
When do you inten eady sent - Q1 2011 eady sent - Q2 2011 y 2011 gust 2011 ptember 2011 tober 2011 vember 2011	d to send the initial solicitation to existing corporate shareholders to identify S Corporations	? 0 10 6 14 14	100% 0% 21% 12% 29% 29%
When do you inten eady sent - Q1 2011 eady sent - Q2 2011 y 2011 gust 2011 ptember 2011 tober 2011 vember 2011	d to send the initial solicitation to existing corporate shareholders to identify S Corporations	9 0 10 6 14 14 2	100% 0% 21% 12% 29% 29% 4%
When do you inten eady sent - Q1 2011 eady sent - Q2 2011 y 2011 gust 2011 ptember 2011 tober 2011 ember 2011 cember 2011	nd to send the initial solicitation to existing corporate shareholders to identify S Corporations	? 0 10 6 14 14 2 0	100% 0% 21% 12% 29% 29% 4% 0%
When do you inten eady sent - Q1 2011 eady sent - Q2 2011 y 2011 gust 2011 ptember 2011 tober 2011 ember 2011 cember 2011	d to send the initial solicitation to existing corporate shareholders to identify S Corporations	9 0 10 6 14 14 2 0 1 1 1	100% 0% 21% 12% 29% 29% 4% 0% 2%
When do you inten eady sent - Q1 2011 eady sent - Q2 2011 y 2011 gust 2011 ptember 2011 tober 2011 ember 2011 cember 2011	d to send the initial solicitation to existing corporate shareholders to identify S Corporations	? 0 10 6 14 14 2 0 1 1	100% 0% 21% 12% 29% 29% 4% 0% 2%
When do you inten ready sent - Q1 2011 ready sent - Q2 2011 ready sent -	d to send the initial solicitation to existing corporate shareholders to identify S Corporations	9 0 10 6 14 14 2 0 1 1 1	100% 0% 21% 12% 29% 29% 4% 0% 2% 2%
When do you inten ready sent - Q1 2011 ready sent - Q2 2011 ready sent -	d to send the initial solicitation to existing corporate shareholders to identify S Corporations	9 0 10 6 14 14 2 0 1 1 1	100% 0% 21% 12% 29% 29% 4% 0% 2% 2%
When do you intented the seady sent - Q1 2011 eady sent - Q2 2011 y 2011 gust 2011 ptember 2011 tober 2011 cember 2011 ner, please specify Do you plan to re-so	d to send the initial solicitation to existing corporate shareholders to identify S Corporations	? 0 10 6 14 14 2 0 1 1 48	100% 0% 21% 12% 29% 29% 4% 0% 2% 100%
When do you intented the seady sent - Q1 2011 ready sent - Q2 2011 ready	d to send the initial solicitation to existing corporate shareholders to identify S Corporations	? 0 10 6 14 14 2 0 1 1 1 48	100% 0% 21% 12% 29% 29% 4% 0% 2% 100%

28. Are you doing research to narrow the list of corporate shareholders to receive the S corp solicitation?

Yes	And the second section of the second section of the second section of the second section of the second section	34	71%
No		12	25%
Undecided		2	4%
	Total	48	100%

What areas within your organization will receive CBR training? Please answer for both general CBR concepts/ requirements, and for specific CBR processes and procedures. (check all that apply)

Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	General CBR Concepts/Requirements	Specific CBR Processes/Procedures	Both General & Specific CBR Training	N/A
Call Center	1	2	37	5
	2%	4%	82%	11%
Correspondence	0 0%	2 5%	30 68%	12 27%
Operations	1	3	34	8
	2%	7%	74%	17%
Legal/compliance	19	2	14	10
	42%	4%	31%	22%
Sales/marketing	35	0	3	7
	78%	0%	7%	16%
Senior level management	35	0	4	6
	78%	0%	9%	13%
Tax department	5	3	25	12
	11%	7%	56%	27%
All of the above	0	0	3	23
	0%	0%	12%	88%

For those areas within your organization that will receive training on mandatory cost basis reporting, as identified in question 29, when will they receive the training? (check all that apply)

Already trained	Date tbd	July 2011	August 2011	September 2011	October 2011	November 2011	December 2011	9	N/A
5	3	4	6	8	4	6	0	0	4
12%	8%	10%	15%	20%	10%	15%	0%	0%	10%
3	4	3	6	5	4	3	0	0	11
8%	10%	8%	15%	13%	10%	8%	0%	0%	28%
4	5	3	5	4	6	6	0	0	7
10%	12%	8%	12%	10%	15%	15%	0%	0%	18%
6	5 :	3	5	3	6	3	1	0	8
15%	12% :	8%	12%	8%	15%	8%	2%	0%	20%
4	6	4	5	4	5	4	0	0	7
10%	15%	10%	13%	10%	13%	10%	0%	0%	18%
5	6	3	5	5	4	6	1	0	5
12%	15%	8%	12%	12%	10%	15%	2%	0%	12%
5	6	2	5	5	1	6	0	0	9 23%
13%	15%	5%	13%	13%	3%	15%	0%	0%	
0	2	2	3	1	2	1	3	0	17
0%	6%	6%	10%	3%	6%	3%	10%	0%	55%
	5 12% 3 8% 4 10% 6 15% 4 10% 5 12% 5 13%	5 3 12% 8% 3 4 8% 10% 4 5 10% 12% 6 5 15% 12% 4 6 10% 15% 5 6 12% 15% 5 6 13% 15%	5 3 4 12% 8% 10% 3 4 3 8% 10% 8% 4 5 3 10% 12% 8% 6 5 3 15% 12% 8% 4 6 4 10% 15% 10% 5 6 3 12% 15% 8% 5 6 2 13% 15% 5% 0 2 2	5 3 4 6 12% 8% 10% 15% 3 4 3 6 8% 10% 8% 15% 4 5 3 5 10% 12% 8% 12% 6 5 3 5 15% 12% 8% 12% 4 6 4 5 10% 15% 10% 13% 5 6 3 5 12% 15% 8% 12% 5 6 2 5 13% 15% 5% 13% 0 2 2 3	5 3 4 6 8 12% 8% 10% 15% 20% 3 4 3 6 5 8% 10% 8% 15% 13% 4 5 3 5 4 10% 12% 8% 12% 3 6 5 3 5 3 15% 12% 8% 12% 8% 4 6 4 5 4 10% 15% 10% 13% 10% 5 6 3 12% 5 5 12% 15% 8% 12% 12% 5 6 2 5 5 5 13% 15% 5% 13% 13% 0 2 2 3 1	5 3 4 6 8 4 12% 8% 10% 15% 20% 10% 3 4 3 6 5 4 10% 10% 8% 15% 13% 10% 4 5 3 5 4 6 10% 12% 8% 12% 10% 15% 6 5 3 5 3 6 15% 12% 8% 12% 8% 15% 4 6 4 5 4 5 10% 15% 10% 13% 10% 13% 12% 15% 8% 12% 5 4 5 12% 15% 8% 12% 12% 10% 13% 15% 5 5 5 1 13% 15% 5% 13% 13% 3% 0 2 2 3 1 2	12% 8% 10% 15% 20% 10% 15% 3 4 3 6 5 4 3 8% 10% 8% 15% 13% 10% 8% 4 5 3 5 4 6 6 10% 12% 8% 12% 10% 15% 15% 6 5 3 5 3 6 3 15% 12% 8% 12% 8% 15% 8% 4 6 4 5 4 5 4 5 4 10% 15% 10% 13% 10% 13% 10% 13% 10% 5 6 3 5 5 5 4 6 6 12% 15% 8% 12% 12% 10% 13% 10% 5 6 3 5 5 5 4 6 12% 15% 8% 12% 12% 10% 15% 5 6 3 5 5 5 1 6 13% 15% 5 5 5 1 6	12% 8% 10% 15% 20% 10% 15% 0% 0% 10% 15% 0% 0% 15% 10% 15% 0% 0% 15% 10% 15% 0% 0% 15% 10% 15% 0% 0% 15% 10% 15% 0% 0% 15% 12% 8% 12% 10% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 15% 8% 10% 15% 0% 15% 0% 15% 15% 15% 10% 15% 10% 15% 0% 15% 15% 15% 15% 15% 15% 10% 15% 0% 15% 15% 15% 15% 15% 15% 10% 15% 0% 15% 15% 15% 15% 15% 15% 0% 15% 15% 15% 0% 15% 15% 15% 0%	12% 8% 10% 15% 20% 10% 15% 0% 0% 0% 0% 0% 10% 15% 0% 0% 0% 0% 0% 0% 0% 0% 0% 0% 0% 0% 0%

	0 0%	9%	5%	0 0%	0 0%	1 5%	3 14%	0 0%	0 0%
2000 CO. 100 C	eren province according a troping and		**************************************		e en	marian zermi komuna		1 w . William was singe a street, a	Carlo
31. Are you planning	ng to create a de	edicated team t	o field CBR qu	uestions?					
Already established				200 N. N. N. P. H. D. T. T.		44 . 34334 av av . 4		6	12%
Yes		Andrew Commence of the Commenc)		Colomo aces — Constituir in	A 1 1991 (AND 24 11 12)		10	21%
No	· · · · · · · · · · · · · · · · · · ·	THE STATE OF THE S	**************************************			***************************************		26	54%
Undecided		ACC - PA (MINISTER PAR PAR PARAPACE AS THEM SOME HE PA	Y ME PAR Y IN MERCENNO MARKET LA INC.	Or mahamer or a Ref. West conserver of	N. S. SALMIE J. J. L.			6	12%
	······································	er er mane en en en en	e C.	AV + 16.4 / 1 + 16.4		T:	otal	48	100%
	17	The second secon		1 M 100 M 1 No 100 1 1 10	***************************************			A . 14-1-1 - 17 x 411 2 2 2 2 2	
32. Does your orga	nization plan to	add staff to sur	pport the cost I	pasis reporting r	equirements?				
Yes					equirements:	***************************************			400/
No		3M ************************************		······································		· · · · · · · · · · · · · · · · · · ·	· · · · · · · · · · · · · · · · · · ·	5	10%
Jndecided		er en eren min war er er er er dinn						32	67%
manner i manner i s o mo		water of televiller was men because	. y					11	23%
		Marie de Company		***************************************		Тс	otal	48	100%
23-Q4 2011	**************************************	er ever our money on a court of	marana a ja jajan jarana ana jajan ana ana	Thronia about a portugue and a second				4	57%
Already hired		**************************************			* * * *** *****	**** * / * // // //		0	0%
		** ***** *** *** ***** ***	mineral a la lama language and a second and a second	Through the series of personal series of the				4	57%
Q1-Q2 2012				t t Noteman comes a	Man 2 / 1/2 /2/// / / 1/2	****		0	0%
	· · · · · · · · · · · · · · · · · · ·	A CCC & Co. Sumbress co.							
Q3-Q4 2012	7 1 1 7 1 4 4 1 No. 1 No. 1 No. 2 No	No. 1. Company of the second s	(mass) ((1)) s) (mm) (()) (a) (a	N. Seem restrict Commences				0	0%
Q3-Q4 2012						F. 11. C. 1. S. 11. S.		3	0% 43%
Q3-Q4 2012						To	tal	the state of the time and appears	
Q3-Q4 2012 Q1-Q2 2013	yes to question	32, in which of	f your business	s areas will you a	add staff? (check			3	43%
Q3-Q4 2012 Q1-Q2 2013 34. If you answered	yes to question	32, in which of	your business	s areas will you a	add staff? (check			3	43%
Q3-Q4 2012 Q1-Q2 2013 34. If you answered Call center	yes to question	32, in which of	f your business	areas will you a	add staff? (check			3 7	43% 100%
Q3-Q4 2012 Q1-Q2 2013 34. If you answered Call center	yes to question	32, in which of	your business	s areas will you a	add staff? (check			3 7	43% 100%
Q3-Q4 2012 Q1-Q2 2013 34. If you answered Call center Correspondence Operations	yes to question	32, in which of	f your business	s areas will you a	add staff? (check			3 7 4 2	43% 100% 67% 33%
Q3-Q4 2012 Q1-Q2 2013 34. If you answered Call center Correspondence Operations egal/compliance	yes to question	32, in which of	f your business	s areas will you a	add staff? (check			3 7 4 2	43% 100% 67% 33% 33%
Q3-Q4 2012 Q1-Q2 2013 34. If you answered Call center Correspondence Operations egal/compliance broker services	yes to question	32, in which of	your business	s areas will you a	add staff? (check			3 7 4 2 2	43% 100% 67% 33% 33% 0%
Q3-Q4 2012 Q1-Q2 2013 34. If you answered Call center Correspondence Operations egal/compliance Groker services Systems	yes to question	32, in which of	your business	s areas will you a	add staff? (check			3 7 7 4 2 2 0 0 0	43% 100% 67% 33% 33% 0%
Q3-Q4 2012 Q1-Q2 2013 34. If you answered Call center Correspondence Operations egal/compliance proker services systems ax	yes to question	32, in which of	your business	s areas will you a	add staff? (check			3 7 4 2 2 0 0	43% 100% 67% 33% 0% 0%
Q3-Q4 2012 Q1-Q2 2013	yes to question	32, in which of	your business	s areas will you	add staff? (check			3 7 7 4 2 2 0 0 0 0 2 2 2 2	43% 100% 67% 33% 33% 0% 0% 0% 33% 33%
Q3-Q4 2012 Q1-Q2 2013 34. If you answered Call center Correspondence Operations Legal/compliance Broker services Systems Fax Dedicated CBR team	yes to question	32, in which of	your business	s areas will you a	add staff? (check			3 7 4 2 2 0 0 0	43% 100% 67% 33% 33% 0% 0% 0% 33%
Q3-Q4 2012 Q1-Q2 2013 34. If you answered Call center Correspondence Operations Legal/compliance Broker services Systems Fax Dedicated CBR team Other, please specify						all that apply)		3 7 7 4 2 2 0 0 0 0 2 2 2 2	43% 100% 67% 33% 33% 0% 0% 33% 33% 33%
Q3-Q4 2012 Q1-Q2 2013 B4. If you answered Call center Correspondence Operations egal/compliance Groker services Gystems Fax Dedicated CBR team Other, please specify						all that apply)		3 7 7 4 2 2 0 0 0 0 2 2 2 0 0	43% 100% 67% 33% 33% 0% 0% 33% 33% 33%

3%	0	0%
4%	0	0%
5%	0	0%
Other, please specify	3	60%
Total	5	100%

36. Please select all media types that will be used to communicate general cost basis information (e.g., what the cost basis reporting rules require) to fund shareholders. (check all that apply)

Statement insert	42	88%
New account application	41	85%
Redemption or exchange form	27	56%
Separate mailing	31	65%
Tax guide	26	54%
Prospectus	26	54%
Voice response unit (VRU)	11	23%
Website	45	94%
Fund portal		25%
Jndecided	2	4%
N/A	0	0%
Other, please specify	4	8%

37. Please select all media types that will be used to communicate fund policies for cost basis reporting (e.g., fund default method, standing instruction methods supported, etc.) to fund shareholders. (check all that apply)

Statement insert	31	65%
New account application	40	83%
Redemption or exchange form	28	58%
Separate mailing	30	62%
Tax guide	21	44%
Prospectus	30	62%
Voice response unit (VRU)	9	19%
Website	42	88%
Fund portal	9	19%
Undecided	4	8%
N/A	0	0%
Other, please specify	6	12%

Please select all media types that will be used to communicate the confirmation of customer elections of a basis method other than the fund's default method to fund shareholders. (check all that apply)

Customer statement	29	60%
5-10-10-10-10-10-10-10-10-10-10-10-10-10-		
	26	54%

Trade confirm		
New account confirm	26	54%
Separate mailing	3	6%
Website	22	46%
Fund portal	5	10%
Undecided	11	23%
N/A	0	0%
Other, please specify	6	12%

39. Please select all media types that will be used to communicate the confirmation of a customer's specific ID instruction on a redemption to fund shareholders. (check all that apply)

Customer statement	23	50%
Trade confirm	29	63%
Separate mailing	3	7%
Website	14	30%
Fund portal	1	2%
Undecided	11	24%
V/A	0	0%
Other, please specify	4	9%

40. When a shareholder redeems shares, are you planning to provide cost basis information to the shareholder on documents in addition to the 1099B?

Yes		24	50%
No		12	25%
Undecided		12	25%
	Total	48	100%

41. If you answered yes to question 40, on what additional document(s) are you planning to provide cost basis information to the shareholder? (check all that apply)

Transaction confirmation	. 14	58%
Quarterly statement	16	67%
Other, please specify	7	29%

42. When do you plan to begin providing updated versions of each type of media, which include cost basis reporting information? (check all that apply)

Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.	Date tbd	July 2011	August 2011	September 2011	October 2011	November 2011	December 2011	Q1 2012	N/A
Customer statement	6 13%	0 0%	0 0%	1 2%	1 2%	0 0%	3 6%	34 72%	2 4%

TAAC Cost Basis Reporting Survey II - July 2011 Please complete the survey by July 15. If any of th... Page 10 of 10

Statement insert	7	6	0	9	13	0	2	4	6
	15%	13%	0%	19%	28%	0%	4%	9%	13%
Trade confirm	6	0	0	1	0	2	2	32	5
	12%	0%	0%	2%	0%	4%	4%	67%	10%
New account application	9 19%	0 0%	4 8%	8 17%	7 15%	6 12%	6 12%	8 17%	0
Redemption of exchange form	8 17%	0 0%	0 0%	1 2%	3 6%	2 4%	6 13%	20 43%	7 15%
Separate	5	0	5	12	4	5	0	3	14
mailing on CBR	10%	0%	10%	25%	8%	10%	0%	6%	29%
Prospectus	9 20%	2 4%	1 2%	0	1 2%	3 7%	6 13%	17 38%	6 13%
Website	6	6	3	5	10	3	8	3	2
	13%	13%	7%	11%	22%	7%	17%	7%	4%
Fund portal	5	0	1	1	5	1	2	2	27
	11%	0%	2%	2%	11%	2%	5%	5%	61%
VRU	8	0	1	1	4	1	3	5	20
	19%	0%	2%	2%	9%	2%	7%	12%	47%



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