

Securities Information Center

ELECTRONIC INQUIRY/REPORTING:

NOTE ON SIC CERTIFICATE NUMBER FORMATS

February 10, 2006

The field called the SIC Certificate Number is a specially formatted version of the full certificate number. For ease and speed of inquiry, SIC maintains the numeric certificate number on the database as the right-most numeric portion only (with alphabetic and any special characters removed). Whenever SIC requests this numeric portion of the certificate number (Web, Inquiry, Electronic Reporting/Inquiry), customers need to understand how to extract it from the full certificate number, according to the following requirements.

A full certificate number is allowed up to 15 characters on the SIC database and may include: digits (0-9) and alphabetic characters (A-Z). In addition, dashes (-) and/or spaces may be used to separate groupings of characters (e.g. prefix, number, suffix).

The SIC Certificate Number is the right-most set of digits in the full certificate number and must be distinguished from the alpha-numeric prefix and infrequently-used alpha suffix. The SIC Certificate Number is obtained by examining the full certificate number from right to left, skipping trailing suffix alpha characters (if any), extracting each numeric digit (ignoring dashes or spaces) until the first alphabetic character (right-most character of prefix) is encountered. The SIC Certificate Number, extracted from the full certificate number, may be up to 11 numeric digits and should be right-justified and zero-filled on the left.

For purposes of comparing full certificate numbers, a "comparison" full certificate number is used. This is an extract from the full certificate number provided by the reporting or inquiring institution which eliminates any non-alpha-numeric characters and leading zeros in the numeric portion, in order to eliminate extraneous differences between the reported full certificate number and the inquired full certificate number, which are often introduced by manual entry or data processing systems. The full certificate number input by the user or on file will be reduced by first extracting any alphanumeric characters to the left of the numeric portion (SIC certificate number) into the comparison certificate string (left-justified), skipping leading zeros in the numeric portion, and finally moving in all remaining digits and any alpha suffix. In this standard reduced comparison form, two full certificate numbers may be compared for a match.

Examples of Full Certificate Numbers and their associated numeric SIC Certificate Number and the Stored Full Certificate Number follow:

EXAMPLES

	<u>Full Certificate Number</u>	<u>SIC Certificate Number</u>	<u>Comparison Certificate Number</u>
1	RI3-3740	00000033740	RI33740
2	64MP7743	00000007743	64MP7743
3	1731621SF	00001731621	1731621SF
4	90782	00000090782	90782
5	XA1210-3821	00012103821	XA12103821
6	H 1231 A	00000001231	H1231A
7	DU- 709628	00000709628	DU709628
8	212-427	00000212427	212427
9	023 267569	00023267569	23267569
10	N-54865	00000054865	N54865
11	UJ 01077401	00001077401	UJ1077401
12	001-9464	00000019464	19464
13	ESS 153810	00000153810	ESS153810
14	NYTF050909	00000050909	NYTF50909
15	C00004539	00000004539	C4539
16	18F 00001837	00000001837	18F1837
17	P-00233436	00000233436	P233436
18	ZQ8-083097	00080830973	ZQ80830973
19	NC 027125	00000271253	NC271253
20	8- 1583611	00081583611	81583611