















The 13f Form properties

Below are 13F form properties with example values set at either portfolio or entity level which will dictate how the forms will populate

	IsInvestmentManager13F ReportingEligible	InvestmentManager13F	InvestmentManager 13FAffiliation	InvestmentDiscretion13FUS	VotingAuthority13FUS
  FundApps AM Ltd	TRUE				
  Entity2	TRUE		UnaffiliatedInclude		
 Portfolio 3	TRUE	Entity2	UnaffiliatedInclude	DFND	SHARED
 Portfolio 4	TRUE	Entity2	UnaffiliatedInclude	DFND	NONE
  Entity1	TRUE				
 Portfolio 2	TRUE	Entity1	Affiliated	DFND	SOLE
 Portfolio 1	TRUE	Entity1	Affiliated	DFND	SOLE
  Entity3	FALSE				
 Portfolio 5	FALSE	Entity3	Affiliated	DFND	SOLE
 Portfolio 6	TRUE	FAAM	Affiliated	SOLE	SOLE

	IsInvestmentManager13F ReportingEligible	InvestmentManager13F	InvestmentManager 13FAffiliation	InvestmentDiscretion13FUS	VotingAuthority13FUS
FundApps AM Ltd	TRUE				
Entity2	TRUE		UnaffiliatedInclude		
Portfolio 3	TRUE	Entity2	UnaffiliatedInclude	DFND	SHARED
Portfolio 4	TRUE	Entity2	UnaffiliatedInclude	DFND	NONE
Entity1	TRUE				
Portfolio 2	TRUE	Entity1	Affiliated	DFND	SOLE
Portfolio 1	TRUE	Entity1	Affiliated	DFND	SOLE
Entity3	FALSE				
Portfolio 5	FALSE	Entity3	Affiliated	DFND	SOLE
Portfolio 6	TRUE	FAAM	Affiliated	SOLE	SOLE

RuleName	Key	Country Code	Value
13F	x	x	x
Major: US - 13F		US	5,056,656,579.374
Major: US - 13F - Eligibility	Entity1	US	68,847,597.389
Major: US - 13F - Eligibility	Entity2	US	2,493,904,490.992
Major: US - 13F - Eligibility	Entity3	US	1,246,952,245.496
Major: US - 13F - Eligibility	FAAM	US	1,246,952,245.496

- The property **IsInvestmentManager13F-ReportingEligible** decides whether a manager should be separately listed in the 13f from as **Other Managers**. This would be the case if the manager manages less than 100,000,000 USD. For this check we use the Eligibility rule.

	IsInvestmentManager13F ReportingEligible	InvestmentManager13F	InvestmentManager 13FAffiliation	InvestmentDiscretion13FUS	VotingAuthority13FUS
FundApps AM Ltd	TRUE				
Entity2	TRUE		UnaffiliatedInclude		
Portfolio 3	TRUE	Entity2	UnaffiliatedInclude	DFND	SHARED
Portfolio 4	TRUE	Entity2	UnaffiliatedInclude	DFND	NONE
Entity1	TRUE				
Portfolio 2	TRUE	Entity1	Affiliated	DFND	SOLE
Portfolio 1	TRUE	Entity1	Affiliated	DFND	SOLE
Entity3	FALSE				
Portfolio 5	FALSE	Entity3	Affiliated	DFND	SOLE
Portfolio 6	TRUE	FAAM	Affiliated	SOLE	SOLE

Report Summary:

Number of Other Included Managers: 3
 Form 13F Information Table Entry Total: 44
 Form 13F Information Table Value Total: 7,056,642
 (thousands)

List of Other Included Managers:

Provide a numbered list of the name(s) and Form 13F file number(s) of all institutional investment managers with respect to which this report is filed, other than the manager filing this report.
 [If there are no entries in this list, state "NONE" and omit the column headings and list entries.]

No.	Form 13F File Number	Name	CIK
1	E1FILE	Entity1	E1CIK
2	E2FILE	Entity2	E2CIK
3	67890	FAAM	12345

- After looking at the results of the Eligibility rule, and IsInvestmentManager13F is set to TRUE you can see that these entities will appear under the 'List of Other Included Managers'.

VotingAuthority13FUS

InvestmentManager13F

InvestmentDiscretion13FUS

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549
FORM 13F

FORM 13F INFORMATION TABLE

OMB APPROVAL	
OMB Number:	
Expires:	
Estimated average burden hours per response:	




COLUMN 1 NAME OF ISSUER	COLUMN 2 TITLE OF CLASS	COLUMN 3 CUSIP	COLUMN 4 VALUE (x\$1000)	COLUMN 5			COLUMN 6 INVESTMENT DISCRETION	COLUMN 7 OTHER MANAGER	COLUMN 8 VOTING AUTHORITY		
				SHRS OR PRN AMT	SH/ PRN	PUT/ CALL			SOLE	SHARED	NONE
3M CO	COM	88579Y101	4132	413213	SH		DFND	1	413213	0	0
3M CO	COM	88579Y101	500000	50000000	SH		DFND	2	0	25000000	25000000
3M CO	COM	88579Y101	250000	25000000	SH		SOLE	3	25000000	0	0
3M CO	COM	88579Y101	250000	25000000	SH		SOLE	-	25000000	0	0
ABB LTD	SPONSORED ADR	000375204	5619	202479	SH		DFND	1	202479	0	0
ABB LTD	SPONSORED ADR	000375204	138	4958	SH		DFND	2	0	2479	2479
ABB LTD	SPONSORED ADR	000375204	69	2479	SH		SOLE	3	2479	0	0
ABB LTD	SPONSORED ADR	000375204	69	2479	SH		SOLE	-	2479	0	0
AMCOR PLC	ORD	G0250X107	18920	411312	SH		DFND	1	411312	0	0
AMCOR PLC	ORD	G0250X107	1697734	36907260	SH		DFND	2	0	18453630	18453630
AMCOR PLC	ORD	G0250X107	848867	18453630	SH		SOLE	3	18453630	0	0
AMCOR PLC	ORD	G0250X107	848867	18453630	SH		SOLE	-	18453630	0	0

Form13FCIK 

See [Q&A 18](#) for more information and how to obtain one.

Form13FFileNumber 


See [Q&A 11 and 12](#) for more information and how to obtain one.

Form13FProvinceState **Form13FReportingPersonProvinceState** **InvestmentDiscretion13FUS** 


See this [Help Centre article](#) for the definition of each of the three possible values, and instructions on which selection to make.

InvestmentManager13F 


See the [SEC FAQ Question 6](#) for detail on 'investment discretion.'

InvestmentManager13FAffiliation 

See this [Help Centre article](#) for the definition of each of the three possible values, and instructions on which selection to make.

IsInvestmentManager13FReportingEligible 

Used in 13F documents.

VotingAuthority13FUS 

See this [Help Centre article](#) for the definition of each of the three possible values, and instructions on which selection to make.

CIK Numbers will go into the Summary Page for each of the **Other Managers** and for the **Reporting Entity** it will only go into the .xml version.

13F File Numbers will go into the Summary Page for **All Entities**. For the Other Managers it is important to also fill in this number on each of its underlying portfolios.

The Province will go on the Summary Page. It is only relevant to provide this number if the Reporting Entity is US or CA based.

The Province State will go on the Summary Page. It is only relevant to provide this number if the Reporting Entity is US or CA based.

The Investment Discretion is to be set on each portfolio and should specify the **Investment Managers management relationship** with that portfolio. This will decide how Column 6 is populated.

This will **create the Other Managers** to be specified in the form. It should be specified on each portfolio. It will create the Managers on the Summary Page as well as break out the assets in the Information Table based on the Managers specific number.

This specifies whether the group should **include or exclude 13f assets managed on behalf of an affiliate outside of the group**. Should be set at the portfolio level. It will default to "affiliated" indicating the portfolio is within the group and not a third party.

This specifies whether the Entity should be listed as an Other Manager on the form. If FALSE the Entity will not be specifically mentioned on the Summary Page and have a "-" on the Information Table column 7. Should be set for both the Entity and Portfolios.

The Voting Authority is to be set on each portfolio and should specify the **Investment Managers voting relationship** with that portfolio. This will decide how Column 8 is populated.