ROAD MACHINERY STATISTICS COMMITTEE

REPORTING MANUAL

Updated 3/6/12
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GENERAL POLICY

1. This Reporting Booklet is to be reviewed annually and updated when necessary.

2. As new pages to the Reporting Booklet are issued, they will supersede previously published pages. However, minutes published subsequent to the Manual issuance date prevail and such modification will be incorporated as new pages are issued.

3. It is the responsibility and obligation of statistics recipients to treat data as proprietary information and such data is not to be divulged to any agency outside their membership category except for those within their corporate structure. Members within the corporate structure receiving copies of statistics must be made aware of this policy and comply with it. All pages will be stamped "confidential" or "restricted information" on each page of the statistical reports and it is recommended that company-generated reports utilizing these data also be identified as "confidential" information.

4. Statistical reporting, with product lines and categories defined herein, will be based on shipments and retail sales.

5. Expansion of reporting programs which includes additional product lines or extensions of reporting in current product lines will be in accordance with AEM policy.
STATISTICAL POLICY

AEM policy (as revised by vote of the AEM Board of Directors on April 28, 1992):

a. Statistics gathering is a logical trade association activity and should be encouraged as an important additional benefit to Association of Equipment Manufacturers (AEM) members.

b. The submitting of data and the receiving of related detailed reports should be entirely optional to any members. Participation in statistics programs should not be a requirement of membership in AEM or any of its Bureaus, Councils or Committees or any other unit within the Association.

c. Each Bureau of AEM is free to develop its own statistics program with reference to one or more of its product group’s subject only to the approval of the Board from a standpoint of legality and conformance with the general guidelines listed here.

d. The Earthmoving Statistical Committee, or any similar statistics committee which may be formed, will be subject to the same guidelines, restraints and privileges as a Bureau, regardless of the scope of its activities.

e. If a group of members with a common interest does not have a bureau program available to it, it may petition the Statistical Executive Committee to establish a statistical program with the same legal and general guidelines to apply. The Statistical Executive Committee will guide these committees in accordance with established policies and will attempt to avoid any conflict or duplication with existing Bureau programs.

f. All statistical work incremental to the normal AEM headquarters’ office services will be on a self-supporting basis.

g. The participation of any company in a statistical group will be at the discretion of each AEM group within legal guidelines. Companies which are not AEM members can participate in statistical programs, at the discretion of each AEM group, as long as the company is eligible to join AEM. The fee structure for non-AEM members participating in AEM sponsored statistical programs shall be established by the AEM Board of Directors. Representatives from non-AEM members participating in an AEM statistical program: may attend meetings of the responsible group or committee for discussions about the program; may vote only on statistical program matters; and are not eligible to serve on the Statistical Executive Committee or as a chairman or vice chairman of any group or committee.

h. Statistical reporting will be on the basis of units and/or appropriate financial values.
i. The decision to make any data available to non-contributors of statistics will be up to the individual statistics group. Any such decision must be cleared with the Statistical Executive Committee.
STATEMENT OF PURPOSE

1. To provide member companies with the most timely, useful and accurate market statistics possible within legal parameters.

2. To liaison with, advise and petition applicable government agencies regarding matters pertinent to improvements in statistical reporting.

3. To contact, consult and cooperate with manufacturers and associations to design and implement a compatible worldwide base for the gathering of statistical data within those legal parameters applying to the countries involved.

4. To liaison and cooperate with similar committees for the expansion and improvement of statistical programs.

MEMBERSHIP AND ORGANIZATION

1. Membership is open to companies which manufacture and/or market products (whole machines) included within the scope of the Road Machinery Committee. Non-approval must be submitted to the AEM Statistical Executive Committee for their endorsement.

2. Road Machinery reporting memberships have committee voting rights.

3. Recognition of a parent company or corporation membership entity as opposed to a division or subsidiary thereof will be at the discretion of the committee and in accordance with AEM policy.

4. Meetings will be planned on a semi-annual basis with additional meetings as needed.
   a. The AEM office is to be notified at least thirty (30) days in advance of a scheduled meeting.
   b. A simple majority of statistical members should be present. If the meeting pertains to a specific product line, a majority of statistical members representing that product line should be present.
MEMBERSHIP AND ORGANIZATION (continued)

5. Officers of the Road Machinery Committee:
   a. Officers of the Road Machinery Committee will consist of a Chairman, and a Vice-Chairman, serving two year terms commencing on the first meeting of the calendar year.
   b. Election of officers for the upcoming year will be conducted at the last meeting of the appropriate calendar year.
   c. Subcommittee organization is at the discretion of the Chairman.

6. Company Representation: Each member company will appoint one official representative to the committee. The appointment of an alternate to the committee is recommended.

7. Voting:
   a. Voting is limited to one vote per member company.
   b. An adoption of a motion is by simple majority of those present on all issues with the exception of financial matters where a two-thirds majority vote of those present is required.
   c. Voting on a specific product line is limited to participants of that product line.
   d. Voting on statistical matters is limited to statistical program participants.
GENERAL INFORMATION

1. Members must report all product lines within the scope of the Road Machinery in programs which they manufacture and/or market.

2. Companies participating in the U.S. and/or Canada Retail Sales program must also participate in the Worldwide Shipments reporting program.

3. Members must report shipments and retail sales to the U.S. and Canada from all worldwide manufacturing sources, including products manufactured by licensees, subsidiaries and joint ventures.

4. New reporters joining the program must report all shipments and retail sales for January through the month of their entry, in one report (the first submission). This will ensure correct year-to-date totals.

5. Due Dates: Please submit your data to the IPC office no later than the following dates:

   **Monthly Shipments** – are due on the 10th day of each month following the month of shipments.

   **Monthly Retail Sales by County** – are due on the 10th day of each month following the month of retail sales.

   a. If you are able to submit your data earlier than the due date, please do so.

   b. If a due date falls on a weekend, your report will be due the following Monday.

   c. Companies should call the IPC office if they know their report will be delayed past the due date.
PRODUCT CODES

Product lines and size classifications are in metric measures. The number preceding each product is the reporting code used in the domestic reporting programs. The number in parentheses after each product is the international reporting code. Please note that when necessary, size classifications will be combined to avoid disclosure. However, all reports should be submitted in the size classes listed below.

**VIBRATORY WALK-BEHIND, RIDE-BEHIND ROLLERS, SINGLE DRUM (CEA1)**

All Sizes

**VIBRATORY WALK-BEHIND, RIDE-BEHIND ROLLERS, DOUBLE DRUM (CEA2)**

0 to Less than 900 Kg

Over 900 Kg

**TRENCH ROLLER (DOUBLE DRUM) (CEA3)**

All Sizes

**VIBRATORY TANDEM ROLLERS, TWO VIBRATING DRUMS (CEB0)**

0 thru 1.8 metric tons

1.8 less than 3.0 metric tons

3.0 less than 5.0 metric tons

Over 5.0 less than 8.0 metric tons

Over 8.0 less than 11.3 metric tons

Over 11.3 metric tons

**VIBRATORY TANDEM ROLLERS, ONE VIBRATING DRUM (CEC0)**

All Sizes
VIBRATORY TOW-TYPE ROLLERS (CED1)  North America Suspended

All Sizes

VIBRATORY SINGLE DRUM ROLLERS – ASPHALT (CEE1)
(With 1 or 2 drive wheels; vibrating wheel may also drive; with sprinkler tank)

0 thru 3.0 metric tons
Over 3.0 less than 5.0 metric tons
Over 5.0 less than 8.0 metric tons
Over 8.0 less than 12.0 metric tons
Over 12.0 less than 15.0 metric tons
Over 15.0 metric tons

VIBRATORY SINGLE DRUM ROLLERS - SOIL - SMOOTH DRUM (CEE2)
(With 1 or 2 drive wheels; vibrating wheel may also drive; without sprinkler tank)

0 thru 3.0 metric tons
Over 3.0 less than 5.0 metric tons
Over 5.0 less than 8.0 metric tons
Over 8.0 less than 12.0 metric tons
Over 12.0 less than 15.0 metric tons
Over 15.0 metric tons

VIBRATORY SINGLE DRUM ROLLERS - SOIL - PADFOOT OR SHEEPSFOOT DRUMS (CEE3)
(With 1 or 2 drive wheels; vibrating wheel may also drive; without sprinkler tank)

0 thru 3.0 metric tons
Over 3.0 less than 5.0 metric tons
Over 5.0 less than 8.0 metric tons
Over 8.0 less than 12.0 metric tons
Over 12.0 less than 15.0 metric tons
Over 15.0 metric tons

**COMBINATION ROLLERS (CEF0)**
(With one vibratory drum and three or more pneumatic tires)

0 thru 1.8 metric tons
Over 1.8 less than 3.0 metric tons
Over 3.0 less than 5.0 metric tons
Over 5.0 less than 8.0 metric tons
Over 8.0 less than 11.3 metric tons
Over 11.3 metric tons

**PNEUMATIC TIRED ROLLERS (CEG0)**
(With maximum wheel load; self-propelled)

0 thru 2.5 metric tons
Over 2.5 less than 3.5 metric tons
Over 3.5 metric tons

**TANDEM ROLLERS (STATIC) (CEH1)**
(Examples of steel wheel arrangements are: (a) two wheels in tandem; (b) three wheels in tandem on three axles; and (c) three wheels on two axles)

0 thru 7.0 metric tons
Over 7.0 less than 10.0 metric tons
Over 10.0 metric tons

**STATIC WHEEL ROLLER (CEH2)** North America Suspended

0 thru 90 metric tons
Over 90 metric tons
EMBANKMENT (CEK1)
   All Sizes

REFUSE (LANDFILL) (CEK2)
   All Sizes

VIBRATORY PLATE COMPACTORS - FORWARD TRAVEL ONLY (CEL1)
   0 thru 95 Kg
   Over 96 Kg

VIBRATORY PLATE COMPACTORS – REVERSIBLE (CEL2)
   0 thru 250 Kg
   Over 250 and under 500 Kg
   Over 500 Kg

VIBRATORY TAMPERs (CEMO)
   All Sizes

ASPHALT PAVERS (CEAP)
   (Commercial) < 125 HP
   8 Wheel Over 125 HP
   8 Track Over 125 HP
   10 Wheel Over 125 HP
   10 Track Over 125 HP

COLD PLANNERS (CPRM)
   0 thru 25 Inches
   26 thru 49 Inches
MONTHLY SHIPMENT REPORTING PROGRAM

DEFINITION

For purposes of statistical reporting, a manufacturer shipment shall be defined as:

1. The shipment of a unit directly from the manufacturer to:
   a. An End User--any establishment that puts the product to use; the consumer.
   b. A Retail Outlet--any establishment (including company stores, dealers or distributors) that sells the product to the end user.
   c. A Wholesale Outlet--any establishment (including company branch houses) that sells to a retailer.
   d. A Leasing Pool--machinery shipped to any establishment for the purpose of subsequent placement with the end user through a lease or rental-purchase agreement.

2. Units shipped to a facility where substantial changes are made to the basic product are not to be reported. The prime objective is to avoid double reporting of the same units.

3. Units shipped to company trans-shipment pools or staging areas shall not be reported until such time as they are shipped to parties listed under Item 1 above.
MONTHLY SHIPMENT REPORTING PROGRAM (continued)

REPORTING GUIDELINES

1. Reporting of Shipments should be reflected as:
   
a. State and Province: Report shipments from all manufacturing sources worldwide (including licensees, subsidiaries, joint ventures and any other manufacturing/marketing arrangement) to:

   1. United States (by state)
   2. United States Federal Government
   3. Canada (by province)
   4. Canadian Federal Government

   b. Worldwide by Country: Report all worldwide shipments from all sources (including licensees, subsidiaries, joint ventures and any other manufacturing/marketing arrangements) to all destinations, by country.

2. Machines should be reported in the size classifications as listed on the current Model Identification Chart.

3. For worldwide shipments reporting, input data are not to include units reported by another reporting group (such as CECE, etc.), to avoid double reporting of units.

4. Monthly shipments reports should reach the AEM office no later than the 12th day of each month following the month of shipments.

REVISION POLICY

For machines returned to the manufacturer as new, unused units, revisions should be entered in the month in which the unit is returned.

For units that were improperly reported (wrong size classification or state, etc.) the data should be entered the month and year in which the unit was originally reported.

Please report all revisions as soon as possible.
MONTHLY RETAIL SALES BY COUNTY REPORTING

DEFINITION

For purposes of statistical reporting, a Retail Sale shall be defined as:

1. The first time transfer of possession of a new, unused and previously unsold machine from a distributor or manufacturer to an end use customer at point of first use, either for his own use or as a rental or lease machine. A machine entering a distributor's rental fleet, therefore, constitutes a retail sale if it no longer is available for sale as a new, unused machine. Machines transferred between dealers should not be reported as a retail.

2. If a dealer terminates his business, the manufacturer receiving inventory and selling the units to another dealer should revise any data previously reported.

3. Demonstration of a new machine does not constitute a retail sale.

4. Do not report machines that have been reconditioned or resold.

REPORTING GUIDELINES

1. Report as retail sales the number of new units according to the initial working location (first use) down to the county level for the U.S. and Canada.

2. Your report should include units from all manufacturing sources in the world (including licensees, subsidiaries, joint ventures and all other manufacturing/marketing arrangements) to:

   a. United States (by county)
   b. United States Federal Government
   c. Canada (by county)
   d. Canadian Federal Government

3. Under Federal Government for the U.S. and Canada, report only those units that are sold to Federal Government agencies.

   a. Government agencies reported would include, but are not limited to: The Department of the Interior, Bureau of Indian Affairs, U.S. (or Canadian) Military (Army, Air Force, Navy, Marines), U.S. Forestry Service, etc.
MONTHLY RETAIL SALES BY COUNTY REPORTING (continued)

b. Agencies not to be reported under Federal Government include, but are not limited to: County governments, state highway departments, municipalities or special jurisdictions such as airports, etc.

4. Machines should be reported in the size classifications as listed on the current Model Identification Chart.

5. The geographic breakdown will include each of the 50 United States and the provinces of Canada.

6. Retail Sales by County data will be consolidated and distributed on a monthly basis.

7. Retail Sales by County data will be reported as units only, not dollar value.

8. The monthly Retail Sales by County reports should reach the AEM office no later than the 25th day of the month following the month of retail sales.

REVISION POLICY

For machines returned to the manufacturer as new, unused units, revisions should be entered in the month in which the unit is returned.

For units which were improperly reported (wrong size classification or state, etc.) the data should be entered the month and year in which the unit was originally reported.

Please report all revisions as soon as possible.
MONTHLY RETAIL SALES BY COUNTY REPORTING (continued)

DISTRIBUTION OF REPORTS

1. Reports will not be published until 100% of all reporters' data has been received.

2. Companies may only receive consolidated reports for the timeframe in which they report into the Road Machinery Committee programs.

3. The IPC will handle distribution of the consolidated reports as directed by the Road Machinery Statistics Committee.

No data will be offered for sale or given away to companies not participating in the Road Machinery Committee statistical reporting programs. Upon request for statistical data, AEM staff and member company personnel are to indicate that the data are not available.
STATEMENT OF POLICY
ON
ANTI-TRUST CONSIDERATIONS

As a trade association, AEM is subject to both federal and state antitrust laws. As a matter of law, a trade association and its members stand in the same position under the antitrust laws as any other group of persons or firms. Thus, the legality of association activities is judged by the same standards as are applied to other entities.

AEM recognizes the need to be constantly vigilant to assure full compliance in all respects with the antitrust laws and in furtherance thereof hereby endorses the basic principles contained in this guide for members and staff of the Association.

The purpose of the antitrust laws is to preserve a competitive economy in which free enterprise can flourish. The Association's long insistence upon full compliance with all legal requirements in the antitrust field is based not only on a desire to stay within the bounds of the law, but also on the Association's conviction that the preservation of a free competitive economy is essential to the welfare of the Association, the industry it represents and the nation.

This statement is intended to codify the Association's existing policy and to provide guidelines for compliance with the law.

The Association unequivocally supports the policy of competition served by the antitrust laws and reaffirms its uncompromising intent to comply strictly in all respects with those laws.

It is the responsibility of every member and staff person of AEM to be guided by AEM's policy of strict compliance with the antitrust laws in all AEM activities. It shall be the special responsibility of Association officers, Bureau, Council and committee chairmen to insure that this policy is known and adhered to in the course of activities pursued under their leadership.

To assist the staff and all officers, Bureau, Council and committee chairmen in recognizing situations which may raise the appearance of an antitrust problem, the Association shall furnish to each of such persons a copy of this antitrust guide for AEM Members and Staff and will make available general legal counsel when questions arise as to the manner in which the antitrust laws may apply to the activities of AEM or to any Bureau, Council or committee of AEM.
ANTITRUST GUIDELINES

MEMBERSHIP

1. Any firm meeting the requirements of membership as set forth in the By-Laws shall be admitted to membership in AEM on a non-discriminatory basis.

2. Participation in any and all Association activities by a member company is wholly voluntary.

3. No member of the Association shall have authority to represent that he is communicating on behalf of and as an official representative of the Association without prior approval of the Association.

4. No firm shall be expelled from membership except for just cause, and in such a manner as is established in the By-Laws to assure that such expulsion is fair, objective, reasonable and non-discriminatory.

MEETINGS

1. All Association meetings shall be regularly scheduled, and attended by AEM staff. Secret or "rump" meetings shall be strictly avoided.

2. In conducting AEM meetings, the chairman thereof shall follow a formal agenda which shall be reviewed in advance by legal counsel.

3. Minutes of all meetings shall be kept by a designated party who shall accurately record what actions were taken at the meeting. Minutes of all meetings shall be approved by the chairman and legal counsel and shall be submitted to the group for approval at its next meeting.

4. Legal counsel shall be present at all meetings of the Association's Board of Directors and at any other meeting at which sensitive issues may be discussed.

5. In informal or social discussions at the site of a AEM meeting, which are beyond the control of its officers and chairmen, all members and staff are expected to observe the same standards of personal conduct required of the Association in its compliance with these antitrust guidelines.
ANTI-TRUST CONSIDERATIONS (continued)

TOPICS OF DISCUSSION

1. AEM activities or communications shall include discussion or action on matters of interest to the industry.

2. No AEM activity or communication shall include any discussion or action, for any purposes or in any fashion, of prices or pricing methods, production quotas or other limitations on production or sales.

3. No AEM activity or communication shall include discussion or action which might be construed as an attempt to prevent any person or entity from gaining access to any customer, goods or services, to boycott any person or entity, or to prevent any person or entity from purchasing goods or services freely in the market.

4. No AEM activity or communication shall include discussion or action which might be construed as an agreement or understanding to refrain from purchasing materials, equipment, services or other supplies from any supplier.

5. No AEM activity or communication shall include any other discussion or action which would tend to restrict competition in any manner between members or within the industry.

GENERAL OPERATING PROCEDURES

1. Guest speakers at Association functions and authors of Association materials shall be informed of the need to comply with Association antitrust guidelines in the preparation and presentation of matters to the membership.

2. Handouts at meetings conducted by the Association, and, when possible, outlines or texts of presentations, shall be reviewed in advance by legal counsel.

3. In making this guide available to Association members, AEM intends it to serve as a practical aid to members and staff in dealing with the antitrust laws which have particular application to Association activities. The guide is by no means an attempt to provide a detailed analysis of the antitrust laws or as a substitute for individual legal advice in handling specific matters.

4. Just as membership and participation in AEM activities is a good investment for members, so too is an effective antitrust compliance program a good investment for the members of the Association.