ASSOCIATION OF EQUIPMENT MANUFACTURERS

STATISTICS
POLICY & PROCEDURE MANUAL

For all AEM Statistics Committees, Bureaus and Product Councils with Statistics Programs

Note: As directed by the STATISTICS EXECUTIVE COMMITTEE and with the recommendation of the AEM Board of Directors, this manual is the master policy and procedure document for AEM statistics programs.
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SECTION I - INTRODUCTION

SECTION I-A: MISSION

Mission Statement

AEM will provide participating companies with the timeliest, most accurate, useful, and consistent market statistics data possible within legal parameters by providing the systems, support, and leadership to achieve an ever-increasing level of excellence in the performance of the statistical reporting function.

SECTION I-B: TERMINOLOGY

Due to the nature of the various organizations involved, terminology used to clearly identify various groups is rather lengthy and complex. Frequent repeated usage of full terminology makes the manual unnecessarily large and cumbersome. To make the manual easier to understand, use, and maintain, a set of standardized abbreviations, acronyms, and shorthand phrases will be used throughout this manual. These are:

AEM – Association of Equipment Manufacturers, often combined staff and members.

AG – Agricultural.

Board – The AEM Board of Directors.

CE - Construction Equipment.

Committee – An individual statistics committee or a bureau or council that does not have a separate statistics committee but participates in reporting programs.

Committee acronyms – a number of acronyms to identify various committees are frequently used. These include:

AGLASPSC Agricultural Latin America Statistics Program Subcommittee
AESC Agricultural Equipment Statistics Committee
ASC Aggregate Statistics Committee
ATC Agricultural Tire Committee
AWP Aerial Work Platforms (=MEWPC Jan 2020)
CELASTF Construction Equipment Latin America Statistics Task Force
CECE Committee for European Construction Equipment
CNPV Concrete Paver Bureau (suspended)
CPB Contractor Pump Bureau
CSC Crane Statistics Committee
CWE Commercial Worksite Equipment Statistics Committee
DESC Dairy Equipment Statistics Committee
DB  Drill Bureau (suspended)
GIG  Geospatial Industry Group
ICE  International Crane Exchange
ISC  Intercontinental Statistics Committee
FEE  Forestry, Earthmoving, & Excavator Statistics Committee
GNSC  Generator Statistics Committee
CEMA  Japan Construction Equipment Manufacturers Association
KOCEMA  Korea Construction Equipment Manufacturers Association
LTSC  Light Tower Statistics Committee
MBMB  Mounted Breaker Manufacturers Bureau
RMSC  Road Machinery Statistics Committee
SEC  Statistics Executive Committee
SLC  Statistics Leadership Committee (Inactive)
PACB  Portable Air Compressor Bureau
PMAC  Parts Marketing Analysis Committee (suspended)
PTMB  Pneumatic Tool Manufacturers Bureau
SMI  Masonry & Concrete Saw Manufacturers Institute
UTIL  Utility Statistics Committee

Committee officers – the Chair and vice-Chair of a committee.

Company – A company that participates in AEM reporting programs. Must be an AEM member company; a parent or subsidiary; sometimes a distinct reporting location within a company.

IPC – Information Processing Company.

LA – Latin America.

Member – A company that participates in reporting programs and is an AEM member. See also company or reporter.

OCR – Official Company Representative to AEM.

Participant – See company or reporter.

Product Segments - Groupings of committees and/or product lines having similar interests, applications, product lines, constituencies, etc.

Reporter – An individual doing market data reporting on behalf of a company.

Representative – A company’s appointee to a committee.

Sector Board – The AEM Board of Directors are divided into Sector Boards for the Agriculture and Construction areas.

Size Class – A statistical data grouping within a product category; often a measurable range of values, such as a range of engine horsepower or operating weights; sometimes a general classification of product, such as folding versus non-folding.

Staff – Any member of the AEM Statistics Department.
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.

The following policy statements regarding antitrust considerations and guidelines are published in the AEM Bylaws.

**ANTITRUST CONSIDERATIONS**

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 policy of strict compliance with the antitrust laws in all AEM activities. It shall be the special responsibility of Association officers, Bureaus, 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, Bureaus, 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 any Bureau, Council or committee of AEM.
ANTITRUST GUIDELINES

MEMBERSHIP

1. Any firm meeting the requirements of membership as set forth in the Bylaws 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.

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 Chair thereof shall follow a formal agenda.

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 legal counsel when necessary, then Chair and Vice Chair and then 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.
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 whenever practical by staff and when appropriate by legal counsel in advance.

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.
SECTION II - OPERATIONAL ORGANIZATION

SECTION II-A: STATISTICS EXECUTIVE COMMITTEE – ARTICLE X

On January 1, 2003, AEM adopted its Constitution and Bylaws. Article X, reprinted here from those Bylaws, establishes the Statistics Council as a function council to provide related services to members. Pursuant to Article X, the STATISTICS EXECUTIVE COMMITTEE (SEC) has been established by the membership and approved by the Board to function as the executive committee of the Statistics Council, reporting to the appropriate Sector Board.

ARTICLE X
Councils, Bureaus, and Committees

Section 1. Function or product councils, bureaus, or committees may be created in the organization following Board approval. The Board will establish standing Board-level committees and task forces as needed for such areas as membership, government affairs, trade shows, finance, long-range planning, and the annual conference.

Section 2. Eligibility. To be eligible for participation in a function or product council, bureau, or committee, a company must manufacture one or more products included within the designated area of interest. Furthermore, to be eligible for participation, a company must be engaged in the relevant discipline or activity on an ongoing basis.

Function councils are operated to provide services to members that cut across all product areas and interests. Job-related councils operate along the lines of the areas of responsibility of member representatives.

Section 3. Executive Committees and Officers. A member who is a qualified participant in a product group is eligible to serve as a Chair or on the Executive Committee of that group. Any member representative who qualifies to participate in a council (i.e. Parts, Service, Training, Safety, Marketing Communications, and International) is eligible to serve as a Chair and on the Executive Committee of that council. Function councils serving such service areas as statistics, international marketing, and technical services will have Chairmen, Vice Chairmen, and Executive Committees, which will report to the Board.

SECTION II-B: STATISTICS EXECUTIVE COMMITTEE

II-B-3. ORGANIZATION

1. The SEC will consist of the following:
a. The 8 largest statistics system users, based on input records, with the representative to be appointed by the company.

b. A representative from each active Product Segment with each segment determining its representative for a one-year term. There are no limits on the number of terms a representative may serve.

1. Aggregates
2. Ag Equipment
3. Attachments-(Skid Steer Only)
4. Commercial Worksite Equipment/Forestry, Earthmoving & Excavators
5. Components
6. Dairy Equipment
7. Geospatial Industry Group
8. Lifting
9. Light Equipment
10. Mobile Elevating Work Platforms
11. Power Systems and Energy
12. Road Machinery
13. Utilities

c. Up to 5 at-large members when Product Segment seats are filled.

2. The SEC will elect a Chair and a Vice Chair annually, usually at the last meeting of the year. The Vice Chairmanship is not considered an automatic succession position to the Chairmanship.

3. Membership selection process:

   a. The 8 largest system users will be determined annually by the IPC staff and the AEM staff will announce in advance of the last regularly scheduled SEC meeting of the year.

   b. The Product Segment groups will elect a representative annually, subsequent to the announcement of the 8 automatic seats.

   c. The at-large members will be recommended to the SEC by a nominating committee consisting of the newly elected SEC Chair and Vice Chair, the immediate past SEC Chair and Vice Chair, and an AEM staff person. If there is no immediate past Chair or Vice Chair on the committee, those positions on the nominating committee may be filled by current SEC members recommended by the Chair, Vice Chair and AEM staff.

4. Terms of office:

   a. SEC membership and officer terms begin on January 1, except when filling vacated positions, which will take effect upon succession.
b. Each Product Segment group representative serves a one-year term. There are no limits on the number of terms.

c. At-large members serve one-year terms. There are no limits on the number of terms.

d. The Chair and Vice Chair serve one-year terms. They may stand for re-election, but are limited to no more than 3 consecutive terms in that capacity.

e. If a mid-term replacement needs to be made for Chair or Vice Chair, if made before July 1, the first year will be counted as a full 1-year term complete. If July 1 or later, it will not be considered a full 1-year term completed.

5. SEC membership qualifications:
   a. No parent company may have more than one SEC representative.

   b. The SEC Chair cannot simultaneously be the Chair or Vice Chair of another statistics committee.

   c. It is recommended that persons serving in the elected positions have at least one year of experience as a company representative to a committee, with a high level of performance and leadership skills. It is preferred the persons being elected as Chair and vice Chair of the SEC have at least one year of experience on the SEC.

   d. SEC meeting attendance is essential. A candidate should make a firm commitment before election or appointment and be expected to attend at least the majority of the meetings.

      1. Should a Product Segment representative not be able to attend, the elected representative must select an alternative representative from that Product Segment, and that person will have voting responsibilities.

      2. Automatic seats must appoint a substitute from their company if the designated representative is unable to attend, and that person will have voting responsibilities.

      3. At-Large seats must appoint a substitute from their company if the designated representative is unable to attend, and that person will have voting responsibilities.

   e. SEC meetings are open to any representative who wishes to attend on his/her own initiative or at the request of the Chair. Such attendees may participate in the meeting at the discretion of the Chair, but have no vote. The only exception would be during time periods when an executive session is declared by the Chair to address a sensitive issue.
6. **Quorum:** A quorum is defined as 51% of the SEC membership for holding an official meeting and for approval of business before the Committee.

7. Operating guidelines enumerated in the Statistics Committees and Bureaus section apply to the SEC unless otherwise noted.

8. The nomination and election process for the Chair, Vice Chair, and Product Segment positions will be as follows:

   a. Members will be given the opportunity to submit nominations by mail or electronic transmission prior to the time of the vote.

   b. If the voting is to take place during a meeting, members will be provided the opportunity to nominate candidates during the meeting. At the discretion of the Chair or other presiding officer, voting may be by oral response, written ballot, or show of hands.

   c. If voting is not to be conducted at a meeting, it is conducted by electronic ballot, or in rare occasions by AEM staff via telephone – with confirmation. Votes are to be submitted to the designated AEM staff as directed by the Chair or presiding officer.

   d. A majority of votes cast is required for election. If no nominee receives a majority, a run-off election of the 2 highest vote recipients will be held until a majority is achieved.

   e. When electing the Chair and Vice Chair, the Chair will be elected first. Candidates for the Chair position will automatically be nominated for the Vice Chair office.
SECTION II-B-4: RESPONSIBILITIES:

In addition to the responsibilities enumerated herein, many of the ones listed in the Statistics Committees and Bureaus section are applicable to the SEC. Generally the exceptions are those that deal with product specific responsibilities, proposals, etc.

SEC Responsibilities:

1. Ensure that the actions, programs, and activities of the Statistics Council are consistent with the policies and determinations of AEM and its Board.

2. The SEC will resolve any conflicts in the relationship of product reporting versus committee. If companies petition the SEC to establish a new committee, the SEC will review and guide the group in organizing a committee or determine if it best fits in an existing committee.

3. Guidance and direction for the individual committees. Act as final authority on disputed issues at the committee level.

4. Define the structure of the Product Segments and how they relate to mandatory reporting requirements and SEC membership.

5. Provide input on the future of statistical, system, and program activities to the committees, staff, IPC and Board.
   a. 

6. Oversight and resolution of data integrity issues.

   a. Vice Chair may opt to form a Policy and Procedures Review subcommittee.
   b. Review and approve or decline changes presented by the subcommittee.

8. Maintain liaison as appropriate with Intercontinental Statistical Committee.

Chair’s Responsibilities:

1. Call meetings of the SEC.
2. Review, provide input, and approve Meeting Agenda.
3. Preside at the meetings.
4. Review, comment, and approve Meeting Minutes.
5. 
6. Appoint and oversee such subcommittees of the SEC as deemed appropriate.
Vice Chair’s Responsibilities:

1. Act in place of the Chair in his/her absence or inability to function.
   a. Appoint up to 3 subcommittee members from the SEC.
   b. Review specific committee policy and procedure variations drafted and approved at the committee level.
   c. Review the manual annually. Draft, and recommend changes to keep it current.
   d. Present recommendations for changes to be made or requests that should be declined to the SEC.
   e. Coordinate maintenance of the manual with staff, assuring publication of the updated manual by publication on the web within 30 days.
SECTION II-C: STATISTICS COMMITTEES AND BUREAUS

SECTION II-C-1: ORGANIZATION

Statistics committees in AEM are organized by sets of related product lines as well as by the mix of companies involved in the market and commonality of interests. No committee may report a product already the responsibility of another committee. The SEC will resolve any conflicts in the relationship of product reporting versus committee. If companies wish to start new programs for a unique line of products and they believe a new committee should be established, they would petition the SEC.

1. Company representation.
   a. Each company participating in a program is a member of the committee responsible for that program and shall appoint a person to represent it on the committee. An alternate representative is to be appointed to serve in case of the unavoidable absence of the regular representative.

   b. Each company representative shall be qualified to present the company’s position on meeting agenda items that are pertinent to its product line(s) and to make appropriate decisions regarding these items at the committee meetings.

2. Each committee will elect a Chair and a Vice Chair
   a. Committee members elect AEM officers, usually at the last meeting of the year. Elections may also be conducted by mail or electronic ballot.
   b. Candidates for committee offices must represent an AEM member company in good standing; it is recommended that officers have represented their company on the committee for at least one year and have a good committee attendance and performance record.
   c. The Vice Chairmanship is not considered an automatic succession position to the Chairmanship.
   d. Officer terms begin on January 1, except when filling vacated positions.
   e. The officers serve terms as defined by their respective committee as listed in Appendix J.

3. Nomination and election process for Officers:
   a. Members will be given the opportunity to submit nominations by mail or electronic transmission prior to the time of the vote.
   b. If the voting is to take place during a meeting, members will be provided the opportunity to nominate candidates during the meeting. At the discretion of the Chair or other presiding officer, voting may be by oral response, written ballot, or show of hands.
   c. If voting is not to be conducted at a meeting, it may be conducted by mail or electronic ballot. Votes are to be submitted to the designated AEM staff or legal counsel as directed by the Chair or presiding officer.
   d. A majority of votes cast is required for election. If no nominee receives a majority, a run-off election of the 2 highest vote recipients will be held until a majority is achieved.
   e. The Chair will be elected first. Candidates for the Chair position will automatically be nominated for the Vice Chair office.
4. Product specialists:

a. Each product included in a program shall have a person designated as product specialist.

b. A committee Chair may appoint product specialists from the committee membership or the role may be delegated to AEM staff at the discretion of the committee and senior staff.

c. A product specialist is responsible for monitoring the statistics programs related to their assigned products, including the review of model charts for their assigned products and that participating companies report all their products in their proper categories.

d. A product specialist is responsible for monitoring the statistics programs related to their assigned products, including the review of model charts for their assigned products and that participating companies report all their products in their proper categories. The qualifications to become a Product Specialist include:

   1. Membership in the committee.
   2. Represent a company that reports the products that are assigned.
   3. Assignment to a specific product(s) by the Committee Chair.
   4. Have Internet access with no firewall issues.
   5. Have a user ID and password for the secure Internet sites.
   6. Have an e-mail address and check e-mail at least daily.
   7. Have knowledge of the products to which they are assigned.
SECTION II-C-2: OPERATING GUIDELINES

Each committee will conduct its business in accordance with the following guidelines. Most of the practices also apply to the SEC, with the exception of specific product and report references.

1. A quorum of participating companies must be present at each meeting in order to make overall committee decisions. Each committee shall define what constitutes a quorum for its committee. The staff person serving the committee shall determine if a quorum is present and record such in the minutes. If a quorum is not present, business matters can be discussed, but no decisions can be made except product specific issues where attendance meets product specific requirements. It is permissible to take a vote of members present with follow-up ballot of those absent to reach a decision. The quorum requirements for each committee are listed in appendix A. If a number of participants for quorum is not decided on, refer to Roberts Rules regarding Simple Majority.

2. Each committee shall decide what percentage of companies participating in a product program can approve product-specific decisions. Committees should attempt to achieve a unanimous vote. The requirements to approve a product-specific motion for each committee are listed in appendix A. Product-specific decisions can be made at committee meetings or at AEM facilitated meetings of only those companies participating in the product-specific program.

3. Although normal practice is to meet once or twice a year, each committee may schedule the number of meetings it believes necessary to conduct its business. Each committee should inform staff of its schedule well ahead of time so that a staff representative will be present.

4. Committee members will be informed of the meeting time and place at least 30 (and preferably 60) days ahead of the meeting so they can plan their attendance. A second announcement and meeting agenda will be available to all committee members 30 days ahead of the meeting.

5. Issues requiring a vote at a committee meeting should be clearly specified on the agenda so that company representatives can discuss the issues with their company management.

6. Major decisions to be made at a scheduled meeting include, but are not limited to, the addition, expansion, contraction, or deletion of reports. Major decisions require the following procedural safeguards:

   a. A formal motion, second, and vote on the issue.
   b. If attendance sufficient to meet the passage requirements is not present, a follow-up ballot will be sent to those absent for timely completion.
   c. All committee decisions affecting policy are subject to review and approval by the SEC to ensure consistency and compliance.
   d. For Latin American programs, the AG LA SPSC and CE LA STF report to their respective Regional Management Committees. Their recommendations and/or decisions affecting statistics policy(ies) are subject to review and approval by the respective Regional Management Committee as well as the Statistics Executive Committee to ensure consistency and compliance. In the absence of agreement between the RMC and SEC, any recommendation and/or decision will return to the affected regional statistics committee for further action, if warranted.
7. Decisions made outside of a regularly scheduled committee meeting will be conducted by mail, electronic ballot, or voice vote on a conference call.

8. New programs can begin any time during the year. Changes normally at the beginning of the year but based on the urgency may be voted to be made during the year.

9. In considering adoption of proposed new programs or changes to existing programs, the committee will consider whether participating companies have the capability to comply with the proposals.

10. Questions in regard to input data or system operation are to be directed to the IPC.

11. Questions concerning the consolidated industry data should be directed to the IPC or AEM staff as appropriate.

12. All questions in regard to the policies of the statistics programs should be directed to AEM staff.

13. There will be no audio or video recording of the proceedings of the meetings of either the SEC, any of the committees, any task group, or subcommittee.

14. No meeting of the SEC, any committee, any task group, or subcommittee may be conducted without an AEM staff person present.

15. Meeting minutes must be taken for each meeting of the SEC, committees, task groups, or subcommittees. Meeting minutes generally should consist of a concise record of actions taken at the meeting, and should not reflect the author’s editorial comments or other content regarding statements made or actions taken outside the meeting in question. The procedure for taking and processing meeting minutes is as follows:

a. Draft meeting minutes must be prepared by an AEM staff member acting as recording secretary.

b. The draft minutes are then reviewed by any other AEM staff members present at the meeting.

c. Legal counsel may conduct a review, following the staff review of the meeting minutes, of the SEC and any other meetings as deemed appropriate for legal review by AEM senior staff or the Chair of the SEC.

d. The draft minutes are then sent to the appropriate Chair or Vice-Chair for approval.

e. The Chair or Vice-Chair will inform staff of their approval or their proposed changes.

f. In the event of changes proposed by the Chair or Vice-Chair, staff will decide if the proposed changes are of a substantive nature and merit further review by legal counsel.
g. Following approval by the Chair or Vice-Chair, the draft minutes, labeled “unapproved”, are posted on the AEM website for access by the committee members.

h. Committee members may propose specific amendments to the unapproved minutes any time up to the time of the next meeting, when there is a call on the agenda to approve the minutes. Proposed amendments should be forwarded to AEM staff, who will post them on the AEM website along with the unapproved minutes.

i. At the next meeting of the SEC, committee, subcommittee, or task group, the unapproved meeting minutes and any proposed amendments are discussed and voted upon. Upon approval, they become an official record of that meeting.

16. Meetings will be conducted according to *Robert’s Rules of Order*. AEM staff shall ensure that the rules are followed.
SECTION II-C-3: RESPONSIBILITIES

Chair’s Responsibilities:

1. Call meetings of the committee and oversee meeting preparations through staff or personal involvement.
   a. Prepare jointly with staff the agenda for future meetings.
   b. Consult with staff on various aspects of the meeting, which may include hotel, meeting room arrangements, breaks, meals, refreshments, visual aids, and the fee to be charged to participants, if applicable.
   c. Promote upcoming meetings among the committee members and encourage their attendance.

2. Preside at the meetings and oversee the general function of the committee.
   a. Confirm with staff, upon arrival at a meeting site, that all meeting arrangements are in proper order.
   b. Recognize first time attendees and encourage them to meet other committee members and become involved in committee activities.
   c. Keep the committee focused on business items at all times.

3. Follow-up on meeting results with staff and IPC.
   a. Summarize with the Vice Chair and staff at the end of each meeting, the agreed upon actions on significant items and the person responsible for such actions.
   b. Following each committee meeting, meet with staff, the IPC, and the Vice Chair and SEC Chair, if available, to discuss and confirm what needs to be done, who does it, and appropriate time frames.
   c. Review and approve meeting minutes promptly within 6 business days when received from staff. If the draft is not received from staff within two weeks of the meeting, contact staff and ask when the minutes will be received so they can be posted for committee members within the thirty-day schedule.

4. Appoint such subcommittees as deemed appropriate.

5. Follow up with subcommittee chairmen and other committee members with assignments on the progress of their assignments.

6. Review on a regular basis the various control reports in the system including the status report, reporter logs, audit status report, model chart annual startup tracking report, etc., and confer with staff regarding any required actions.

7. Call for nominations for any elections as required.
8. Appoint product line specialists who are responsible for monitoring the statistics program in terms of products, models, and participants related to their product(s).

Vice-Chair’s Responsibilities:

1. Act in place of the Chair in his/her absence or inability to function.

2. Review the meeting minutes promptly when received from staff. Inform the committee Chair and staff of any changes or approval.

3. Maintain a summary of important decisions made during the meeting. Review with the Chair and/or participate in discussions following the meeting with staff and the IPC on the work to be done as a result of the decisions made.

4. Represent the committee as liaison with the Policy and Procedure Review Committee of the SEC.

5. Serve the committee in other capacities as directed by the committee Chair.

Committee Member Responsibilities

1. Submit all company input data no later than the report deadline, preferably early. Be available to answer questions concerning the data, enabling the IPC to resolve issues without delaying the compilation of industry data.

2. Submit accurate data that are consistent with the rules of the programs.

3. Update all model information according to procedures, deadlines, and appropriate classifications.

4. Prepare requests to the committee for changes to existing programs or proposals for new programs using the form for this purpose as a guideline. These are to be provided to staff preferably by e-mail, with copies to the Chair, Vice Chair, and product specialist, 30 days prior to the meeting so they may be made available to committee members in advance of the meeting, by posting on the website. (See Appendix G) Except in rare cases, proposals will be considered only during the meetings. Proposals will not be balloted in advance of the meetings.

5. Attend meetings, usually one or two per year, of all the committees that include the products your company markets.

   a. Be prepared to represent your company on issues listed on the agenda. It is expected that meeting preparation includes a review of all agenda items and related documents with company management to agree on a company position on these issues.
b. Participate fully in the meeting by responding to committee issues, expressing your company’s position, volunteering for work of the committee, and stating your opinions and alternatives on various issues listed in the agenda.

c. Report to your company’s management following each statistics committee meeting regarding the issues and proposals discussed and the accomplishments of the meeting.


7. Respond on time to all committee surveys, audits, ballots, and other requests.

8. Should your company enter into the market for a new product line for which you will be reporting data, notify AEM staff and supply product specifications in a timely manner to allow verification and setup procedures in time for reporting.

9. Notify AEM staff and the IPC of any acquisitions, mergers, etc. that affect the parent/company structure, model chart considerations and possible disclosure, data access security, profile updates, and reporting responsibilities.

10. Become an active advocate in your company to report all data accurately and in accordance with the policies and procedures of the committee and the statistics program.

11. Become knowledgeable of your company’s reporting procedures to the IPC if you are not responsible for this function in your company. This will enable you to discuss reporting issues at meetings and take the results of the discussions back to your company.

12. Become knowledgeable of your company’s products and models in order to discuss and act upon the discussion of proposals and other reporting issues.

13. Complete all procedures involved with the annual model chart review and program start-up (in the November to January time frame) and sign-off that you have complied with all the requirements.

**Product Specialists’ Responsibilities:**

1. Attend all meetings of the committee. If attendance is not possible, arrange for a substitute from your company to attend that has extensive product knowledge.

2. Review model charts for the products assigned to ensure that there is no disclosure of individual company data.

3. Ensure that the model charts are current for all reporting companies.

4. Review the models of new/current reporters to ensure that these models are reported in the correct product line and class.

5. Assist, when needed, in the development of proposals for product changes.
6. Maintain and/or create product definitions for the assigned products.

7. Complete the review and start-up process by the deadlines assigned. This process starts in mid-December and is completed in January, depending upon company completion.
SECTION II-D: AEM STAFF

The primary responsibilities of AEM and the Statistics Department staff include, but are not limited, to the following:

1. Providing appropriate staff and resources to administer the AEM statistics programs according to the approved Policies and Procedures of the association, and the rules of the various programs, including:
   a. Monitoring conformance by participating companies
   b. Identifying policy and rules conformance concerns
   c. Developing plans to address conformance concerns
   d. Providing orientation sessions/information for new reporters
   e. Oversee and manage annual Confidentiality Agreement by all participants (See Appendix N)

2. Liaison with the IPC for contractual, operational and financial matters, such as:
   a. Budgets, contracts and scope of work documents.
   b. Review of IPC compliance with policies and procedures, security guidelines, and IPC systems-improvement proposals.
   c. Implementation of new programs and revisions to existing programs
   d. Direction on the distribution of data (who gets what).
   e. Being the primary contact with the IPC regarding company questions on policy and procedure matters.
   f. Notification of new participants into any program(s), including all relevant contact information.
   g. Notification of companies withdrawing from programs.

3. Working with the committees on the design, implementation and on-going operations of the programs.
   a. Coordinate with IPC to prepare, by 1 October, a document identifying all reporting changes in statistics programs for the following year as approved by the committees, and distributing the document to the IPC and program participants.
   b. Monitoring Model Charts, including consultation with Product Line Specialists and the IPC, to help assure non-disclosure.
   c. Development and delivery of orientation sessions for representatives of new participants and new reporters of current participants.
   d. Administering the public release and/or sale of the farm equipment Flash Report and North American Model charts.
   e. Subscribing to the standard listings for geographical codes of US states and counties; Canadian provinces, counties and census sub-divisions; and countries of the world; and make such information available to the IPC and participants.

4. Providing legal counsel, as appropriate, to review proposed programs, agendas, minutes, policy and procedure manuals, and any other business of the committees.

5. Coordinating statistics meetings, projects and events by:
a. Making and communicating arrangements regarding meeting dates, locations, and times.
b. Distributing meeting announcements, agendas and other related materials at least thirty (30) days prior to the meeting.
c. Notifying participants to submit proposals in writing to staff at least thirty (30) days prior to the meeting for posting on the website so committee members can study them and be prepared to respond.
d. Prior to the meeting, confirm with those committee members who are to present or lead discussion in the meeting that they plan to attend and are prepared.
e. Recording minutes of each meeting for review as prudent by legal counsel, providing draft copies to the Chair and distributing completed minutes within thirty (30) days following the meeting.

6. Supporting the interests of the committees by:

a. Providing appropriate access to the AEM Board, product groups, and other entities within the association to facilitate communication on statistical matters.
b. Communicating with the AEM President and the SEC on matters of budget, policy, legal concerns, and special projects administration.
c. Recruitment of new participants, either current or prospective AEM members that will further improve the quality of statistics being collected and distributed.
d. Advising the SEC on member needs for changes in statistics and statistical services.
e. Using the SEC as a resource to resolve issues regarding the use of statistics about the industry, including information published by other organizations such as the U.S. Government or other private statistics groups.
f. Managing the statistics related information on the AEM website, including complete and current committee rosters.
g. Representing AEM in activities of the Intercontinental Statistical Committee (ISC) and the International Crane Exchange (ICE).
SECTION II–E: INFORMATION PROCESSING COMPANY

The fundamental responsibilities of the IPC include developing, maintaining, and operating the AEM system and databases and the performance of other services per the AEM contract and the annual Scope of Work document. Specific IPC responsibilities of which participating companies should be aware include the following:

1. Providing data acquisition, processing, and dissemination services:
   a. Processing and making available, per committee specifications, the industry output information (including all revisions) within three working days after receiving the last company’s correct input data.
   b. Make available flash reports to all reporters within one day of receipt of the latest correct data input.
   c. Provide the ability to maintain all model charts, including updates and printing capability, on the AEM system.
   d. Providing data processing services and associated software support to enable input and transfer of data between the companies and the IPC.

2. Providing database / data warehouse services:
   a. Maintaining individual company data in the AEM databases indefinitely unless otherwise directed in writing by the individual company, subject to a minimum retention of 24 months plus the current year.
   b. Maintaining industry data, model charts, and support/control tables in the databases indefinitely.
   c. Develop and maintain internal coding/control mechanisms for items such as products and sizes, companies and parents, etc. necessary for processing and presenting data and provide the means to export these tables for participant use.
   d. Incorporate into the database and software the uniform geographic coding system and updates provided by AEM for countries, states, provinces, counties and sub-counties.

3. Providing coordination, quality, and data integrity facilities:
   a. Contacting, as needed, participating companies to help ensure reports are submitted accurately and on-time. The IPC will contact late reporters and request assistance from AEM staff as needed to maintain the processing schedule.
   b. Maintaining online status reports to provide visibility of reporting and audit activities.
   c. Administering data audits per the approved audit procedure. (See Section IV.G)
   d. Conduct AEM system training, normally via teleconference, for reporters from new participating companies, and new reporters from existing reporting companies.
   e. Conducting and posting the results of an applicable committee’s annual Reporting Procedures Survey among all program participants via the Internet.
   f. Consulting with participating companies regarding the gathering and transmitting of input data, and the processing and publishing of output data.
   g. Produce reporter’s logs and report cards.
   h. To maintain and provide AEM access to the names and contact information of all persons at participating companies who create, transmit and have access to data.

4. Security, privacy, backup, and recovery:
a. All data reported into AEM statistics programs is treated in a confidential manner that does not allow any reporting company to see any other company’s data. Only those IPC staff with a need-to-know will have access to individual company data. The IPC shall not share or disclose any data to any persons or entities other than authorized AEM Statistics staff and authorized participating company representatives. AEM Statistics staff are only authorized to view member data during the second round of an audit request and only member data related to the specific audit case. Outside of the audit process, if AEM Statistics staff require access to member data, they must provide an explanation to and request approval from the Hargrove & Associates (HAI Board of Directors). The explanation must include a description of the data that needs to be accessed. If the HAI Board of Directors votes in a simple majority to approve AEM Statistics staff access to member data, the IPC will then provide Statistics staff with access to the specific data described in the request. If a member company voluntarily authorizes AEM Statistics staff to have access to its data, additional authorization from the HAI Board of Directors is not required, and the voluntary authorization must come in a documented format (for example, e-mail). In a fully disclosed statistics program (be it Domestic, Worldwide, Regional), AEM Statistics staff has access to member company data. AEM Statistics staff shall not share or disclose any data to any persons or entities outside of the Statistics department. Inappropriate disclosure of company or industry data by either the IPC or AEM staff will result in immediate and severe consequences that may include termination.

b. To contact reporters when a company has a product(s) or model(s) for which no data have been reported for the last twelve (12) months and suggest the company end-date the model(s). If end-dating is not carried out, notify AEM staff for further follow-up with the company.

c. Make provisions to ensure that all electronic data transfer (input and output) is performed in a secure, encrypted environment that is protected from interception.

d. Employ a firewall to prevent unnecessary access and malicious attacks from Internet hackers to the IPC network. Access to servers and some portion of the AEM system website are password encrypted, with no record of passwords kept after delivery.

e. Providing continual updates of virus protection software.

f. Maintaining a security system to prevent unauthorized entry and theft of data, and daily backup and storage of the database information at an off-site location.

g. The IPC will assign individual UserNames, User Credentials and Passwords to authorized AEM participants. The IPC will authorize the first two (2) User Credentials; member companies requiring additional Passwords will need to purchase them directly from the IPC. The IPC will monitor use of these accounts to deter sharing of UserNames. The IPC will maintain a system allowing and requiring regular changes in passwords by the participants and algorithms to help insure strong, unpredictable passwords. The IPC will respond immediately to deactivate User Credentials instructed by companies or AEM.

5. The IPC may not consult with any company for marketing or strategic analysis or interpretation of data where the IPC’s knowledge of industry data would create potential conflict of interest.
SECTION III - COMPANY PARTICIPATION

SECTION III-A: REQUIREMENTS FOR COMPANY PARTICIPATION

All companies participating in AEM statistics programs must understand and meet the following basic requirements, and must comply with all other policies and procedures contained in this Manual.

1. Participation in AEM statistics programs is voluntary.

2. Companies that are engaged in the manufacture and/or distribution of machinery or equipment and meet the requirements of the specific programs in which they wish to participate must be admitted to the programs, provided that they agree in writing to comply with the program rules, pay any required fees, and participate in all programs within a Product Segment (see # 4 below) for which they have products.

3. Data must be reported by or on behalf of all participants for all models and product lines that are manufactured by them, or on their behalf, for all programs that are included in any statistics Product Segment in which they participate. A company (parent and all affiliates) may choose to participate in one product segment, but not another.

   a. For North American programs, AEM member companies must report all activity/data from all worldwide sources including licensees, subsidiaries, joint ventures and any other manufacturing/marketing arrangements to destinations in the United States and Canada.

   b. For worldwide programs, AEM member companies must report all activity/data from all worldwide sources including licensees, subsidiaries, joint ventures and any other manufacturing/marketing arrangements, to all destinations in the world. Anytime this results in worldwide data not being reported by the AEM member company, that AEM Member Company will not have access to worldwide data.

   c. Participation in any North American programs requires participation in any corresponding international statistics program for those products with the exception of the International Crane Exchange (ICE) which has voluntary participation. Anytime this results in worldwide data not being reported by the AEM member company, that AEM Member Company will not have access to worldwide data.

   d. For Latin American programs, AEM member companies must report all activity/data from all worldwide sources including licensees, subsidiaries, joint ventures and any other manufacturing/marketing arrangements, to all destinations within each respective Latin American regions as defined by each of the Latin American statistics program(s). The mandatory reporting requirement is specific to participation within a chart and not the geographic region.

4. Product Segments are defined by the SEC. They consist of groupings of committees and/or product lines having similar interests, applications, product lines, constituencies, etc. The Product Segments are:
Selective reporting (cherry picking) within a Product Segment is not permitted. An entity (Corporation, LLC, etc.) that participates in one or more product line programs within a Product Segment is required to participate in all product-line programs within that Product Segment in which the entity (and any other entity it controls, as defined below) is eligible to participate.

Entity A controls Entity B if A owns or controls, directly or indirectly, more than 50% of the total voting power of share of capital stock or other equity interest entitled to vote for B's board of directors or other members of B's governing body. If A does not control B, then A cannot be expected to require B to report its data within a Product Segment.

NOTE: If A and B are related (e.g. A owns a non-controlling interest in B, or A and B are sister companies owned by the same parent company) and B does not report its data, A is prohibited from sharing any of its AEM market data with B.

5. Each participating company must agree to abide by the spirit and the specifics of the policies and procedures contained in this manual, and to report company input on or before the program due dates. Early submission of data is encouraged.

6. The company must maintain adequate systems to properly comply with the requirements of the program(s) in which it participates.

7. Companies must inform the AEM staff of the name, address, phone/fax numbers, and e-mail address of the person(s) who will represent the company on statistics matters and an alternate.

8. Companies must inform the IPC of the name, address, phone/fax numbers, and e-mail address of the person(s) who will submit company data and access the consolidated industry information and an alternate. Passwords issues by the IPC to reporters are unique, user specific and may not be shared within a company. When personnel changes occur, the AEM staff and IPC shall be informed immediately to avoid potential security exposure.

9. Participating companies and their personnel must treat AEM industry data as proprietary and confidential. These data are not to be divulged outside the participating companies, except to their authorized dealers/distributors. Company and dealer personnel should not have access to these data unless and until they have been informed of this policy and have agreed to
comply with it. If necessary to provide data to an outside organization such as a consultant, a written non-disclosure agreement is required. Each participating company is required to sign an Agreement every year confirming this Agreement.

10. Participants who experience timeliness, data integrity, and/or compliance problems may be required to enter the Participant Assistance Program. Details of this program are listed in Section III-E of this Manual.

11. Program participants must respond completely and on-time to surveys and other requests for information as directed by AEM.
SECTION III-B:
ADDITIONAL REQUIREMENTS FOR NEW COMPANY PARTICIPANTS

Following are the additional requirements for new participants in the statistics programs. It is important they be informed of the requirements set forth here and in the preceding section and they agree to comply with such requirements prior to joining the program.

1. It is preferred that new participants enter a program at the beginning of a year, with the January data cycle. In order to do so and allow adequate time for orientation, system setup, model chart preparation, training, and any needed company process changes, their entry must be approved by November 1. They may enter a program during the year if approved by the committee, but must back-report data to the beginning of the year in the same detail and time periods as if they had started in January, at the risk of having their data for those periods disclosed to others in the program. If a company does decide to start mid-year they must be unanimously approved by all participants in each product they would be reporting and sign a Waiver of Disclosure Mid-Year Entry, before any industry data is received. (See Appendix M)

2. Complete an orientation program by AEM statistics staff prior to reporting any data. The orientation may be conducted at the company office, via teleconference, or in a group meeting, at the discretion of the AEM statistics staff based upon knowledge of the company, complexity of the program(s), and prior reporting experience, if any. Attendees should include, at a minimum, the person who will be the company statistics representative, the person who will report the company data and receive the industry output, and the company executive responsible for this activity. There is no charge for this session. The orientation will cover the following:
   a. Information about AEM
   b. Requirements of statistical program reporting
   c. The data they will be required to collect and input
   d. Statistical program policies and procedures
   e. Information on the committees and how they work
   f. Responsibilities of committee members (all participants)

3. At the orientation, member company representative/department head must sign an agreement:
   a. Verifying that a duly authorized representative of the company has read and understands the reporting requirements of the statistics programs in which it will participate and can comply with them beginning with the first reporting period.
   b. Acknowledging that the company may be subject to monetary penalty, suspension, or expulsion for failure to comply with these reporting requirements as outlined herein.

4. Prior to reporting any data, complete a training program conducted by the IPC on the use of the AEM system for updating model charts, reporting company input, and receiving industry output. Such training is normally via teleconference, however if an on-site visit by the IPC is required, the company would be responsible for all travel expenses of the trainer.
1. When a participant purchases a non-reporting company, or a product line of a non-reporting company, whose products qualify for inclusion in any Product Segment(s) in which the purchaser is reporting, the purchased company must start reporting, or the purchaser must withdraw from the segment.

2. When a non-participating company purchases a participating company, and the non-participating company has products that qualify for the product segment(s) in which the purchased company reports, the non-participating purchaser’s products must be reported or the purchased company must withdraw from participation in the segment.

3. When a participating company purchases another participating company and both report products in a product segment, it is expected that reporting will continue uninterrupted.

4. If one company in a merger/acquisition situation is a participant and one company is not a participant, in consideration of the purchasing company providing AEM staff a written commitment to initiate reporting as required, a reasonable amount of time will be allowed for the non-reporting company to prepare to participate, not to exceed the following:

   a. If the purchase is completed in the first 8 months of a calendar year, the non-reporting company must report starting in January of the following year, unless an extension is requested and approved.

   b. If the purchase is completed in the last 4 months of a calendar year, the non-reporting company must start reporting no later than the second January following the date of purchase.

   c. If the required written commitment is not received by AEM staff within 45 days of the completed purchase date, the participating company will be excluded from further reporting.

5. Access to historical data:

   a. Historical data for purchased reporting companies will be made available to the purchasing company, whether the purchaser is a reporting company or a non-reporting company, only if the company agrees in writing (see 4 above) to comply with the provisions of this Manual.

   b. Historical data is only available during the time for which the purchased company has been reporting into a particular program.
SECTION III-D: ENFORCEMENT POLICIES

AEM staff is to make all statistics committee chairs/vice chairs aware of the following enforcement policies, noting they should compare the proposed standard to any existing policy of that particular committee. If a committee has an established policy, or if a committee without a policy wishes to create a unique one, it must be submitted to the SEC for review and inclusion as an appendix to this manual. For committees having no such existing policy and not wishing to create a new one, the following policy will apply.

AEM PARTICIPANT ASSISTANCE PROGRAM

1. AEM staff and the IPC will monitor statistics participant’s performance. A company may be placed in the AEM assistance program based on any of the following criteria:

   a. Timeliness - the company is consistently late in reporting data.

   b. Compliance - the company does not follow all standard committee rules and procedures.

   c. Data integrity - the company is not supplying all of the required data, and/or the data submitted is likely erroneous.

2. For companies reporting from more than one source, all involved representatives and the parent company are responsible for ensuring compliance with all reporting policies and procedures. Once notified by the IPC there is a potential for double counting or omission, these companies are responsible for correcting the issue.

TIMELINESS

1. All companies who are late on flash and/or actual reporting of data four times during a rolling 12-month period move into the AEM Timeliness Assistance program.

2. On the first late reporting occurrence, the IPC will talk to the reporter to determine the reason for tardiness and explain the importance of timeliness.

3. On the second occurrence tardiness, the IPC will notify AEM and offer additional training to the reporter with both the IPC and AEM staff.

4. On the third occurrence of tardiness, AEM staff will contact the company’s senior management reinforcing the importance of timely reporting and encouraging the company to improve.

5. If the company is late four times during the next 12-month period, it must drop out of the program or post a performance guarantee of 25% of its annual AEM dues or $5,000, whichever is smaller.

6. After posting the performance guarantee, if the company is not late four times during the next 12-month period, the performance guarantee will be returned to the company.
7. If the company is late four times during the next 12-month period after posting the performance guarantee, it will forfeit the guarantee and will be suspended from the statistics programs until the company can satisfy AEM statistics staff and the appropriate committee that it is capable of compliance.

8. If approved, the company may re-enter the statistics program by meeting the same requirements as a new participant.

9. If training on the AEM software is necessary at any time during the Timeliness Assistance program, AEM will pay ½ the professional fee for the trainer. The company will be responsible for the other half of the professional fee plus all travel costs for the trainer if training is done on-site.

**COMPLIANCE**

1. A company is moved into the *Compliance Assistance* program if it scores below 70% on the AEM annual report card, but has reported late less than four times during a 12-month period. (*Report card measurement criteria are attached in Appendix I.*)

2. The first year a company is in the Compliance Assistance program, the statistical reporter and the OCR of the company will receive a letter from AEM senior management reinforcing the importance of the statistics programs and encouraging the company to improve its score.

3. AEM staff will contact the company to assist the company in improving its score and consult with the company to develop a compliance plan.

4. The company must agree in writing to the compliance plan. Failure to agree to the compliance plan could result in expulsion or suspension from the statistics program, as determined by the SEC.

5. If the company scores below 70% in the year following its adoption of the compliance plan, it will have to post a *performance guarantee* of 25% of its annual AEM dues or $5,000, whichever is smaller.

6. If the company raises its report card score above 70% during the year (12 months) after posting the performance guarantee, the performance guarantee will be returned to the company.

7. If the company does not raise its score above 70% during the next year (12 months) after posting the performance guarantee, it will forfeit the guarantee and will be suspended from the statistics programs until the company can satisfy AEM statistics staff and the appropriate committee that it is capable of compliance.

8. If approved, the company will re-enter the statistics program by meeting the same requirements as a new participant.

9. If training on the AEM software is necessary at any time during the Compliance Assistance program, AEM will pay ½ of the professional fee for the trainer. The company will be responsible for the other half of the professional fee plus all travel costs for the trainer if training is done on-site.
DATA INTEGRITY ISSUES

1. When it is determined that a company has data integrity issues, AEM staff will determine whether it should contact the company and develop a compliance plan.

2. The company must agree, in writing, to the compliance plan. Failure to agree to the compliance plan could result in expulsion or suspension from the statistics program, as determined by the SEC.

3. The IPC will notify AEM staff of any companies reporting zero (0) data for any product line or size class for the current rolling 12-month period, following which AEM staff will notify the company contact to determine the cause of the omissions. The committee will be asked to consider the circumstances, and the company reporting zero data could face possible expulsion or suspension from the statistics program or other sanctions. Prior to the imposition of any expulsion or suspension, the committee will make a recommendation for approval by the SEC.

Other data integrity issues that will be monitored include (but are not limited to) the following:
   a. Illogical data combinations
   b. Failure to report rental conversions if the company is reporting “first rentals”.
   c. Others - to be developed.

SECTION III-E: PARTICIPATION RECRUITMENT

AEM staff is expected to recruit new member participation all year long. However, the following schedule should be followed for a new January 1st participant:

<table>
<thead>
<tr>
<th>Jan - Oct.</th>
<th>AEM staff recruits new participants.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Month of Oct.</td>
<td>AEM staff sends spec sheets to the Product Specialist for approval in all programs.</td>
</tr>
<tr>
<td>No later than 1 Nov.</td>
<td>AEM staff notifies IPC of the new participant and performs association orientation.</td>
</tr>
<tr>
<td>Dec 1-15</td>
<td>AEM staff provides model charts and reporter (and back-up reporter) information to IPC.</td>
</tr>
<tr>
<td>Dec 15-31</td>
<td>IPC provides data entry, and report extraction training.</td>
</tr>
</tbody>
</table>

Note: Some participants (with committee approval) can join mid-year. In this case a signed Disclosure Form is required as well as back-reporting to January of the current year.
SECTION IV - REPORTING PROGRAMS

SECTION IV-A: PRODUCT REPORTING CRITERIA

To be eligible for reporting, each product must be distinguishable by the critical technical specifications of the product, as designated by the appropriate committee. Each committee will develop product definitions, reporting criteria, model charts, and other procedures to ensure accurate reporting.

It is common practice that the data pertaining to a product is reported by size class or other type category. Each product and size class must include the products of at least three distinct and separate companies to prevent disclosure in non-disclosed reports. See “Disclosure Prevention” for details (See Section IV-F).

Products sold by a manufacturer on an OEM basis to another reporting company shall be reported by the marketing company and not the manufacturing company. The goal is to obtain accurate data and the marketing company should have the more direct link to the actual customer. If the manufacturer actually receives better timely data than the marketing company, an exception could be made whereby the manufacturer reports the data, provided there is no double reporting. The policy regarding products sold on an OEM basis to a non-reporting company varies by committee or program from being reported as “special geography” to not being reported at all. Refer to the “OEM sales to non-participating companies” in Appendix E.

Statistics programs for new products or product groups may be created upon request by the participants involved. If the products seem to fit within the domain of an existing committee, the proposal should originate within that committee, with review by the Statistics Executive Committee. If there is reason to believe a new committee should be formed, then the proposal would be made directly to the SEC. A factor in the consideration of the request is that the proposed product group will not infringe on an existing program already organized for that product. The SEC will provide counsel to resolve if the product group should be made a part of an existing committee or be established on its own. For new product groups that are outside the current purview of AEM, the SEC will provide a recommendation to the AEM Board of Directors.
SECTION IV-B: DATA, REPORTS, ACTIVITIES, and PROFILES

The following information applies to the majority of the iSTAT programs but not all programs. This may not be all-inclusive.

The AEM reporting system was designed and developed with centralized databases at its core. These contain all of the company and industry statistical data, including model charts. Some of the database components serve as control tables that not only control many of the system’s main functions, but also provide flexibility whereby the companies can choose variations or combinations of reports in addition to accessing the “standard” reports as approved by the committees. For example, the activities of first rental and new machine retail sales can be combined to form the value “first-in-the-dirt”.

In the scheme of submitting company input and retrieving output, the term “report” is used to identify a unique combination of product, activity, frequency, and model chart as defined by the committee. An activity identifies an event that is tracked in the life of a machine, such as shipment, rental, or retail sale, or a state of a machine, such as being in dealer inventory. All reporting is based on model charts. In this context of defining a report, “model chart” distinguishes, for example, between the model charts for the North American market versus the one for the worldwide market. Codes and meanings are assigned by the IPC as needed and communicated to the reporters.

Reports may be added or deleted from time to time, or the details included can be expanded or contracted, as approved by the vote of the reporting companies with products involved in such reports. Companies will have access to reports covering all available details of the products they report. Policy regarding data distribution to non-reporting companies is determined by the members of the committee and/or participating product reporters involved.

One of the more important control mechanisms of the system is the profile. For each reporting entity there is an input (company) and an output (industry) profile. The input profile defines exactly what a company (reporter) is expected to input. Each entry defines a “report” (as explained above) and characteristics, such as what geography and what attributes are required. The output profile defines similar information pertaining to the consolidated industry data. The profiles can be viewed and analyzed through the system and thereby provide a complete list of what is available to each company. The profiles provide a high degree of flexibility and can be tailored to each company. For example, a company may elect to input data by county even though an industry program is by state. This profile concept simplifies the addition, deletion, or modification of reports thereby reducing or eliminating application programming changes, while literally driving the system. Each company needs to verify its profiles, especially the committee-approved changes, at the start of each year in coordination with the IPC.
SECTION IV-C: DATA REPORTING PROCESS

The standard method of reporting original data and revisions, for distribution of consolidated industry data, and for updating model charts is through the use of the AEM software, on the Internet, by the reporter. The software provides reporting companies access to model charts, consolidated industry data, and the company’s reported data. As a secure web-based system, online access can be granted to many users at a company’s discretion.

Data Accuracy And Timeliness

To promote data accuracy and enhance value, each company will comply with the following data input requirements:

1. The due dates (see Appendix B) are the latest dates by which input data should be submitted, usually by 12:00 noon Central Time. Participants are strongly encouraged to submit their data as soon as accurate and complete data are available prior to the due date. In so doing, delays caused by errors or questionable data are sharply reduced, if not eliminated, and publication of industry data occurs earlier.

2. If at any time the reporter cannot meet the due date, it is his/her responsibility to inform the AEM staff and the IPC in advance and state the reason for the delay and the date when the data will be submitted.

3. The due dates and times for each general category of data and each committee are enumerated in the appendices to this manual. There are variations on the due date when it falls on Saturday, Sunday or holiday.

4. All data input will be prepared in conformance with the provisions of this manual, the input profile, and the system requirements.

5. All data will be based upon permanent company records and will not duplicate any previously reported data.

6. The IPC will maintain a status report on the Internet depicting the current status of data input, processing, and output publication. Information will be shown by product, model chart, and company reporting entity.

Input reports

The basic premise of the AEM system is one-time reporting of all information pertaining to a particular activity and chart, i.e. input report. For example, a retail sale transaction may be by county and contain customer type, first use, and dollar values. Some of these elements may be accessible in the consolidated data at different times and in different detail, such as some dollar values being released annually and summarized by country.
There is a primary exception to the one-time reporting premise: flash reports versus actuals.

**Flash Report**

A flash report normally includes retail sales activity or subsets, like 3-part reporting. It is regarded as the first, early estimate of retail sales activity for the United States and Canada, although companies are strongly encouraged to submit the actual numbers and many do so. If actual data have been entered, the system will allow the calculation of the flash input from the actuals. Flash input is normally due a few days before actuals with results published separately.

**Actuals**

Actuals are a comprehensive, complete reporting of data. These data are reported with all the detail required for a particular program, i.e., full geographic detail, final delivery, new retail, first rental, rental conversion, customer type, first use, dollar value, front wheel drive, etc.

**Input data reporting requirements**

Input data must be submitted to the IPC on or before the required date as described below:

1. Data may be entered via online entry or by importing a company-created computer file according to IPC specs, or a combination thereof.

2. Most North American input data are submitted by model or further by serial number at company discretion. Exceptions to that norm would be data previously reported under different committee rules with input by size class. Similarly, worldwide data reporting may be by size class, serial number, or by model. To enter data by model, the model must have been previously entered into the appropriate model chart (see Model Chart Section IV-E). When a company enters data by size class, it must have a model in that size class, but there is no link between the data and a valid model number. The input method is indicated in the input profile.

3. The AEM system provides the option of entering company data by serial number. This has often proven to enhance data quality, while allowing data to be input throughout the month, rather than aggregating totals at month-end. Data quality enhancement results from elimination of duplicate transactions for a machine and from other rules that can be employed, such as a machine cannot have a rental conversion that has not first been rented, nor can a machine be rented that has not been shipped.

4. The software performs various data quality checks as the data are entered and as the company-approved data are submitted to the IPC. If problems are detected, error messages alert the reporter, who must correct the data before the system will proceed. Additional quality checks are performed by the IPC after input data are received from each and from all participants. The reporter is informed of any concerns or corrective actions required.

5. Every report must be submitted even if the total activity is zero.
6. Revisions to earlier reported months’ data are transmitted at the same time as the data for
   the current month. (Procedures for reporting revisions follow below.)

7. For a program requiring first-use, if the first-use of a machine is not known at the time of
   reporting, it can be reported as “not yet known” until it is known. The correct first-use for
   that product should be reported as soon as possible but within no more than 3 months.
   However the use of “not yet known” is strongly discouraged.

**Publication by the Information Processing Company**

No data will be published until 100% of each reporter’s data within a product has been received,
checked, and processed by the IPC. As industry data are completed for an individual product or
groups of related products, publication may occur. Industry data will be released to all recipients of
a product line/model chart at the same time, regardless of the form of distribution.

**Method of Data Distribution**

The AEM system on the Internet is the standard for data distribution. A statistics group may decide
to have more than the standard method of distribution after consultation with the IPC, approval by
the SEC, and the appropriate assessment of a fee for the additional form. The fee assessed should
at least cover the cost to the IPC for providing the service.

The committee, the IPC, and AEM staff may, for some low data-volume statistics programs, decide
on another standard form of distribution.

1. All companies that access data via the AEM system are simultaneously notified by e-mail
   when the consolidated industry data are available.

2. The data distributed in a reporting cycle includes the last reported period data and any
   revisions to previous periods.

3. The software is designed to allow reporters to produce market share reports for their
   company as well as separate reports of industry or company data.

4. No company can access another company’s data without permission of the company
   originally submitting the data.

**Revisions**

Revisions to previously reported data should be reported when known. The AEM software provides
the means to report revisions. Each committee may establish policy with regard to the time period
in which the revisions are to be registered on a consistent basis. The methods adopted by each
committee are enumerated in the “Revision time periods” Appendix D. Either:

1. All revisions must be applied to the month when the unit(s) was originally reported, not the
   current reporting month. In this manner, a cancelled sales report is treated as if it never
   existed. Negative industry numbers or industry numbers exceeding a company total cannot
   exist at even the finest level of detail. This is prevented by audits within the system, or

2. Returns or repurchases must be applied to the current reporting period. This is consistent
   with the typical accounting view of the world. Negative industry numbers and industry totals
   exceeding company totals may exist, particularly at detail levels.
3. Corrections to elements such as geography are to be applied to the month when originally reported.

Questions regarding data:

All questions regarding data should be directed to the IPC. Questions concerning the policies of the statistics programs should be directed to the AEM staff.
SECTION IV-D: DATA DISTRIBUTION POLICY

Recipients

Each committee may determine the distribution policy for the consolidated industry data of that particular group. At a minimum, all participants can receive all the data for the products they reported. In a few instances an exception is made to restrict access to the size classes within a product in which the company reports. Whether companies are eligible to receive any data for products they do not report and any limitations on the amount of detail available to them is to be determined by the committee. In some instances the rules can vary by sets of products. The distribution policy exceptions are enumerated in the “Data distribution to non-participating companies” Appendix C.

Participants may receive industry data for only the specific time period in which they participated in the given program. Historical data are not available to new participants.

It is the responsibility of the recipients to treat AEM industry data as proprietary. Industry data are not to be divulged outside their company/dealer organization. An exception would be to provide data to a consultant contracted by the company, provided the consulting firm signs a non-disclosure agreement regarding the data. Participants should inform those in their company who have access to the data of this policy. All reports should be identified as confidential. It is the responsibility of all participants, AEM staff, and the IPC to institute steps to enforce confidentiality, including practices such as shredding hard copy reports no longer needed and protecting individual passwords.

Public Information

Requests to provide reports other than the public flash reports for U.S. and Canada agricultural products to the general public shall be declined by staff. Should a request appear to be worthy of consideration, it will be presented to the appropriate committees for potential action. To proceed, the committee, SEC, and AEM Board of Directors must approve.

North American model charts, source country information, and Ag Tractor and Combine historical data are available for purchase by the public through the AEM web store.

Latin America Regional Programs:
Unless otherwise noted on this document, Latin America Regional Program participants will follow the distribution rules as described on this manual.
SECTION IV-E: MODEL CHARTS

Model charts control the input of data into the system for processing. A product program must have a model chart in order to be operative. Model charts identify commercially available models including those phased out of production but still available, along with the size rating, the name of the marketing and manufacturing companies, and the country of origin. In addition, parent/subsidiary relationships are identified and maintained. Participants must keep the model listing up-to-date in order to input data into the system each reporting period, particularly when data are input by model or serial number.

Model charts serve as the means to check that there are at least three independent parent companies in each size class in order to avoid the disclosure of individual company data. This is done with respect to both marketing and manufacturing organizations. They also serve as a means to check machine ratings with the product specification sheets published by the reporting company.

Generally the policies and procedures for model charts are the same for all charts - North American, Worldwide, and Western Europe. One major difference is that the North American model chart maintenance program, by committee policy, automatically places each model in the size class consistent with the actual machine rating, while in the Worldwide and Western Europe model charts, participants specify the size class for each model as deemed appropriate, again as a matter of member policy. The latter also applies in North America when input is by size class rather than model.

It is recommended that those participants that report North American and worldwide data from more than one location assign one location the responsibility for all model chart maintenance. If this is not possible, the company should establish procedures for the coordination of communications from the various locations to ensure that all models are listed properly and consistently.

1. Participants may make changes to their own models only. If a participant questions the model listing of another company, the question should be sent in writing to the Product Specialist, if no Product Specialist is assigned, then forward the question to AEM staff.

2. The model chart identifies the participants.

3. The company will enter new models in the model charts when the first commercially available unit is shipped, or sooner at the company’s discretion.

4. Companies that have models with activity to report prior to the official public introduction date and do not want the model data available to other participants in the program may elect to utilize the “hidden models” feature of the system as follows:
   a. Only models shipped or in inventory may be reported under this feature.
   b. Hidden models can be reported for a maximum of 3 months. This is accomplished by noting the start date in the model chart as up to 3 months after the unit is entered into the company’s model library. The start date cannot be changed once data are entered for the unit.
c. The start date entered by the company should indicate the month, for which the unit will be reported, i.e., if the company enters a start date of September, it indicates that the unit will be reported in the September data that is due in October.

d. This feature cannot be used for companies entering a new product line, but only for product lines in which a company already participates.

e. Once retail activities are entered for a “hidden model”, the “hidden model” feature is released and the model is shown on the model chart.

5. Phased-out models are to be included in data reported until all inventory is depleted. In a retail sales program, this includes depletion of both factory and dealer inventory, with all rental units converted (sold) to an end use customer. Once the model is no longer available, an end date should be entered into the model chart(s). The end-dated models will remain on the model chart through the end of the year specified in the end date. Note: Models may be reported in DORF programs even though they do not appear in the model chart.

6. Regularly, the data included in the model charts should be reviewed for accuracy.

   a. Updates to the model charts are made “real time” and are available to all users of the AEM system as they are made, within the constraints of start dates.

   b. Each company must edit its list of models for accuracy and make any additions, deletions, or changes as they are known.

   c. Product Specialists should review model charts for accuracy, completeness, and disclosure at the beginning of each year and periodically throughout the year.

   d. IPC staff should be informed of any irregularities.
SECTION IV-F: DISCLOSURE PREVENTION

These provisions establish the minimum requirements necessary to prevent disclosure of individual company data:

1. All AEM statistics program data must be processed by an independent firm under contract to AEM. No data shall be processed by the AEM staff. All data reported into AEM statistical programs is treated in a confidential manner that does not allow any reporting company to see any other company’s data. Only those IPC staff with a need-to-know will have access to individual company data. The IPC shall not share or disclose any data to any persons or entities other than authorized AEM Statistics staff and authorized participating company representatives. AEM Statistics staff are only authorized to view member data during the second round of an audit request and only member data related to the specific audit case. Outside of the audit process, if AEM Statistics staff require access to member data, they must provide an explanation to and request approval from the Statistics Executive Committee. The explanation must include a description of the data that needs to be accessed. If the Statistics Executive Committee votes in a simple majority to approve AEM Statistics staff access to member data, the IPC will then provide Statistics staff with access to the specific data described in the request. If a member company voluntarily authorizes AEM Statistics staff to have access to its data, additional authorization from the Statistics Executive Committee is not required, and the voluntary authorization must come in a documented format (for example, e-mail). In a fully disclosed statistics program, AEM Statistics staff has access to member company data. AEM Statistics staff shall not share or disclose any data to any persons or entities outside of the Statistics department. Inappropriate disclosure of company or industry data by either the IPC or AEM staff will result in immediate and severe consequences that may include termination.

2. The IPC and AEM staff must commit in writing to the confidential handling of the data. Only those employees with a need to know would have access to company data. This includes situations like audit requests, data accuracy checks, regional programs and company-initiated assistance. Unauthorized distribution of data by the IPC or AEM staff to other than eligible participants is not tolerated and constitutes grounds for termination. In the case of regional programs, the North American representative of the company involved will be notified of the individual who has requested assistance. Individual company data will be provided by the company on a voluntary basis.

3. The model charts for the U.S. and Canada, one per product reported, will be used to determine disclosure for the data reported in the North American statistics program.

4. The model charts for the worldwide reporting programs will be used to determine disclosure for the worldwide shipments and retail sales programs.

5. The disclosure test will not be applied to states, provinces, counties and census subdivisions or other reported geographic detail, and will not be applied by country in the worldwide program.

6. If disclosure is found in any size class, the appropriate participants will determine how the size classes will be handled - by combining with the next higher or lower size class, eliminating the size class, or the suppression of the data. Decisions on combining classes should be based on previously combined classes existing in historical data when practical.
7. The restriction that at least three companies must report in a size class may be exempted by written waiver of disclosure furnished to AEM by all of the companies involved. A form (Appendix H) for such purpose is available from the AEM office.

SECTION IV-G: AUDITS

If a reporter has reason to question the accuracy of any specific industry data, a formal audit can be requested. Before making a request for a formal audit, the reporter will contact AEM to discuss the issue and AEM can facilitate an attempt to resolve the matter.

The formal audit procedure is:

1. An audit request is to include:
   a. Product
   b. Time period in question
   c. Report (activity) in question
   d. Size class(es)
   e. Geographical area
   f. Other values being questioned such as customer type or first use.
   g. The nature of the problem, such as: quantity too high or too low, incorrect county reported, inappropriate customer type or first use.
   h. Any supporting explanation or commentary that can assist the IPC or competitive reporters in reviewing the situation and/or support your concern.

2. The data audit request must be sent in writing to AEM and the IPC using the audit form (see Appendix P).

3. The IPC will first attempt to identify the source of the questioned information by reviewing relevant input data, and then contact the source for verification and correction of misreported data. If such a data review does not identify a likely source, the IPC will issue an audit request (and copy AEM Staff) to all reporters in the particular segment to verify the questioned data, reply to the audit, and file appropriate revisions.

4. Company response to audits should be completed within 3 weeks of the request.

5. All reporters of the data involved in the audit request will be informed of the audit results.

6. A status report for each audit will be maintained on the IPC website.

7. Audits will be treated with priority similar to regularly reported data, as program credibility is essential.

8. Upon completion of an audit for which results are not satisfactory to the requesting company, a second request may be submitted. The IPC will issue a second audit request to the companies in the particular segment that reported suspect data, requesting further investigation (with notification to AEM staff). If the companies do not submit revisions, the IPC is to request that an explanation be provided in writing to both the IPC and AEM staff explaining why corrections are not in order.
Upon completion of second audit, where the petitioning company is still unsatisfied with the results, AEM staff will work with IPC and audited companies in an attempt to resolve the matter. Upon completion of AEM’s investigation, all parties involved will be notified of the final result.

9. Revisions resulting from an audit must be made within two reporting periods after the audit is completed.

10. During the Audit process, it is required that, in the event of an audit, if a company with questioned data has telematics data available and permission to use, this company must confirm on AEM/HAI’s official Audit Response Form that location telematics data has been checked, and they certify either that the location of first substantial use is correct with anonymized data/evidence provided (not mandatory) to back the certification, or they communicate that erroneous data will be changed.

First Substantial Use for audit purposes with examples

Draft language: For audits related to first substantial use location, companies with telematics data and permission to use this data must use the majority of its questioned machine’s first 100 hours of engine operation to determine county location. Until the machine’s first 100 hours of engine operation have been completed (or over 50 hours of engine operation have been recognized in the same county, whichever is first), it is the responsibility of the responding company to monitor the equipment in question weekly until a conclusive determination can be made. The results must then be reported back to the data processor as expeditiously as possible in order to resolve the audit, while submitting a revision if necessary.

Example 1: An audit has been initiated against Company Q regarding their machine QA’s first substantial use location. Company Q does collect telematics data from its equipment but does not have permission from their end users to access and analyze that data. Company Q would report back using the AEM Statistics Program Audit Response Form that they do not have permission to utilize their telematics data for analysis and therefore must resort to other means to verify first substantial use location, such as requesting location information from the dealer that sold QA if available. The result would be the same if Company Q does not collect telematics data, or if the equipment does not have telematics installed, or if the equipment has telematics installed but it has not been activated.

Example 2: An audit has been initiated against Company X regarding their machine XA’s first substantial use location. Company X does collect telematics data from its equipment and has permission to access and analyze that data. Company X has ascertained that XA has had its engine running a total of 51 hours of its first 100 hours of use in County Z. The majority of its first 100 hours of use in a specific county has been established and Company X should report back to the data processor that first substantial use location for machine XA has been established and either rejects the audit request to pin the location to a different county or adjusts the location as determined by their telematics analysis. There is no need for machine XA to run a total of 100 hours before county location has been established if the majority of those first 100 hours is already pinned to a specific county.
Example 3: An audit has been initiated against Company Z regarding their machine ZA's first substantial use location. Company Z does collect telematics data from its equipment and has permission to access and analyze that data. Company Z has ascertained that ZA has had its engine running a total of 60 hours of its first 100 hours of use - 30 hours of run-time have been pinned to County V, 30 hours of run-time have been pinned to County W. The majority of its first 100 hours of use in a specific county has not yet been established and Company Z should report back to the data processor that they are still waiting for ZA to run long enough to establish a county of first substantial use location, and they will continue to monitor the equipment weekly and report back with their determination as expeditiously as possible. Frequent updates from Company Z regarding their progress toward 100 hours to the data processor helps the data processor relieve any perception by the company initiating the audit that Company Z is being non-responsive in their audit response.

SECTION IV-H: ANNUAL START-UP PROCESS

Annually the model charts and profiles must be updated and prepared for reporting activity in the following year. The "startup" procedure is as follows:

1 Oct. AEM staff submits to the IPC all program changes for the next year for modification of the company and industry profiles.

Month of Oct. The IPC updates profiles and releases them to reporters for verification and correction if necessary. The system provides year-over-year comparison and analysis tools to assist reporters in reviewing. Companies are strongly urged to utilize these tools and closely check results to avoid costly problems with their data and delays in processing.

No later than 1 Nov. Reporters must begin review of the model charts and make additions or corrections as needed, particularly recording end dates on now obsolete models and adding new models that can be acknowledged publicly.

15 Dec. Deadline for reporters to complete model chart updates to start the new year and sign-off on the survey center. This is the starting point for review by product specialists.

15 Jan. Deadline for product specialists to complete the review of model charts for completeness and accuracy, review and resolve disclosure problems uncovered, and to sign-off through the formal review process in the AEM Processing website.

New year model charts must be complete, approved, and available to all participants before the first industry reports can be distributed.
SECTION IV-I: PROPOSALS FOR NEW OR REVISED PROGRAMS

Refer to the Product Reporting Criteria (Section IV-A) for additional guidelines and requirements regarding the initiation of reporting programs for products not currently covered.

Guidelines
For Submitting a Proposal
For Either a Change in an Existing Program or A New Program

AEM committee members should use the following guidelines for preparing a proposal for either a new statistics program or a change to an existing program. Following these guidelines will help other affected representatives to understand the proposal, will help AEM and the IPC evaluate the effects of the proposal on budget and the reporting system, and could enhance the potential for early passage. The AEM staff and the IPC will assist in developing a proposal as requested.

The proposal should be submitted to the committee officers and AEM staff 30 days prior to the meeting in which it is to be introduced. The proposal will be posted on the AEM web site and linked to the appropriate meeting agenda item. This will allow committee members to have sufficient time to study it, discuss in advance with the originator or other reporters, and to obtain reactions to it from their management personnel.

Questions about the use of these guidelines should be directed to AEM staff or your committee Chair. A corresponding Proposal form (See Appendix G) is available on the AEM web site that can be copied and modified for submission via e-mail.

SECTION IV-J: Regional Reporting Programs

Definition:

A regional program is comprised of a specific country or group of countries where statistics are reported at a granular geographic level. The regional program(s) may be administered by AEM and/or a local trade association.

In general, the programs will follow the AEM Statistics Policy & Procedures Manual, with the understanding that local trade association rules and business practices may apply.

For a listing of the current regional programs see Appendix K. See and Appendix L for the Funding Model fees that may apply.
Several committee listings, definitions, and documentation, plus system components including codes and values, structures, and control tables serve in effect as extensions to the main policy and procedure manual. These are separately documented and accessible to participants online, either on the AEM or through the IPC websites. Since these are authoritative sources of information that must be kept up-to-date, they are not duplicated in this manual, but simply identified here to call them to the participant's attention.

1. Committee documentation accessible on the AEM web site
   a. Policy and procedures manual and appendices
   b. Meeting agendas
   c. Meeting minutes
   d. Committee rosters
   e. Product specialists rosters
   f. Product definitions and reporting classification methods
   g. Proposal Request form
   h. Customer type and first use definitions
   i. Outstanding Merit Award criteria

2. System components accessible in the AEM statistics processing website
   a. Reporting and processing status reports
   b. Company report cards

3. System components accessible in the AEM processing system
   a. Companies and parents
   b. Company input profile, annual changes, and summaries
   c. Industry output profile, annual changes, and summaries
   d. Master industry profile (all data available)
   e. Master industry profile cross reference lists
   f. Customer Type and First use lists
   g. Geography lists - regions of the world, countries, states and provinces, counties, and census consolidated sub-divisions (sub-counties)
   h. Size classifications, company and industry
   i. Reporters logs
SECTION VI - DEFINITION OF TERMS

The following definitions are those currently in effect for all AEM statistics programs. This list does not preclude any statistics program adding to this list or modifying any of these definitions to better fit the product or type of program of their group. Any new or modified definitions must be added to this list with an explanation of why it differs from a similar term.

All terms are listed in alphabetical order.

Activity – events or states in the life of a product that are reported in the various AEM statistics programs, both domestic and worldwide. Activities are defined in the AEM system and identified by an activity-ID. They can include events/states such as: shipments, “first in the dirt” retail sales, final delivery retail sales, first rentals, rental conversions, retail sales of new machines (not previously rented), field inventories, Dealer Owned Rental Fleet (DORF) inventories, sales by customer type and sales by first use.

Auctions – Items sold at auctions are to be reported into the county of first use (if known); if this is not known, they will be reported into the dealer’s home county until a more accurate county is known, at which time revisions are required.

Attribute – a characteristic of a product or additional information reported as a subset of an activity as input and output for the product (e.g., company direct sales, mechanical front wheel assist, zero tail swing, etc.).

Ballot – the means by which a binding vote can be registered on an issue. A ballot may be secret or public, and may be cast electronically. At a meeting, a ballot may be conducted in paper form, or by “raising of the hand” or by registering a “yea” or “nay”. Absentee ballots are allowed in the AEM statistics programs, but no proxies.

Bookings – report all shipment “bookings” by worldwide geographic location (refer to AEM Processing System). When entering data, note that entries for this report should be in the following order:

1. **Net orders booked** - booked orders received (#2 below) minus cancellations received (#3 below)

2. **Booked orders received** by your company during the report month

3. **Cancellations received** which occurred in the current month to orders which were previously booked (in either current or previous months).

Census Consolidated Subdivision (CCS) – a grouping of Canadian census subdivisions within a containing census subdivision. They were created by Statistics Canada for ease of geographical referencing. They are also more stable than census subdivisions because most boundary changes involve the units contained in the group.

Census Division (CD) – Canadian geographical areas established by provincial law, which are intermediate between the census consolidated subdivision and the province. In some provinces,
these are equivalent to counties in the U.S. They were created to facilitate regional planning and the provision of services that can be more effectively delivered on a scale larger than a municipality.

In Newfoundland, Manitoba, Saskatchewan, and Alberta, provincial law does not provide for such administrative geographical areas; therefore, equivalent census divisions have been created by Statistics Canada in cooperation with these provinces. There are no census divisions in the Yukon Territory.

In Quebec, the “municipalité régionale de comté” (MRC), or its equivalent (communauté urbaine”, “territoire conventionné”, or group of MRCs) has been adopted as the CD level of the classification. This represents a completely new census division structure within Quebec since 1986.

CD boundaries tend to be relatively stable over many years.

Census Subdivision (CSD) – a term applied to municipalities as determined by provincial legislation or their equivalent: Indian reserves, Indian settlements, and organized territories. Beginning with the 1981 Census, each Indian reserve and Indian settlement recognized by the census has been treated as a separate CSD. Prior to the 1981 Census, all Indian reserves in a census were grouped together and classified as one census subdivision.

Census subdivisions have been created for the unorganized territories of Newfoundland, Nova Scotia, and British Columbia by Statistics Canada in cooperation with the provinces, as equivalents for municipalities. Each of the parts of a census subdivision that straddles provincial boundaries is treated as a separate CSD.

Codes – a general term for specific values assigned to identify and be equivalent to entities and provide control of the data processed by the IPC. All codes except geographic are developed and assigned by the IPC. There are four main sets of geographic codes used in the programs administered by AEM as follows:

Canada – codes developed and maintained by Statistics Canada identify provinces, census divisions, census subdivisions, and consolidated census subdivisions. Changes in geography and codes are generally published every five years subsequent to the Canadian Census.

United States – codes developed and maintained by the federal government, as part of the Federal Information Processing Standards (FIPS). Included are codes for states and counties. Changes in codes made in any given year are adopted by AEM at the beginning of the following year.

Worldwide Codes – are those developed and maintained by the International Standards Organization (ISO) and includes identification of all countries of the world. Changes in countries and codes announced by ISO in any given year are adopted by AEM at the beginning of the following year.

Latin America - “HAI codes in iSTAT use ISO codes for Latin America states within countries and has created a code when none is provided.”

Company – a corporation or other business entity actively engaged in the manufacture and/or sale, directly or through affiliates of farm, industrial, or construction equipment. All business entities having a common parent corporation or other form of common majority ownership, constitute one company, whether they participate individually or collectively.
**Company Direct Sales**—those sales made by the corporation (manufacturer and/or marketer) itself, rather than by the affiliated dealers or distributors. The manufacturer direct sale is made by the company and the opportunity for those sales is not available to any dealer. Company direct sales often involve large quantities and significant discounts. Typically these sales would be made to:

- Federal government agencies
- State/Provincial government agencies
- County governments
- City, Town, and other local governments
- Independent rental companies, like Hertz and Prime
- Large national accounts, such as large contractors, railroads, etc.
- Auctions

Dealers/distributors may sell to any and all of these same types of customers.

The intent of identifying direct sales is to enable companies to treat dealers more fairly as identified by the company and at the company’s discretion.

**Consignment Units**—Units for which the manufacturer retains title and risk regardless of where the inventory resides—until such time as the unit is sold to an end-customer or put into a first-use situation. At this time, the title and risk is conferred to the consumer.

**County**—A county is the largest geopolitical subdivision of states in the U.S. and in some provinces of Canada.

**Custom Operator**—A custom operator is a service provider (person or entity) that provides a service targeted at the producer/farmer. They usually purchase a fleet of machines and may contract in advance with producers, in some cases over a multi-state/province geography. Typical operations include: custom harvesting done with combines, forage harvesters, large mower conditioners, large balers, or windrowers, as well as custom spraying, fertilizer application, and land-leveling. This does not include producer/farmers who purchase a machine for their own use and also provide services to neighboring farmers. Sales to farm custom operators are to be reported into the county that is the operating base of the custom operator.

**Customer Type**—the category of customer/business or government entity that purchases or rents a unit. (See Online Documentation section for list.)

**Dealer Owned Rental Fleet (DORF)**—a dealer-owned rental business whose primary purpose is renting or leasing machines to customers, i.e. the rent-to-rent business. The renter generally would have no option to purchase the machine and would be building no equity by way of rental payment for use of the machine. The machines would have been purchased by the DORF, either as a new retail or a rental conversion, from the affiliated dealer.

**Dollar Value**—the company invoiced amount in U.S. dollars to a dealer after identifiable discounts and incentives. Sometimes called “Dealer Net Cost”. Exceptions: For agricultural equipment only, data for Canada are reported in Canadian dollars. For Crushers, the data are reported by “list price”, also known as manufacturers suggested retail price.
DORF Fleet Conversion – the sale/title transfer of a machine from the inventory of a Dealer Owned Rental Fleet to a third party.

DORF Inventory – all machines owned as part of a dealer owned rental fleet.

End-Use – the function for which a unit will primarily be used. (See Online Documentation for list)

First Use – the function for which a new machine will see its first substantial use as a new machine, not previously rented, and typically a first rental or a retail sale.

First-In-the-Dirt (FID) – the combination of new retail plus first rental, the common element being the first transaction with a customer of a new machine.

First Rental – units that are rented, not sold, to the first user. Also, units in rental programs (owned by the manufacturer/marketer – at dealer locations). These include “rental purchase” and “rent-to-sell” units. Excluded are sales to dealer owned rental fleets (see DORF).

First Substantial Use – The first work application of a product (machine) after purchase or rental in terms of where it is used the majority of time during its first 100 hours of engine operation and type of project for which it is used. Typically, a short-term job would not be recorded.

First Substantial Use Location – Retail activity should be reported by the location of the projected or intended county for first substantial use. First substantial use location is determined by where a piece of equipment is used the majority of time during its first 100 hours of engine operation for purposes of settling a dispute of an audited claim.

This definition applies to any sale of equipment, including a direct sale such as a sale to a producer/farmer, as well as to an independent rental company (IRC), or dealer owned rental fleet (DORF). This definition is written assuming county (U.S.), or census sub-division/consolidated census sub-division (Canada), or state/province/department-level (Latin America/Regional), or nation (Worldwide) reporting. Products not reported at these geographic subdivisions would be reported by the appropriate geography as defined by the product program’s reporting parameters.

For customers/operators that will use equipment in multiple geographic subdivisions, for example multiple counties, such as producers/farmers that farm in multiple geographic subdivisions or construction companies that work in several sites located in multiple geographic subdivisions, the designated county should be the county within which the equipment will be used the majority of time during its first 100 hours of engine operation, but if the use cannot be determined at the time of purchase the designated county should comprise at a minimum 25% of the customer’s overall use of the product.

In the event the sale is to a DORF/IRC and there is a time delay to first substantial use, the projected or intended county the machine will be more frequently used during its first 100 hours should be reported as county of first use. Lacking insight to use location in these cases, the location of the fleet should be used.

The customer’s residence or office location should not be used to determine first substantial use location, unless a customer’s residence is their farm, in which case it may be used.

(Please see Custom Operator and Government Sales for other exceptions.)
Final Delivery (FD) – the combination of new retails plus rental conversions, the common element being the title transfer of a new machine.

Flash Report – a preliminary report of the prior month’s market activity, by product. The market activity shown in a flash report may differ between programs, as may geographic scope, which is usually at a high level, e.g. country. The data may be reported with or without size classifications.

Frequency – the time periods in a year in which an industry report is published. Typically, each report is published monthly, but variations can be accommodated.

Full Turn Static Tipping Load –
The following shall serve as a guideline for determining and calculating the full turn tipping load: The calculation of the full turn tipping load should be based on a manufacturer’s Standard Configuration (Options, bucket, tires, etc.) handling 16-32 mm crushed stone (aggregate).

Standard Configuration – tipping load for a particular model should be based upon the machine model’s most widely accepted lifting arm system, utilizing the model's most widely accepted Bucket mounting configuration.

Most widely accepted lifting arm system – Refers to the primary, and most frequently purchased, lifting arm for a given machine model. Examples include Z-Bar or Parallel linkage or any other type of linkage purchased in considerable numbers.

Bucket – Most widely accepted bucket size and mounting configuration used for a specific machine model recognizing that pin-on type is the most widely accepted bucket attachment method. In the event that no pin-on bucket is available to be used for the calculation, then the tipping load for the model attachment coupler version with typical bucket should be calculated and reported. For wheel loaders < 40 ton operating weight, a general purpose bucket with Bolt-on edge is recommended for the calculation. For wheel loaders > 40 ton operating weight, a spade nose rock bucket with teeth and segments is recommended for the calculation.

Tires – Highest percentage usage tires should be utilized for the calculation. Tires with ballast should not be used. The tipping load should be calculated without deflection of the tires. Tires are specified under a Declaration of Machine Configuration and the air pressure should follow the manufacturer's recommendations.

Fuel Tank & Other Options – Calculation assumes a full fuel tank and no other optional equipment which could influence the tipping load, such as an optional counterweight, heavy guardings, etc.

Government Sales –

Retail sales or rentals to a Federal Government agency should be reported as “U.S. Government or Canadian Government”. This includes, but is not limited to, machines designed specifically for use by the Federal Government. Geographic and other coding can vary by program or committee. Generally these units should be reported into working location if sold by a dealer or distributor or into the pseudo state code for the U.S. or Canada government if a company direct sale, and should be classified using the Federal Government customer type code.

Native Americans should be coded as US-Federal Government

Inuit People Land should be coded as Canada-Private
Retail sales or rentals to State Governments should be reported in the state/province and county/census division of first use. These units should be classified using the State Government customer type code.

Retail sales or rentals to County/Local/City/Village/Township governments should be reported in the state/province and county/census division of first use. These should be classified using the county or local government customer type code as appropriate.

Hinge Pin Height
The vertical distance in mm from ground reference plane to the center of bucket or coupler hinge pin with the boom of the most common configuration in the fully raised position (with empty bucket). Report in millimeters (mm).

Horsepower –

Net Horsepower - SAE Net Horsepower as defined by SAE J1349.

PTO Horsepower (horsepower measured at the Power Take Off of farm tractors) – ratings measured by either the University of Nebraska or the OECD. Ratings for Nebraska tested unit will be shown on the Model Charts to two decimals; OECD units to one decimal. Manufacturers estimated PTO HP will be shown as a whole number followed by an “E” for estimated, when identified as such by the estimated HP attribute. Estimated ratings will be replaced when actual test data (Nebraska or OECD) are available. Units without a power take off (i.e., large four wheel drive tractors) will receive an estimated PTO rating by multiplying the net engine horsepower by .86. This rating will also be marked with an “E”.

Independent Rental Company – a company not affiliated with a manufacturer or dealership, whose main business activity is renting or leasing equipment, i.e. rent-to-rent.

Inventory –

New Inventory – new unused units that have been shipped and invoiced, but never reported as either a first rental, new retail, or rental conversion as of the end of each month.

Rental Inventory – total company and dealer inventory of rental units not yet sold, i.e. not yet reported as “rental conversions”. This would include all units in rental inventory at the end of each month regardless of whether they are in the dealer’s yard or out on rent. Rental inventory excludes dealer owned rental fleet (DORF) units.

Consignment inventory should not be reported as inventory until invoiced to a dealer or end user.

Demonstration inventory should not be reported until invoiced to a dealer or end user.

Inventory units purchased “used” by the dealer should not be reported in inventory.

iSTAT – Hargrove and Associate’s Internet-based statistics processing system.

MARF (Manufacturer Affiliated Rental Fleet) – A manufacturer affiliated rental business whose primary purpose is renting or leasing machines to customers, i.e., the rent-to-rent business. The
renter would generally have no option to purchase the machine and would be building no equity by way of rental payment for use of the machine. MARFs have a close relationship between the manufacturer and the rental business. For example, a MARF may have the name of the manufacturer as part of its own name. The MARF will not rent equipment from any other manufacturer except in those product lines or product line sizes the affiliated manufacturer does not sell in the same territory as the MARF.

Marketing Company – the company that sells the model. This is also generally the company that reports into the statistical program.

Model Chart – a set of data base files that define the models of a product and their specific characteristics. The files are used to create a display or report also referred to as a model chart. Collectively these become an important control mechanism in the AEM system. Model charts are used to determine potential disclosure in the reporting categories or size classes of a product. The same model chart may be used for one or more activities, while variations may exist depending on the general market and reporting controls, such as North American versus worldwide. The document and files, containing relatively static data by product, include the identification of the marketing company, model number, size rating of the model, company and industry size classes to which it belongs, country of origin, and company that manufactures the product. Model charts provide a key control mechanism governing the input of activity data into the system and output for distribution. A model must be defined in the model chart before data can be reported for that model.

Month – Although it is recommended to use calendar months, it is acceptable to use whatever a company defines as its working month. The most important factor is consistency.

New Retail – the first time title transfer of a new, never rented, unused and previously unsold machine from a dealer, distributor or manufacturer to an end-use customer at the time of first substantial use. This includes the sale of units to “dealer owned rental fleets” (DORFs) or to an independent rental company.

North America – for most of the AEM statistics programs, North America is defined as the combination of the United States and Canada.

North American Marketing – a company will be considered a participating company in the North American statistics programs if it meets the following criteria in North America:

a. Has an established sales/marketing branch or headquarters office.

b. Supports a dealer/distributor network.

c. Provides readily and commercially available product to the company’s dealers/distributors.

d. Aggressively markets and sells product.

e. Maintains adequate inventory to support sales of dealers.

f. Can adequately collect data to satisfy all programs in which the company participates.

g. Publishes and has available to customers, specification sheets and price lists for all the products marketed.
h. “Test” marketing of products will not be considered as marketing criteria.

**Official Company Representative (OCR)** – The person officially designated to represent a company in AEM affairs, usually an officer of the company and in a number of instances a member of the AEM Board of Directors.

**Original Equipment Manufacturer (OEM) Sale** – the sale of a unit from one manufacturer to another. Generally, the marketing company should report these products, as they know the details of activity with customers and dealers. Products sold on an OEM basis to non-reporting companies should usually not be reported, especially if they are modified outside the bounds of the product definition. Rules regarding the reporting of OEM activity may vary by committee. It is important to prevent double-reporting by the manufacturer and marketer.

**Participating Company** – an AEM member company that participates in the statistics programs, or a non-member company that participates in the AEM statistics programs and has paid the non-member participation fee.

**Phase-out Models** – models no longer considered current by a reporting company, but for which company and/or dealer inventory remains. All models must remain on the Model Chart until the end of the year when the last unit is sold.

**Province** – the largest geopolitical subdivisions within Canada. Activity reported by province should reflect the location of the first substantial use.

**Rental Conversion** – the sale/title transfer to an end-user of any product previously reported as a first rental. This includes the sale of previously rented units to dealer owned rental fleets (DORFs). Conversion also applies to exported (usually by dealers), scrapped, or otherwise retired machines. A rental unit sold at auction should be reported as a conversion in the county of the auction.

**Retail Sale** – consists of both the delivery of a unit to the end-user and the settlement/title transfer for the unit by the retailer. The sequence of the two events is not significant (also see “Final Delivery”).

**Revision** – a revision is any change to the data that was originally submitted to the IPC. Examples of a revision include a change in state, county, country, customer type, first use, cancellation of a sale with return to inventory, etc. Refer to Section IV—Reporting Programs for further details.

**Shipment** – transport of a unit from the manufacturer to an end-user, retail outlet, wholesale outlet or rental/leasing pool as defined below. Units shipped to a company’s trans-shipment pools or staging areas shall not be reported until shipped to entities listed above and invoiced. Units shipped to a facility where substantial changes are made to the basic product should not be
reported. These machines should be reported when shipped after the changes have been made if there is a reporting program for the new product. Exceptions to this rule are explained below.

**End-user** – any establishment or individual who puts the product to use; i.e. the consumer.

**Retail Outlet** – any establishment, including company stores, dealers or distributors, that sells product to the end-user.

**Wholesale Outlet** – any establishment, including company branch houses, that sells to a single destination country or independent or unrelated establishment that sells to an unknown destination.

**Rental/Leasing Pool** – any establishment that places equipment with the end-user through a lease, rent-to-rent, or rental-purchase agreement.

**Boom trucks (CSC)** are shipped as kits to various dealers/distributors who mount them on chassis prior to delivery to end-users. The chassis is irrelevant to reporting. The kit shipment should be reported.

**Size class** – a series of graded classifications of measure into which products are divided. Size may include classifications of horsepower, dig depth, width of cut, carrying capacity, etc. Size may also express the specific rating of a machine or classes of sizes used in the statistics programs. Size classes span an interval of size measurement. For example, using horsepower levels such as 100 & under 110 HP in order to express clearly the specific sizes to be included in the interval.

**State** – the largest geopolitical subdivision within the United States. Activity reported by state should reflect the location of the first substantial use.

**Survey** – a non-binding request for information or a non-binding request for a position on a certain issue.

**Three-Part Reporting** – refers to the reporting of new retails, rentals, and rental conversions.

**Operating Weight** – the working weight of a machine, often expressed in metric tons.

**Year** – calendar year (1 January through 31 December).
### APPENDIX A: QUORUMS AND VOTING

The following matrix identifies, by statistics committee or group, the quorum requirements for holding a meeting and the quorum requirements for product-specific reporting programs.

<table>
<thead>
<tr>
<th>Committee/Group</th>
<th>Meeting Quorum</th>
<th>Product/Program Approvals Voting Requirement (At a meeting or by ballot)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aerial Work Platforms</td>
<td>Simple Majority of all reporting companies</td>
<td>Simple Majority of reporting companies unless there are 3 reporting companies, then unanimous</td>
</tr>
<tr>
<td>AG LA Statistics Program Subcommittee (AG LA SPSC)</td>
<td>Simple Majority</td>
<td>Simple Majority</td>
</tr>
<tr>
<td>Ag Equipment Statistic Committee</td>
<td>Seven (7) reporting companies in attendance</td>
<td>80% of product participants</td>
</tr>
<tr>
<td>Aggregates (crushers, screens, feeders)</td>
<td>Simple Majority of all reporting companies</td>
<td>Simple Majority of reporting companies in that product unless there are three reporting companies, then unanimous</td>
</tr>
<tr>
<td>Aggregates (breakers, demo attachments) <em>Unchanged in Sept 22, 2020 meeting – Oversight</em></td>
<td>Simple Majority of all reporting companies</td>
<td>¾ Majority of reporting companies</td>
</tr>
<tr>
<td>Agricultural Tire Committee</td>
<td>Simple Majority of all reporting companies</td>
<td>Simple Majority of reporting companies</td>
</tr>
<tr>
<td>Commercial Worksite Equipment</td>
<td>30% of all reporting companies</td>
<td>Simple Majority of reporting companies</td>
</tr>
<tr>
<td>CE LA Statistics Task Force (CE LA STF)</td>
<td>Simple Majority</td>
<td>Simple Majority</td>
</tr>
<tr>
<td>Dairy Equipment</td>
<td>66% of all reporting companies</td>
<td>Unanimous among reporting companies</td>
</tr>
<tr>
<td>Forestry, Earthmoving &amp; Excavators</td>
<td>30% of all reporting companies</td>
<td>Simple Majority of reporting companies</td>
</tr>
<tr>
<td>Geospatial Industry Group</td>
<td>Simple Majority of all reporting companies</td>
<td>Simple Majority of reporting companies</td>
</tr>
<tr>
<td>Light Equipment (air compressors, contractor pumps, pneumatic tools, light towers, portable generators, saws)</td>
<td>Simple Majority</td>
<td>Unanimous</td>
</tr>
<tr>
<td>Statistics Executive Committee</td>
<td>Simple Majority of SEC Members</td>
<td>Not applicable</td>
</tr>
</tbody>
</table>
Cranes (hydraulic cranes, truck-mounted cranes, tower cranes) | Simple Majority of all reporting companies | Simple Majority of reporting companies
--- | --- | ---
Power Systems and Energy (mobile generators) | Simple Majority | Simple Majority
Road Machinery (pavers, planers, soil stabilizers) | 6 Companies | Unanimous
Road Machinery (compaction) | 6 Companies | ¾ majority
Utilities | Simple Majority | Simple Majority

Note: Any committee not having rules established will refer to the Roberts Rules of Order.

APPENDIX B: Due Dates for Company Reporting

<table>
<thead>
<tr>
<th>Cmte</th>
<th>Product</th>
<th>NA Flash</th>
<th>NA Actuals</th>
<th>WW Retails</th>
<th>WW Ship</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Date</td>
<td>Time</td>
<td>If Sat</td>
<td>If Sun</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AESC</td>
<td>All</td>
<td>9th 12:00</td>
<td>12th 12:00</td>
<td>Fri Mon</td>
<td></td>
</tr>
<tr>
<td>ASC</td>
<td>All</td>
<td>13th 12:00</td>
<td>12:00 Fri Mon</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ATC</td>
<td>All</td>
<td>15th 12:00</td>
<td>12:00 Fri Mon</td>
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<td></td>
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<tr>
<td>AWP</td>
<td>All</td>
<td>15th 12:00</td>
<td>12:00 Fri Mon</td>
<td>15th 17:00</td>
<td>Mon Mon</td>
</tr>
<tr>
<td>CPB</td>
<td>All</td>
<td>20th 17:00</td>
<td>17:00 Mon Mon</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CSC</td>
<td>All</td>
<td>15th 17:00</td>
<td>17:00 Mon Mon</td>
<td>15th 17:00</td>
<td>15th 17:00</td>
</tr>
<tr>
<td>CWE</td>
<td>All</td>
<td>10th 12:00</td>
<td>12:00 Fri Mon</td>
<td>15th 17:00</td>
<td>20th 17:00</td>
</tr>
<tr>
<td>CWE</td>
<td>IF01,IF31</td>
<td>15th 12:00</td>
<td>12:00 Fri Mon</td>
<td></td>
<td></td>
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<tr>
<td>DESC</td>
<td>All</td>
<td>15th 12:00</td>
<td>12:00 Fri Mon</td>
<td></td>
<td></td>
</tr>
<tr>
<td>FEE</td>
<td>All</td>
<td>10th 12:00</td>
<td>12:00 Fri Mon</td>
<td>15th 17:00</td>
<td>20th 17:00</td>
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<tr>
<td>FEE</td>
<td>EM71</td>
<td>15th 12:00</td>
<td>12:00 Fri Mon</td>
<td>15th 17:00</td>
<td>20th 17:00</td>
</tr>
<tr>
<td>FEE</td>
<td>EM07, EM08, EM58</td>
<td>9th 12:00</td>
<td>12:00 Fri Mon</td>
<td></td>
<td></td>
</tr>
<tr>
<td>GIG</td>
<td>All</td>
<td>Qtrly 15th 12:00</td>
<td>12:00 Fri Mon</td>
<td></td>
<td></td>
</tr>
<tr>
<td>GNSC</td>
<td>All</td>
<td>15th 12:00</td>
<td>12:00 Fri Mon</td>
<td></td>
<td></td>
</tr>
<tr>
<td>LTSC</td>
<td>All</td>
<td>15th 12:00</td>
<td>12:00 Fri Mon</td>
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<td></td>
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<tr>
<td>MBMB</td>
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<td></td>
<td></td>
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<tr>
<td>PACB</td>
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<td>17:00 Mon Mon</td>
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<td></td>
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<tr>
<td>PTMB</td>
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<td>17:00 Mon Mon</td>
<td></td>
<td></td>
</tr>
<tr>
<td>RMSC</td>
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<td>10th 17:00</td>
<td>17:00 Mon Mon</td>
<td>15th 17:00</td>
<td>Mon Mon</td>
</tr>
<tr>
<td>SMI</td>
<td>All</td>
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<td>17:00 Mon Mon</td>
<td></td>
<td></td>
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<tr>
<td>UTIL</td>
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<td>15th 17:00</td>
<td>17:00 Mon Mon</td>
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<td></td>
</tr>
<tr>
<td>LAAG</td>
<td>All, except Mexico</td>
<td>th 9th 12:00</td>
<td>12:00 Fri Mon</td>
<td></td>
<td></td>
</tr>
<tr>
<td>LAAG</td>
<td>Mexico only</td>
<td>th 15th 12:00</td>
<td>12:00 Fri Mon</td>
<td></td>
<td></td>
</tr>
<tr>
<td>LACE</td>
<td>All</td>
<td>9th 12:00</td>
<td>12:00 Fri Mon</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
APPENDIX C: DATA DISTRIBUTION TO PRODUCT NON-PARTICIPANTS

The standard AEM policy regarding data distribution is that companies participating in North American reporting programs receive reports in full detail for all products or size classes in which they participate.

Each committee and/or the company's marketing certain groups of products within a committee may elect to extend eligibility for some reports to companies that market some, but not all, products within the group. The data made available may have restricted content, such as aggregated geography or activity types, or certain details may be eliminated, such as customer type and first use. There are no instances where data from one committee is shared in any form with another committee.

This document delineates the policy regarding distribution of specific data under extended eligibility rules to qualifying companies. In other words, it itemizes the exceptions to standard policy of industry data distribution to only the participants in a specific product program. If a program is not listed, it reverts to the default distribution of only receiving the products reported into.

In the pages that follow:

- FD = “final deliveries” (a combination of new machine retail sales and rental conversions)
- FID = “first in the dirt” (a combination of first rentals and new machine retail sales)
AG LA SPSC Agricultural Latin America Statistics Program Subcommittee

The following reports are available only for the products in which a participant reports:

- 2WD Tractors (FE01)
- 4WD Tractors (FE22)
- Pull Type Planters (FE15)
- Grain Drills (TPGD)
- Self-Propelled Combines (FE23)
- Forage Harvester (FE27)
- Corn Heads (FE52)
- Combine Platform-Rigid (FEPR)
- Combine Platform-Flexible (FEPX)
- Combine Draper Head-Flexible (FEDX)
- Rigid Rotary Cutters (FER1)
- Self-Propelled Sprayers (FESP)
- Sugar Cane Harvester (FESG)
- Rectangular Balers (FE05)
- Large Round Balers (FE06)
- Mower, Drum and Disk (FED1)
- Mower Conditioner, Rotary Side-Pull or Mounted (FEM1)
- Mower Conditioner, Rotary Mid-Pivot Front-Mounted or Multi Unit
- Rotary Rakes (FERO)
- Tedders (FETD)

Aerial Work Platforms

The following reports are available only for the products in which a participant reports:

- Straight Boom Lifts (WP60)
- Towable Boom Lifts (WP61)
- Compact Scissor Lifts (WP62)
- Midsize Scissor Lifts (WP63)
- Large Scissor Lifts (WP64)
- Manually Propelled Vertical Lifts (WP65)
- Self-Propelled Vertical Lifts (WP66)
- Electric Articulated Booms (WP67)
- IC Articulated Booms (WP68)
- Slim Scissor Lifts (WP69)
- Self-Propelled Vertical Lift w/Jib (WP90)

Aggregates (crushing, and screens)

The following reports are available only for the products in which a participant reports:

- Cone Crushers (PSCC)
- Jaw Crushers (PSHR)
- Hammermills (PSHM – suspended)
- Primary Impactors (PSPI)
Horizontal Rotor Secondary Impactors (PSRS – suspended)
Vertical Shaft Impactors (PSVS)
Roll Crushers (PSRC – suspended)
    Monthly shipments by state, province, Mexico and Exports

The following reports for all products are available to all participants.

2 & 4 Bearing Screens (VS2B)
Horizontal Screens (VSHS)
Feeders (VSFD)
    Monthly shipments by State, province, Mexico and Countries of the World

**Ag Tire Committee**

The following data is available only for the products in which a participant reports:

Front Implement Tire (TR01)
Ag Tractor (TR02)
Forestry Ag (TR03)
Industrial Tractor (TR04)

**Agricultural Equipment Statistics Committee (AESC)**

**“Tractor and Implements” Product Lines**

The following reports are available to all participants reporting into any one of these products:

Two Wheel Drive Farm Tractors (FE01)
Four Wheel Drive Farm Tractors (FE22)
Front End Loaders (FE31)
Tractor Backhoe Attachments (FEBA)
Flail Shredder (FEFS)
Box Scrapers (FELL)
Post Hole Diggers (FEPH)
Rigid Rotary Cutters (FER1)
Flexible Rotary Cutters (FER2)
Multi-Spindle Rotary Finishing Mower, Rigid Rear (FER3)
Multi-Spindle Rotary Finishing Mower, Flexible Rear (FER4)
Multi-Spindle Rotary Finishing Mowers, mid-mounted (FERM)
Snow Blowers (tractor-mounted) (FESB)
Tractor Mounted Blades (FETB)

Note: Companies will receive county level reporting for programs they report into and have county level. Companies will receive state/province level reporting if they do not report into the product. For those products you must request a report from the Data Processor.

**“Forage and Harvest Equipment” Product Lines**

The following reports are available to all participants reporting into any one of these products:
Rectangular Balers (FE05)
Round Balers (FE06)
Self-Propelled Combines (FE23)
Self-Propelled Forage Harvester (FE27)
Corn Heads (FE52)
Sickle Bar Mower Conditioners (FE60)
Drum & Disk Mowers (FED1)
Combine Draper Heads-Flexible (FEDX)
Combine Draper Heads-Rigid (FEDR)
Forage Harvester Headers (FEFT)
Side-Pull Mower Conditioner (FEM1)
Mid-Pivot Mower Conditioner (FEM2)
Mounted Mowers Conditioner (FEM3)
Combine Pickup Headers (FEPC)
Combine Platforms-Rigid Type (FEPR)
Combine Platforms-Flexible Type (FEPX)
Rotary Rakes (FERO)
Tedders (FETD)
Windrower Sickle Bar Auger Head (FEW1)
Windrower Rotary Auger Heads (FEW2)
Windrowers, Self-Propelled (FEW3)
Windrower Draper Heads (FEWC)
Finger Wheel Rake (FEWR)

**Agricultural Equipment Statistics Committee (AESC) - (continued)**

Note: Companies will receive county level reporting for programs they report into and have county level. Companies will receive state/province level reporting if they do not report into the product. For those products you must request a report from the Data Processor.

**“Crop Production Equipment” Product Lines**

The following reports are available to all participants *reporting into any one of these products*:

Self-Propelled Sprayers (high clearance) (FESP)
Air Disc Drill (TPAD)
Air Seeder-Air Hoe Drill 3&5 Section (TPA9)
Air Seeder Delivery System (TPA3)
Folding Grain Drills (TPGF)
Grain Drills (TPGD)
Mounted Planters (FE16)
Pull-Type Planters (FE15)
Chisel Plows (TPCP)
Combination Chisel Plows (TPCC)
Combination Primary Tillage (TPTP)
Combination Secondary Tillage (TPTS)
Compact Disc (FECD)
Disk Harrows, Offset (FE56)
Disk Harrows, Tandem (FED3)
Field Cultivators (TPCF)
Minimum Tillage Primary (TPMP)
Rotary Tillers (FER5)
Soil Conditioners (TPSC)
Strip Tillage (FEST)
Vertical Tillage (TPVT)

Note: Companies will receive county level reporting for programs they report into and have county level. Companies will receive state/province level reporting if they do not report into the product. For those products you must request a report from the Data Processor.

**Ag Precision Guidance**

The following reports are available to only to those who are participating in the product:

- Receivers (PG01)
- Steering Kits (PG02)
- Activation Upgrades (PG03)
- Displays (PG04)
  - Monthly shipments with Quarterly Output
Road Machinery

Asphalt Pavers
The following reports for all products are available to all participants:
   By Sizes (PEAP)
      Shipments reported by state, province and countries of the world
      Retails reported by county and CCSD

Soil Stabilizers
The following reports for all products are available to all participants:
   All Sizes (RS01)
      Shipments and retails reported by state and province

Cold Planers
The following reports for all products are available to all participants.
   All sizes (CPRM)
      Shipments and Retails reported by state and province

Compaction
The following reports for all products are available to all participants:
   Vibratory Walk/Ride Behind Single Drum (CEA1) (N.A. suspended)
   Vibratory Walk/Ride Behind Double Drum (CEA2)
   Trench Rollers Double Drum (CEA3)
   Vibratory Tandem Roller Two Vibrating Drums (CEB0)
   Vibratory Tandem Roller One Vibrating Drum (CEC0)
   Vibratory Single Drum Rollers-Asphalt (CEE1 – N.A. suspended)
   Vibratory Single Drum Rollers-Soil-Smooth Drum (CEE2)
   Vibratory Single Drum Rollers-Soil-Padfoot or Sheepsfoot Drums (CEE3)
   Combination Rollers (CEF0)
   Pneumatic Tired Rollers (CEG0)
   Tandem Rollers (Static) (CEH1 – N.A. suspended)
   Embankment (CEK1 – N.A. suspended)
   Refuse (landfill) (CEK2)
   Vibratory Plate Compactors-Forward Travel Only (CEL1)
   Vibratory Plate Compactors-Reversible (CEL2)
   Vibratory Tampers (CEM0)
   Vibratory Tow-Type Rollers (CED1) (N.A. suspended)
   Three Wheel-Rollers (Static) (CEH2) (N.A. suspended)
      Monthly shipments by state and province
      Monthly retails by county and CCSD
      Monthly Worldwide shipments by Countries of the World

If you only report light equipment you only get light equipment (CEL1, CEL2, CEM0)
Construction Equipment Latin America Statistics Taskforce (CE LA STF)

The following reports for all products are available only to those reporting into the product:

- 4WD Wheel Loaders (EM04)
- Crawler Tractors (EM01)
- Crawler Excavators (EXHC)
- Wheel Excavators (EXHW)
- Loader Backhoes (IF18)
- Motor Graders (EM07)
- Skid Steer Loaders (IF11)
- Rigid Frame Haulers (EM08)
- Articulated Haulers (EM58)
- Telescopic Handlers (IF26)

**China Road Machinery (Suspended)**

The following reports for all products are available only to those reporting into the product:

- Vibratory Tandem Roller 2D (CEB0)
- Single Drum Rollers (CEE6)
- Pneumatic Tired Roller (CEG0)
- Asphalt Paver Crawler (PECP)
- Asphalt Paver Wheeled (PEWP)
  
  Monthly Retails by State, all products are fully disclosed

**Contractor Pump Bureau (CPB)**

The following reports for all products are available to all participants:

- Auto-Prime Solids Hand (CB20)
- Auto-Prime Non Solids (CB21)
- Wet Prime-Non Trash (CB22)
- Wet Prime Trash (CB23)
- Wet Prime-Rotary (CB24)
- Diaphragm Pumps (CB25)
- SPEP Elec. Sub-1 Phase (CB34)
- SPEP Elec. Sub-3 Phase (CB35)
- Sound Attenuated Pumps (CB37) (suspended)
Pump Heads, Hydraulic Sub (CB38)
Hydraulic Power Units (CB39) (suspended)
Alternative Fuel Pumps (CB40) (suspended)
    Monthly Shipment report by total

**Commercial Worksite Equipment Committee (CWE)**

The following reports are available to all participants *reporting into any one of these products*:

- Rough-Terrain Forklifts - 2WD vertical mast (IF21)
- Rough-Terrain Forklifts - 4WD vertical mast (IF23)
- Telescopic Handlers (IF26)
  - Monthly flash reports
  - Monthly retail (FID) by state and province, excluding customer type, first use, and attribute data
  - Monthly shipments by state and province
  - Monthly shipments by countries of the world
  - Monthly worldwide retail sales by country

The following product reports are available to only to those companies participating in these products:

- Pedestrian Trenchers (IF01)
- Riding Trenchers (IF02)
- Vibratory Plows (IF03)
- Skid Steers (IF11)
- Compact Track Loaders (IF12)
- Track Utility Loaders (IF31)
- Backhoes <12 (IF42)
- Directional Borers (DB01)

**Crane Statistics Committee (CSC)**

The following reports are available only for the products in which a participant reports:

- Hydraulic Rough Terrain Cranes (CRHO)
- Hydraulic Truck Cranes (CRHM)
- Hydraulic All Terrain Cranes (CRAT)
- Lattice Crawler Cranes (CRLC)
  - Monthly Shipments by state, province and countries of the world
  - Monthly Retail by state and province
  - Worldwide Shipments by countries of the world
- Telescopic Crawler Crane (CRTC)
North America by US and Canada
Rest of the World

Hammerhead Tower Cranes (CRHH)
Self-erecting Tower Cranes (CRSE)
Luffing Jib Tower Cranes (CRLB)

Monthly shipments by total US and Canada Regions

Boom Trucks (TA01)

Monthly Shipments by state, province and countries of the world

**Dairy Equipment Statistics Committee (DESC)**

Behavior Monitors (MMAD)
Bulk Milk Farm Tanks (MMBT)
Chillers (MMCH)
I.D. Transponders (MMCT)
Condensing Units (MMCU)
Variable Frequency Drive (MMDS)
Energy Recovery Units (MMER)
Footbaths (MMFB)
Footbath Controls (MMFC)
Feed Pusher (MMFP)
Milk Yield Indicators (MMIN)
Electronic Milk Meters (MMMM)
Parlor Stalls (MMPA)
ISO Parlor ID Systems (MMPI)
Pipeline Milking Units (MMPM)
Pulsators of any Type (MMPS)
Automatic Pipeline Washer (MMPW)
Milk Receiving Groups (MMRG)
Robotic Milker (MMRB)
Plate Coolers (MMRR)
Automatic Removal Unit (MMRU)
Software Auto Data Collection (MMSD)
Sort Gate (MMSG)
Vacuum Pumps (MMVP)

Monthly shipments by US

**Forestry, Earthmoving, and Excavator Committee (FEE)**

**Earthmoving Products**

The following North American reports are available to North American participants *reporting into any one of these products*:

*For shipments by country only*
Crawler Tractors (EM01)
Crawler Loaders (EM02)
Wheel Loaders (EM04)
Motor Graders (EM07)
Rigid Frame Haulers (EM08)
Articulated Haulers (EM58)
Wheel Dozers (EM60)

Monthly retails (FID) by state and province, excluding customer type, first use, and attribute data
Monthly dealer inventory, with new and rental inventory breakout
Annual dollar value
Monthly worldwide shipments by country
Monthly worldwide retail sales by country

The following reports are available to all participants reporting into any one of these products:

Loader Wheel Tractors (IF14)
Loader/Backhoes (IF18)

Monthly retails (FID) by state and province, excluding customer type, first use, and attribute data
Monthly dealer inventory, with new and rental inventory breakout
Annual dollar value
Monthly worldwide shipments by country
Monthly worldwide retail sales by country

The following reports are available only to those who are participating in the program:

Pipeayers (EM71)
Scrapers (EM72)
Underground Haulers (EM80)
Underground Loaders (EM81)

Forestry, Earthmoving, and Excavator Committee (FEE)  (continued)

Hydraulic Excavators

The following reports are available to all participants reporting into any one of these products and to participants in the crawler excavator-based forestry products identified below:

Crawler Excavators (EXHC)
Wheel Excavators (EXHW)

Monthly retails (FID) by state and province, excluding customer type, first use, and attribute data
Monthly dealer inventory, with new and rental inventory breakout
Annual dollar value
Monthly worldwide shipments by country
Monthly worldwide retail sales by country

Forestry Products

The following reports are available to all participants reporting into any one of these products and to participants in the hydraulic excavator programs:

- Crawler Log Loaders (EX01)
- Crawler Tree Harvesters (EX02)
- Crawler Delimbers (EX03) (suspended)
- General Forestry Crawler Swing Machine (EX05)
  - Monthly retails (FID) by state and province, excluding customer type, first use, and attribute data
  - Monthly dealer inventory, with new and rental inventory breakout
  - Annual dollar value
  - Monthly worldwide shipments by country
  - Monthly worldwide retail sales by country

All reports for these forestry products are restricted to only the participants in the North American programs for these individual products:

- Swing-to-Tree Feller Bunchers (EX04)
- Wheeled Tree Harvester (EX06)
- Wheel Log Skidders (IF10)
- Forwarders (IF51)
- Knuckle-boom Loaders (IF61)
- Drive-to-tree Feller Bunchers (IF62)

The following reports are only available to those who are participating in the program:

- Brush Chippers (EV01)
- Whole Tree Chippers (EV02)
- Horizontal Grinders (EV03)
- Stump Cutters (EV04)
  - Monthly retails by state and province

Generators Statistics Committee

The following reports for all products are available to all participants by sizes:

- Portable Generators (GN01)
- Mobile Generators (GN02)
- Stationary (Standby) Generators (GN03) (suspended)
  - Monthly shipments by US, Canada
**Geospatial Industry Group**
The following reports are available to all participants:

- Automatic Levels with Circle (GI01)
- Automatic Levels without Circle (GI02) (suspended)
- Electronic Theodolites (GI03)
- Integrated Electronic Theodolite-EDM Unit (GI04)
- Data Recorders/Collectors (GI05)
- Bar Coded Digital Levels (GI06)
- Motorized Total Stations Under 2" & Under and 3" & Over (GI07)
- Integrated Reflectorless Total Stations (GI08)
- Survey Grade GNSS (Global Navigation Satellite Sys.) Receivers (GI09)
- Dual Frequency Rx
- Machine Mounted GNSS-Dual Frequency On Board and Dual Frequency Off Board (GI10)
  - Quarterly shipments/retails by US, Canada, Latin America

**Light Tower Statistics Committee**
The following reports are available to all participants:

- Light Towers (LTSC)
  - Monthly shipments by size by State and Province
  - Monthly shipments by size by North America Exports
  - Monthly shipments by countries of the world

**Mounted Breaker Manufacturers Bureau**

**Mounted Breakers**
The following reports for all products are available to all participants:

- By Size (MB01)
  - Monthly shipments by State and Province and
  - Latin America by Country

**Breaker Boom Systems (suspended)**
- By Size (MB20)
  - Monthly shipments by total US and total Canada (suspended)

**Hydraulic Mounted Compactors**
- By size (MB)
  - Monthly shipments by total US and Total Canada

**Demolition Attachments (suspended)**
The following reports for all products are available to all participants.

- Grapples
Shears
Crushers/Pulverizers (Mechanical)
Crushers/Pulverizers (Hydraulic)
Quarter shipments by total US and total Canada

Parts Statistical Committee (suspended)
All reporting companies receive total parts sales dollars

Portable Air Compressor Bureau
The following reports for all products are available to all participants.
  Portable Air Compressors (PA01)
    Monthly shipments by State and Province

Pneumatic Tool Manufacturers Bureau (PTMB)
The following reports for all products are available to all participants.
  Chipping Hammers (PT01)
  Handheld Rock Drills (PT02)
  Rivet Busters (PT03)
  Paving Breakers (PT04)
  Tampers (PT05)
  Diggers, Trenchers Clay Spades (PT06)
    Monthly Shipments by state and province

Saw Manufacturers Institute (SMI)
The following reports for all products are available to participants reporting into the individual program:
  Core Drills (SM01) (suspended)
  Concrete Saws (SM02, SM03, SM04, SM05, SM06) (suspended)
  Surface Grinders Single (SM07) (suspended)
  Surface Grinders Double (SM08) (suspended)
  Scarifiers (SM09) (suspended)
  Power Trowels (SM20)

Utility Statistics Committee (UTIL)
The following reports for all products are available to participants reporting into the individual program:
  Vacuum Excavator Hydro (IF34)
  Vacuum Excavator Air (IF35)
  Vacuum Excavator Trailer (IF36)
  Sewer Cleaner Jetter (IF37)
  Sewer Cleaner Combo (IF38)
APPENDIX D: REVISION TIME PERIODS

Standard Policy: All revisions (i.e. changes to previously reported information) are to be made in the time period in which the original activity was reported.

Exceptions to the standard policy, by Product Segment, are as follows:

- Road Machinery: (Asphalt Pavers, Cold Planers, Compaction, Soil Stabilizers)
- Lifting: (Cranes)

  1. A unit previously reported as a shipment or retail sale, which is returned to the factory as new, should be reported in the month in which the unit is returned.

APPENDIX E: OEM SALES TO NON-PARTICIPANTS

The standard policies for OEM sales apply as described below, with the exceptions as noted:

Shipments Reporting Programs:

Shipments made on an OEM basis to a non-participating (i.e. non-reporting) manufacturer should not be reported as a shipment.

Retail Sales Reporting Programs:

In retail sales reporting programs, OEM sales to a non-participating company should not be reported, with the following exceptions:

- Asphalt Pavers
- Cold Planers
- Contractors Pump Bureau
- Soil Stabilizers

For these four committees, OEM sales (the sale of a unit from one manufacturer to another) are to be reported as miscellaneous sales to avoid distorting the geographic distribution of retail sales. Report only OEM sales to non-participating companies to avoid double reporting of units.
APPENDIX G: PROGRAM PROPOSAL FORM

<table>
<thead>
<tr>
<th>Statistics Program Proposal Form</th>
</tr>
</thead>
</table>

Please attach sample model and chat, if applicable.

<table>
<thead>
<tr>
<th>Product Definition (If New Program):</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Products/sizes of products to be included:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Company Names of Potential Participants:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Geographic Areas to be included (Country, State, County):</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Data to be Reported (Retail Sales, Inventory, Shipments, First Rentals, Rental Conversions, etc.):</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Additional Data to be Reported (Customer Type, First Use, Direct Sales, Value, etc.):</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Back Report Historical Data? Yes No</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Specify Past Years Participants Can Report)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Data Distribution (If Different from Standard Distribution of Committee):</th>
</tr>
</thead>
</table>
Appendix H: Waiver of Disclosure

WAIVER OF DISCLOSURE

On behalf of the Association of Equipment Manufacturers (AEM) statistics program participant company identified below, I confirm and acknowledge that my company has been informed of the potential disclosure of its data in conjunction with the following AEM statistics program reports for (year), but nevertheless requests that AEM and its statistics program service provider process and report such data to other participating companies that are otherwise eligible to receive them:

(Name of Program)

In addition, this will confirm and acknowledge that my company waives and releases AEM, its statistics program service provider (currently Hargrove & Associates, Inc.), and their respective officers, directors, employees, agents, representatives and successors (collectively, the Releasees) from any and all claims and liabilities of any kind or nature that may arise as a result of the disclosure identified above, and my company agrees to indemnify and hold harmless to the fullest extent permissible by law the foregoing Releasees from and against any and all liability or expense (including reasonable attorneys’ fees and expenses) asserted against or incurred by them in connection with any action, claim or proceeding arising out of or relating to said disclosure.

I have full authority to execute this Waiver of Disclosure on behalf of the AEM statistics program participant company identified below.

By:  
Signature

Title:  

Participant Company:

Dated:  
# APPENDIX I: REPORT CARD CRITERIA

OUTSTANDING MERIT AWARD CRITERIA DRAFT

<table>
<thead>
<tr>
<th>POSSIBLE POINTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>TIMELINESS (60%)</td>
</tr>
<tr>
<td>Data</td>
</tr>
<tr>
<td>5 points for each month on time</td>
</tr>
<tr>
<td>POLICIES AND PROCEDURES (20%)</td>
</tr>
<tr>
<td>Annual Start-Up completed correctly and on time</td>
</tr>
<tr>
<td>Reporting Procedures Survey completed on time</td>
</tr>
<tr>
<td>Audit response within three weeks of request</td>
</tr>
<tr>
<td>CORPORATE CITIZENSHIP (20%)</td>
</tr>
<tr>
<td>Company representative attends at least one statistics meeting</td>
</tr>
<tr>
<td>(In-person or via telephone)</td>
</tr>
<tr>
<td>Participation in an Education/Training Session</td>
</tr>
<tr>
<td>Current representative has served in one of the following</td>
</tr>
<tr>
<td>Capacities: Chairperson, Task Group, or Prod. Specialist</td>
</tr>
<tr>
<td>Company has a documented Backup Reporter</td>
</tr>
<tr>
<td>TOTAL POINTS POSSIBLE</td>
</tr>
</tbody>
</table>

Outstanding Merit Award is based on points achieved as indicated below:

- 90 – 100 points = Outstanding
- 70 – 85 points = Acceptable
- 0 – 65 points = Not Acceptable
### APPENDIX J – ELECTED CHAIRMEN TERM LENGTHS

<table>
<thead>
<tr>
<th>Committee Acronym</th>
<th>Committee or Product Line</th>
<th>Elected Term Length</th>
<th>Comments**</th>
</tr>
</thead>
<tbody>
<tr>
<td>AESC</td>
<td>Agricultural Equipment</td>
<td>1 year</td>
<td>It is expected the chair and vice chair will be reelected for two successive one year terms.</td>
</tr>
<tr>
<td>ASC</td>
<td>Aggregate Statistics Committee</td>
<td>2 years</td>
<td>No limit on re-election for additional terms</td>
</tr>
<tr>
<td>ATC</td>
<td>Agricultural Tire Committee</td>
<td>1 Year</td>
<td>No limit on re-election for additional terms</td>
</tr>
<tr>
<td>AWP</td>
<td>Aerial Work Platforms</td>
<td>1 year</td>
<td>No limit on re-election for additional terms</td>
</tr>
<tr>
<td>CPB</td>
<td>Contractor Pumps</td>
<td>No Statistics Committee</td>
<td>Included with the technical committee</td>
</tr>
<tr>
<td>CWE</td>
<td>Commercial Worksite Equipment</td>
<td>1 year</td>
<td>It is expected the chair and vice chair will be reelected for two successive one year terms.</td>
</tr>
<tr>
<td>CSC</td>
<td>Crane Statistics Committee</td>
<td>2 years</td>
<td>No limit on re-election for additional terms</td>
</tr>
<tr>
<td>DESC</td>
<td>Dairy Equipment Manufacturers</td>
<td>1 year</td>
<td>No limit on re-election for additional terms</td>
</tr>
<tr>
<td>FEE</td>
<td>Forestry, Earthmoving, &amp; Excavators</td>
<td>1 year</td>
<td>It is expected the chair and vice chair will be reelected for two successive one year terms.</td>
</tr>
<tr>
<td>GIG</td>
<td>Geospatial Industry Group</td>
<td>Not established yet 1 year</td>
<td></td>
</tr>
<tr>
<td>GNAC</td>
<td>Generator</td>
<td>Not established yet</td>
<td></td>
</tr>
<tr>
<td>LTSC</td>
<td>Light Towers</td>
<td>Not established yet</td>
<td></td>
</tr>
<tr>
<td>MBMB</td>
<td>Mounted Breakers Manufacturers Bureau</td>
<td>No Statistics Committee</td>
<td>Included with the technical committee</td>
</tr>
<tr>
<td>PACB</td>
<td>Portable Air Compressors Bureau</td>
<td>No Statistics Committee</td>
<td>Included with the technical committee</td>
</tr>
<tr>
<td>PTMB</td>
<td>Pneumatic Tools Manufacturers Bureau</td>
<td>No Statistics Committee</td>
<td>Included with the technical committee</td>
</tr>
<tr>
<td>RMSC</td>
<td>Road Machinery (Asphalt Pavers, Compaction, Soil Stabilizers, Cold Planers)</td>
<td>2 years</td>
<td>No limit on re-election for additional terms.</td>
</tr>
<tr>
<td>SMI</td>
<td>Saw Manufacturers Institute (Concrete Saws)</td>
<td>No Statistics Committee</td>
<td>Included with the technical committee</td>
</tr>
<tr>
<td>UTIL</td>
<td>Utility Mfgs</td>
<td>No elected statistics Chair</td>
<td>Included with the technical committee</td>
</tr>
</tbody>
</table>

** Solicitations for Nominations will be distributed, requested by AEM staff in writing prior to meetings where elections are held.
APPENDIX K – REGIONAL REPORTING PROGRAMS

List of Current Regional Programs:

**Brazil** – Selected construction equipment, retails reported by state with “Level 2” segmentation code. The report distribution: you receive the industry data only for the products reported.

**Latin America Regional Statistics Program** – Selected construction equipment, retails reported by state with Level 2 segmentation code. The report distribution is that you receive industry data only for the products reported. **Latin America Expandable Region (Argentina, Chile, Colombia, Panama, Peru)** – Construction equipment retails, reported by state, within country.

**Latin America** – Forestry equipment retails reported by nation. **Latin America (less Brazil & Mexico)** – Construction equipment retails, reported by state.

**Latin America Ag Programs** – Agriculture equipment, shipments reported by nation, except Brazil, Argentina and Mexico, which are reported by state.

**Mexico** – Construction equipment retails reported at the state level. The report distribution states that members receive the industry data only for the products they have reported.

APPENDIX L Global Funding Model

**Special AEM Statistics-only Regional Membership**

A one-time set-up fee of $1,000 will apply to companies joining either the Ag, CE or Forestry Regional Programs. An annual membership fee of $2,000, is available only to those companies who do not market their products in the US or Canada (once products are marketed in the US or Canada, regular AEM membership rules will apply).

**Latin America Statistics Program Fees**

The following requirements for the Self-funded Latin America Regional programs apply:

- In order to participate, eligible companies must be an AEM member.
Companies must report all products within the specific program they participate in (Ag, CE or Forestry); however, company may choose the region(s).

Within any specific geographic reporting area, participants must all report at the same level of detail. For example, where state level reporting is required for a specific country, all participants must be able to report the state level data.

Unless otherwise specified, the AEM Statistics Policy & Procedures will apply and products will be reported as they are in North America.

The input file format will be consistent, while the output format and content may vary, depending upon the consensus of the participating companies and approval of AEM and the data processor.

Invoices for participation in the Latin America regional program(s) will be based upon the total number of products reported within each regional program.

Special AEM Statistics-only Regional Membership

- AEM Membership Dues for the Limited Latin American AEM Membership would be a flat fee of USD$2,000 annually and an additional USD$1,000 one-time set-up fee for the first year.
  - Dues include participation in up to two statistics programs at no charge for any Agricultural, Construction, and Forestry products.
  - A member would be charged a statistics program fee of USD$325, USD$375, and USD$275 respectively for any additional products for Agriculture, Construction, and Forestry programs over the initial two product programs.
- The dues structure covers all sectors for which AEM has statistics programs, including: agriculture, construction, mining, utility, and forestry.
- The dues structure does not supersede any existing dues structure currently in place in North America or for worldwide programs.
- Dues are subject to change based on additional services that AEM may offer in the region in the future.

Other Potential Fees

- Fees related to any program system configuration and/or set-up of new products, with related program launches during the course of the year, as requested by the agriculture, construction or forestry equipment groups.
- Applied fees as described above will include associated costs (but not limited) to back reporting, processing, code changes, system configuration, and data collection efforts based upon a Statement of Work (SOW) provided by the data processor.
- Participating companies (within the program and/or product being launched/developed, requiring any data processing configuration/activity as described above) will be asked to contribute an equal amount of the total fees divided by the total number of program participants.
- Fees are subject to approval by each respective regional group based upon their quorum and voting requirements.
Appendix M: Waiver of Disclosure Mid-Year Entry

WAIVER OF DISCLOSURE
(Mid-Year Entry to Program with Back-Reporting of Data)

On behalf of the Association of Equipment Manufacturers (AEM) statistics program participant company identified below, I confirm and acknowledge that my company has been informed of the disclosure of its data in conjunction with the following AEM statistics program reports for (year), as a result of our company’s desire to begin participation in this program(s) mid-year, which requires us to back-report our company data from the beginning of this year. Nevertheless, our company requests that AEM and its statistics program service provider process and report such data to other participating companies that are otherwise eligible to receive them:

(List programs)

In addition, this will confirm and acknowledge that my company waives and releases AEM, its statistics program service provider (Name of IPC), and their respective officers, directors, employees, agents, representatives and successors (collectively, the Releasees) from any and all claims and liabilities of any kind or nature that may arise as a result of the disclosure identified above.

I have full authority to execute this Waiver of Disclosure on behalf of the AEM statistics program participant company identified below.

By: ______________________________________
Signature

Title: ______________________________________
Appendix N: Letter of Confidentiality

ACKNOWLEDGEMENT OF CONFIDENTIALITY OBLIGATIONS WITH RESPECT TO AEM INDUSTRY DATA AND REPORTS

The Official Company Representative (OCR) for the undersigned Company, as a voluntary participant in the Association of Equipment Manufacturers (AEM) Statistical Data Programs, acknowledges and agrees to follow the confidentiality requirements that apply to all, or any part, of the compiled data in the AEM Statistical Reports which the Company receives in tangible form or has access to via electronic or other means (AEM Industry Data). The AEM Statistics Policy & Procedure Manual states the confidential and proprietary nature of AEM Industry Data. The Manual may be viewed at: https://www.aem.org/groups/statistics/. Section IV-D of the Manual, Data Distribution Policy, states each Company’s Confidentiality Obligations:

Confidentiality of AEM Industry Data
“...It is the responsibility of the recipients [AEM Participating Company] to treat AEM Statistical Reports as proprietary. AEM Statistical Reports are not to be divulged outside their company/dealer organization. An exception would be to provide data to a consultant contracted by the company, provided the consulting firm signs a non-disclosure agreement regarding the data. Participants should inform those in their company who have access to the data of this policy. All reports should be identified as confidential. It is the responsibility of all participants, AEM staff, and the IPC [Hargrove & Associates and/or Systematics Ltd.] to institute steps to enforce confidentiality, including practices such as a shredding hard copy reports no longer needed and protecting individual passwords.”
It is imperative that each Company participating in the AEM Statistical Programs and your personnel understand the above Confidentiality Obligation and comply with it. This includes advising those persons in your organization with access to the AEM Statistical Reports of the foregoing Confidentiality Obligation and securing adequate assurance to comply. Any release of the AEM Statistical Reports to third Parties except as authorized above is a violation of AEM Policy and may result in a monetary penalty, suspension or termination from the Program. This includes the use of all or any portion of AEM Statistical Reports in reports prepared by the Company and disseminated to the public or to select investor or other groups.

If there is any question or doubt whether any proposed use of AEM Statistical Reports by your Company could possibly be a non-permitted use, please contact AEM in advance for guidance. You may contact the Statistics Department at 414-298-4133 or stats@aem.org. Please sign below and return this acknowledgement form to AEM (email to AEM Staff or FAX to 414-272-1170. Thank you for your support and participation in AEM’s Statistical Programs.

Company Name

OCR

Signature
CONFIDENTIALITY AND NONDISCLOSURE AGREEMENT

This Agreement, dated as of ________________, 2018, is by and between __________________________________ (“Company”) and __________________ (“Consultant”), for the benefit and protection of AEM Industry Data as defined below that is provided by Company to Consultant for Company’s specific business purpose (“Purpose”). AEM Industry Data means all information and data supplied to Company as a participant in the statistical information programs conducted by the Association of Equipment Manufacturers (AEM), whether in tangible form or access via electronic or other means. All such information shall be collectively called the “Information”. Company is a participant in AEM statistical programs.

Consultant shall maintain all Information in strict confidence and not disclose the Information to any other person or entities, and exercise the same degree of care to protect such Information from any possession, use or disclosure that Consultant generally uses to protect its own confidential information, but no less than a reasonable standard of care. Consultant may disclose Information to its employees on a strict “need to know” basis and solely for the Purpose, provided that each such person to whom such disclosure is made is notified of the confidential nature of the disclosure and is under an obligation to hold the Information in confidence under the terms and conditions of this Agreement.

Should third parties request Consultant to submit the Information to them pursuant to subpoena, summons, search warrant, governmental order, statute or regulation, or otherwise, Consultant will notify the Company immediately upon receipt of such request, and thereafter promptly deliver written notice of the request to Company so that Company and/or AEM may seek at its sole expense an appropriate protective order or other remedy. Nothing herein shall preclude the disclosure of any Information compelled by law.

In the event Company breaches its obligations under this Agreement, Company and/or AEM shall have available all its rights and remedies at law and in equity, including the right to seek injunctive relief.

The obligation to protect the confidential nature of the Information received by the Consultant shall survive the termination or expiration of this Agreement or Consultant’s consulting engagement by either party for any reason. At the request of Company, Consultant shall promptly deliver to Company all copies of Information in Consultant’s possession without retaining any copies and make no further use of the Information.

Company________________________  Consultant________________________

By:________________________________________  By:________________________________________

Name/Title:________________________________  Name/Title:________________________________

Date:_______________________________________  Date:_______________________________________
Appendix P: Audit Forms (Double Click Image to Open)

Association of Equipment Manufacturers (AEM)  
Statistics Program Audit Request Form  
Submit to: 
Systematics International Ltd.  
Bldg. 11, Grange Farm Business Ctr.  
Woodham Road, Essex SS13 7DQ, UK

Audit Request Form Objective & Instructions: Audits are initiated only when a reporter has reason to question the accuracy of any specific industry data. The data audit request must be sent in writing to Systematics International (SIL) using this form, completed in its entirety. Additional documentation as evidence should also be submitted to SIL at that time. Companies are expected to respond to an audit within 3 weeks of the request. All reporters of the data involved in the audit request will be informed of the audit results. You will be able to see all the answers provided in the Audit Response Form that do not identify the responding company.

SIL will first attempt to identify the source of the questioned information by reviewing relevant input data, and then contact the source for verification and correction of possible misreported data. If such a data review does not identify a likely source, SIL will issue an audit request (and copy AEM Staff) to all reporters in the particular segment to verify the questioned data, reply to the audit, and file appropriate revisions.

Audit Date:  
Company:  
Company Contact(s):

1. Product(s) in question:
2. Reporting period(s) in question:
3. Activity:
4. Size Class:
5. Geography:
6. Customer type/end use:
7. Reason(s) for the audit (quantity? geography? end use? etc.):
8. Additional comments:
Audit Request Form Objective & Instructions: Audits are initiated only when a reporter has reason to question the accuracy of any specific industry data. The data audit request must be sent in writing to Hargrove & Associates (HAI) using this form, completed in its entirety. Additional documentation as evidence should also be submitted to HAI at that time. Companies are expected to respond to an audit within 3 weeks of the request. All reporters of the data involved in the audit request will be informed of the audit results. You will be able to see all the answers provided in the Audit Responses Form that do not identify the responding company.

HAI will first attempt to identify the source of the questioned information by reviewing relevant input data, and then contact the source for verification and correction of possible misreported data. If such a data review does not identify a likely source, HAI will issue an audit request (and copy AEM Staff) to all reporters in the particular segment to verify the questioned data, reply to the audit, and file appropriate revisions.

Audit Date:

Company:

Company Contact(s):

1. Product(s) in question:
2. Reporting period(s) in question:
3. Activity:
4. Size Class:
5. Geography:
6. Customer type/end use:
7. Reason(s) for the audit (quantity? geography? end use? etc.):
8. Additional comments: