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# EDGAR<sup>®</sup> Form TA-2 XML Technical Specification



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### **DRAFT DISCLAIMER:**

This draft Form TA-2 XML Technical Specification, posted before Commission approval of potential regulatory changes in this release, is provided as a service to our filing community to assist filers, agents, and software developers in their preparation of responses to potential changes the staff anticipates. Since this is a draft technical specification, the SEC retains the right to change any part of the technical specification before the new system release is made final. In addition, the final Form TA-2 XML Technical Specification is subject to Commission approval and may be revised before approval or not approved at all. Similarly, the posting of the draft technical specification does not indicate Commission approval of any pending proposed changes relating to the potential changes reflected in the draft technical specification. The changes outlined in this draft technical specification, if approved, are scheduled to take effect on April 12, 2010. The final version of the technical specification will be made available if approved by the Commission on or about April 12, 2010, on the SEC's Public Website.

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## **1.0 INTRODUCTION**

### **1.1 Purpose**

This document details the valid structure and content of the two EDGAR Form TA-2 submission types: TA-2 and TA-2/A. Table 1-1, Form TA-2 Submission Types, provides a description of the Form TA-2 submission types.

**Table 1-1. Form TA-2 Submission Types**

| <b>Submission Type</b> | <b>Description</b>                                |
|------------------------|---------------------------------------------------|
| TA-2                   | Form for reporting activities of transfer agents. |
| TA-2/A                 | Amendment of a previous Form TA-2.                |

This specification provides a basis for creating the Form TA-2 XML filings. The expectation is that software developers, working on behalf of filers, will construct software that will generate a Form TA-2 XML filing that can be successfully parsed by the EDGAR system.

The Form TA-2 submission file must conform to the EDGAR Form TA-2 Submission Taxonomy. This taxonomy is comprised of a collection of XML Schema Definition (.xsd) files that define the structures of EDGAR Form TA-2 submissions.

For specific information about the data content of the Form TA-2 submission types, refer to SEC Filing Rule “Electronic Filing of Transfer Agent Forms” and associated Release Number 34-54864.

The TA-2 XML submissions are transmitted to the SEC via the Transmit XML Submission option from the EDGAR OnlineForms/XML Website (<https://www.onlineforms.edgarfiling.sec.gov>).

You must register with the SEC as an electronic filer to use the EDGAR OnlineForms/XML Website. The SEC in turn will issue a Central Index Key (CIK). If you currently have a CIK and access codes (password, CIK confirmation code (CCC), etc.), you can proceed to the EDGAR OnlineForms/XML Website to submit your submission. If you do not have access codes, you will need to obtain access codes through the EDGAR Filer Management website, <https://www.filermanagement.edgarfiling.sec.gov>. For further information regarding how to obtain access codes, refer to the “Becoming an EDGAR Filer” section of the EDGAR Filer Manual, Volume I (General Information).

For further information regarding the EDGAR OnlineForms/XML Website, specifically in regards to the transmission of filer-constructed submissions, refer to the “Filer-Constructed XFDL/XML Submissions” section of the EDGAR Filer Manual, Volume II (EDGAR Filing).

All volumes of the Filer Manual are available on the SEC’s Public Website: <http://www.sec.gov>.

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### **1.2 Summary of Changes:**

The following changes have been implemented:

- ~~•The FormTA-2.xsn file has been updated to include the “Office of Thrift Supervision” value in the dropdown list for Question 3(a) (Registrants Appropriate Regulatory Agency).~~
- ~~•The FormTA-2.xsn file version has been updated to 5.2.0 as a result of the modifications outlined above.~~
- ~~•The schema for TA-2 form is updated to allow for the value of “OTS” to be input as a valid value for the <regulatoryAgency> element.~~
- ~~•The formTA-2Submission.xsd schema file has been updated as a result of the modifications outlined above, and the schema version has been updated to X0502.~~
- The XML style sheet for Form TA-2 (TA-2\_X03.xsl) has been modified to display “June 30, 2012” as the OMB Expiration Date.

## 2.0 EDGAR SCHEMA FILES

Table 2-1, Form TA-2 Schema Files, describes the schema files that the EDGAR system uses to validate Form TA-2 submissions. These schemas are considered part of this specification and are distributed with this document.

**Table 2-1. Form TA-2 Schema Files**

| XML Schema File           | Scope of File                                                       |
|---------------------------|---------------------------------------------------------------------|
| edgarSubmissionCommon.xsd | Defines the submission fields that are common in EDGAR submissions. |
| stateCodes.xsd            | Defines the state code element.                                     |
| filedByCompany.xsd        | Defines the filed by company elements.                              |
| formTA-2Submission.xsd    | Defines the elements of the Form TA-2 submission.                   |

The schema files define the valid data elements for a Form TA-2 submission, the hierarchy and sequencing of these elements, data types, valid values, maximum lengths, and number of occurrences, etc.

It is recommended that you download these files and use them for your own validation prior to submitting a filing. This will greatly reduce the likelihood of receiving an EDGAR Suspense error. These schema files contain several annotations that describe the nature of the content of some of the elements.

EDGAR does perform several validation checks that are not related to the schema files, so it is possible for a submission to meet all the schema constraints and still be SUSPENDED or BLOCKED. For instance, EDGAR verifies that each CIK/CCC pair is valid.

### 2.1 Key Schema Indicators

We assume the filer is familiar with the basics of the XML language, Namespaces, and the XML Schema Definition language. If not, you can find numerous references on the World Wide Web. One recommended site that provides several useful tutorials and examples is <http://www.w3schools.com/>.

Table 2-2, XML Schema Language Features Used in Form TA-2, highlights the schema language features used most heavily in the EDGAR Form TA-2 submission schema files.

**Table 2-2. XML Schema Language Features Used in Form TA-2**

| Indicator     | Purpose                                                                                                                                                                                               |
|---------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <sequence>    | Specifies that child elements must appear in a specific order. This indicator is used with each element hierarchy. Elements must always appear in the order shown in the excerpt below (Section 2.1). |
| <key><keyref> | Specifies that the value of key element must match the value of the <keyRef> element.                                                                                                                 |
| <minOccurs>   | Specifies the minimum number of times that an element can occur. The default is 1. An optional field will have <minOccurs> value of zero.                                                             |
| <maxOccurs>   | Specifies the maximum number of times that an element can occur. The default is 1.                                                                                                                    |

This excerpt from the edgarSubmissionCommon.xsd schema file includes some of these indicators:

```
<xs:complexType name="EDGAR_ADDRESS_TYPE">
  <xs:sequence>
    <xs:element name="street1" type="STREET_TYPE"/>
    <xs:element name="street2" type="STREET_TYPE" minOccurs="0"/>
    <xs:element name="city" type="CITY_TYPE"/>
    <xs:element name="stateOrCountryCode" type="STATE_COUNTRY_CODE"/>
    <xs:element name="stateOrCountry" minOccurs="0">
      <xs:simpleType>
        <xs:restriction base="xs:string">
          <xs:maxLength value="50"/>
        </xs:restriction>
      </xs:simpleType>
    </xs:element>
    <xs:element name="zipCode" type="ZIP_CODE_TYPE" minOccurs="0"/>
  </xs:sequence>
</xs:complexType>
```

This is a sample of XML that conforms to the schema definition given above:

```
<registrant>
  ...
  <principalOfficeAddress>
    <street1>123 Maple Avenue</street1>
    <city>Alexandria</city>
    <stateOrCountryCode>VA</stateOrCountryCode>
    <stateOrCountry>VIRGINIA</stateOrCountry>
    <zipCode>22312</zipCode>
  </principalOfficeAddress>
</registrant>
```

### 3.0 XML SCHEMAS

This section summarizes the restrictions and constraints imposed on the content of the two Form TA-2 submission types. These rules are enforced by the schema files and by EDGAR submission processing applications.

The schema files cannot enforce all the rules concerning data content, so it is possible for a submission to satisfy all the schema constraints and still be SUSPENDED or BLOCKED by EDGAR.

#### 3.1 Schema Table Column Definitions

Table 3-3, Form TA-2 Schema Definitions, provides the schema definition for both Form TA-2 submission types. Table 3-1, Column Definitions for Table 3-3, describes the table columns in Table 3-3. Table 3-2 Data Type Definitions, provides information regarding the data types listed in Table 3-3.

**Table 3-1. Column Definitions for Table 3-3**

| Column Name              | Description                                                                                                                                                                                                                                                                                                           |
|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Level                    | Depth of element in the XML node hierarchy.                                                                                                                                                                                                                                                                           |
| Order                    | Order in which elements must appear.                                                                                                                                                                                                                                                                                  |
| Data Type                | See Table 3-2 for a detailed description.                                                                                                                                                                                                                                                                             |
| Element Name             | Name of the XML element. This is case-sensitive.                                                                                                                                                                                                                                                                      |
| Max Length               | Maximum length for string elements. EDGAR database stores up to this number of characters. "Unlimited" means no maximum length constraint for the element value.                                                                                                                                                      |
| Data Value Constraint    | The paragraph that describes the data value constraint for the element. The values specified are case sensitive.                                                                                                                                                                                                      |
| Max Occur                | Maximum times a set of elements may be repeated. The maximum occurrence is 1, if not specified.                                                                                                                                                                                                                       |
| Applicability of Element | Indicates applicability of the element.<br><br>M = Mandatory<br><br>O = Optional<br><br>O(1) = The element is optional in the schemas, but it is truly mandatory for input processing. It is marked as optional so the element can be removed from the version of the document that is disseminated. In this way, the |

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| Column Name | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|-------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|             | <p>disseminated document will still conform to this specification.</p> <p>O(2) = The element is optional, but is only applicable when &lt;submissionType&gt; is TA-2/A (Element is not applicable when &lt;submissionType&gt; is TA-2).</p> <p>CM(1) = The element is mandatory if its parent element is included.</p> <p>CM(2) = If &lt;function&gt; is ALL or SOME within parent, then at least one element is mandatory within parent element. The element is not applicable within parent element when &lt;function&gt; is NONE within parent element.</p> <p>CM(3) = If &lt;function&gt; is true within parent, then at least one element is mandatory within parent element. The element is not applicable within parent element when &lt;function&gt; is false within parent.</p> <p>CM(4) = If &lt;amendmentFiled&gt; is NO, then element is mandatory. The element is not applicable when &lt;amendmentFiled&gt; is YES or NA.</p> <p>CM(5) = If &lt;engagedServiceCompany&gt;.&lt;function&gt; is SOME or NONE, element is mandatory. The element is not applicable when &lt;engagedServiceCompany&gt;.&lt;function&gt; is ALL.</p> <p>CM(5) = If &lt;numberItemsReceivedForTransfer&gt; is greater than or equal 1000 and numberMasterSecurityHolderFilings is greater than 1000, then element is mandatory; otherwise the element is not applicable.</p> <p>CM(7) = If &lt;numberFiled&gt; is greater than 0, then element is mandatory. The element is not applicable when &lt;numberFiled&gt; is 0.</p> <p>CM(8) = If &lt;fileAll&gt; is NO, then element is mandatory. The element is not applicable when &lt;fileAll&gt; is YES or NA.</p> <p>CM(9) = If &lt;alwaysCompliant&gt; is NO, then element is mandatory. The element is not applicable when &lt;alwaysCompliant&gt; is YES or NA.</p> <p>NA = Does not apply. EDGAR uses this element for server-side processing. Do not provide a value for this element. If provided, EDGAR may either remove or replace value with EDGAR system of record.</p> |

### 3.2 Data Type Constraints

Table 3–2 describes the data types specified in the “Data Type” column of Table 3-3. Form TA-2 Schema Definitions.

**Table 3-2. Data Type Definitions**

| Data Type | Constraints                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |           |                 |   |               |   |               |   |                |   |                 |
|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-----------------|---|---------------|---|---------------|---|----------------|---|-----------------|
| boolean   | Indicate with the word “true” or “false”. A boolean element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.                                                                                                                                                                                                                                                                                                                                   |           |                 |   |               |   |               |   |                |   |                 |
| date      | Must be of the format YYYY-MM-DD. A date element accepts null or blank value. Invalid date entry is a schema violation and will cause a SUSPENSE error.                                                                                                                                                                                                                                                                                                                                       |           |                 |   |               |   |               |   |                |   |                 |
| string    | <p>Should not be longer than the length specified in “Max Length” column of Table 3-3. Form TA-2 Schema Definitions.</p> <p>You must use special escape sequences to represent these four characters:</p> <table><tr><th>Character</th><th>Escape Sequence</th></tr><tr><td>&lt;</td><td>&amp;lt; or &amp;#60;</td></tr><tr><td>&gt;</td><td>&amp;gt; or &amp;#62;</td></tr><tr><td>&amp;</td><td>&amp;amp; or &amp;#38;</td></tr><tr><td>“</td><td>&amp;quot; or &amp;#34;</td></tr></table> | Character | Escape Sequence | < | &lt; or &#60; | > | &gt; or &#62; | & | &amp; or &#38; | “ | &quot; or &#34; |
| Character | Escape Sequence                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |           |                 |   |               |   |               |   |                |   |                 |
| <         | &lt; or &#60;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |           |                 |   |               |   |               |   |                |   |                 |
| >         | &gt; or &#62;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |           |                 |   |               |   |               |   |                |   |                 |
| &         | &amp; or &#38;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |           |                 |   |               |   |               |   |                |   |                 |
| “         | &quot; or &#34;                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |           |                 |   |               |   |               |   |                |   |                 |
| NV        | These elements cannot have a value. They are parent element nodes that contain other XML elements. These elements need to be present for proper validation.                                                                                                                                                                                                                                                                                                                                   |           |                 |   |               |   |               |   |                |   |                 |

### 3.3 Form TA-2 Schema Definition

Table 3-3 provides the schema definition for the Form TA-2 submission types.

**Table 3-3. Form TA-2 Schema Definitions**

| Level | Order | Data Type | Element Name             | Max Length | Data Value Constraint | Max Occur | Applicability of Element |
|-------|-------|-----------|--------------------------|------------|-----------------------|-----------|--------------------------|
| 1     | 1     | NV        | edgarSubmission          |            |                       |           | M                        |
|       |       |           |                          |            |                       |           |                          |
| 2     | 1     | String    | schemaVersion            | 5          |                       |           | NA                       |
| 2     | 2     | String    | submissionType           | Unlimited  | Submission Type List  |           | M                        |
| 2     | 3     | String    | testOrLive               | 4          | Test Live List        |           | M                        |
| 2     | 4     | Boolean   | returnCopy               |            |                       |           | O                        |
| 2     | 5     | NV        | contactData              |            |                       |           | O                        |
| 3     | 1     | String    | contactName              |            | isASCII               |           | O                        |
| 3     | 2     | String    | contactPhoneNumber       |            |                       |           | O                        |
| 3     | 3     | String    | contactEmailAddress      |            |                       |           | O                        |
| 2     | 6     | NV        | notificationAddresses    |            |                       |           | O                        |
| 3     | 1     | String    | notificationEmailAddress | 80         |                       | 30        | O                        |
| 2     | 7     | String    | formVersion              | 5          |                       |           | NA                       |
|       |       |           |                          |            |                       |           |                          |
| 2     | 8     | NV        | filer                    |            |                       |           | M                        |
| 3     | 1     | String    | cik                      | 10         |                       |           | M                        |
| 3     | 2     | String    | ccc                      | 8          |                       |           | O(1)                     |
| 3     | 3     | String    | fileNumber               | 14         |                       |           | M                        |
|       |       |           |                          |            |                       |           |                          |
| 2     | 9     | Date      | periodOfReport           |            |                       |           | M                        |
|       |       |           |                          |            |                       |           |                          |
| 2     | 10    | NV        | registrant               |            |                       |           | M                        |
| 3     | 1     | String    | entityName               | 150        | isASCII               |           | M                        |
|       |       |           |                          |            |                       |           |                          |

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| Level | Order | Data Type | Element Name                      | Max Length   | Data Value Constraint  | Max Occur | Applicability of Element |
|-------|-------|-----------|-----------------------------------|--------------|------------------------|-----------|--------------------------|
| 2     | 11    | NV        | engagedServiceCompany             |              |                        |           | M                        |
| 3     | 1     | String    | function                          |              | Function List          |           | M                        |
| 3     | 2     | NV        | serviceCompanyTransferAgent       |              |                        | Unlimited | CM(2)                    |
| 4     | 1     | String    | entityName                        | 150          | isASCII                |           | CM(1)                    |
| 4     | 2     | String    | fileNumber                        | 14           |                        |           | CM(1)                    |
|       |       |           |                                   |              |                        |           |                          |
| 2     | 12    | NV        | engagedAsServiceCompany           |              |                        |           | M                        |
| 3     | 1     | Boolean   | function                          |              |                        |           | M                        |
| 3     | 2     | NV        | asServiceCompanyTransferAgent     |              |                        | Unlimited | CM(3)                    |
| 4     | 1     | String    | entityName                        | 150          | isASCII                |           | CM(1)                    |
| 4     | 2     | String    | fileNumber                        | 14           |                        |           | CM(1)                    |
|       |       |           |                                   |              |                        |           |                          |
| 2     | 13    | String    | regulatoryAgency                  | Unlimited    | Regulatory Agency List |           | M                        |
|       |       |           |                                   |              |                        |           |                          |
| 2     | 14    | NV        | inaccurateIncompleteMisleading    |              |                        |           | M                        |
| 3     | 1     | String    | amendmentFiled                    | Unlimited    | Amendment Filed List   |           | M                        |
| 3     | 2     | String    | additionalInformation             | 255          | isASCII                |           | CM(4)                    |
|       |       |           |                                   |              |                        |           |                          |
| 2     | 15    | NV        | serviceCompanyData                |              |                        |           | CM(5)                    |
| 3     | 1     | Integer   | numberItemsReceivedForTransfer    | 999999999999 |                        |           | CM(1)                    |
| 3     | 2     | Integer   | numberMasterSecurityHolderFilings | 999999999999 |                        |           | CM(1)                    |
| 3     | 3     | Integer   | numberIndividualAccounts          | 999999999999 |                        |           | CM(1)                    |
| 3     | 4     | Integer   | numberDivReinvDirPurPlanAccounts  | 999999999999 |                        |           | CM(1)                    |
| 3     | 5     | Integer   | numberDirectRegistSystemAccounts  | 999999999999 |                        |           | CM(1)                    |
| 3     | 6     | NV        | securityHolderAccounts            |              |                        |           | CM(1)                    |
| 4     | 1     | Float     | equitySecurity                    | 100.00       |                        |           | CM(1)                    |
| 4     | 2     | Float     | debtSecurity                      | 100.00       |                        |           | CM(1)                    |

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| Level | Order | Data Type | Element Name                    | Max Length   | Data Value Constraint | Max Occur | Applicability of Element |
|-------|-------|-----------|---------------------------------|--------------|-----------------------|-----------|--------------------------|
| 4     | 3     | Float     | openEndInvestmentCompany        | 100.00       |                       |           | CM(1)                    |
| 4     | 4     | Float     | limitedPartnership              | 100.00       |                       |           | CM(1)                    |
| 4     | 5     | Float     | municipalDebt                   | 100.00       |                       |           | CM(1)                    |
| 4     | 6     | Float     | Other                           | 100.00       |                       |           | CM(1)                    |
| 3     | 7     | NV        | securityHolderData              |              |                       |           | CM(6)                    |
| 4     | 1     | NV        | transMaintainMasterSecHolder    |              |                       |           | CM(1)                    |
| 5     | 1     | Integer   | equitySecurity                  | 999999999999 |                       |           | CM(1)                    |
| 5     | 2     | Integer   | debtSecurity                    | 999999999999 |                       |           | CM(1)                    |
| 5     | 3     | Integer   | openEndInvestmentCompany        | 999999999999 |                       |           | CM(1)                    |
| 5     | 4     | Integer   | limitedPartnership              | 999999999999 |                       |           | CM(1)                    |
| 5     | 5     | Integer   | municipalDebt                   | 999999999999 |                       |           | CM(1)                    |
| 5     | 6     | Integer   | Other                           | 999999999999 |                       |           | CM(1)                    |
| 4     | 2     | NV        | transNotMaintMasterSecHolder    |              |                       |           | CM(1)                    |
| 5     | 1     | Integer   | equitySecurity                  | 999999999999 |                       |           | CM(1)                    |
| 5     | 2     | Integer   | debtSecurity                    | 999999999999 |                       |           | CM(1)                    |
| 5     | 3     | Integer   | openEndInvestmentCompany        | 999999999999 |                       |           | CM(1)                    |
| 5     | 4     | Integer   | limitedPartnership              | 999999999999 |                       |           | CM(1)                    |
| 5     | 5     | Integer   | municipalDebt                   | 999999999999 |                       |           | CM(1)                    |
| 5     | 6     | Integer   | Other                           | 999999999999 |                       |           | CM(1)                    |
| 4     | 3     | NV        | notTransMaintMasterSecHolder    |              |                       |           | CM(1)                    |
| 5     | 1     | Integer   | equitySecurity                  | 999999999999 |                       |           | CM(1)                    |
| 5     | 2     | Integer   | debtSecurity                    | 999999999999 |                       |           | CM(1)                    |
| 5     | 3     | Integer   | openEndInvestmentCompany        | 999999999999 |                       |           | CM(1)                    |
| 5     | 4     | Integer   | limitedPartnership              | 999999999999 |                       |           | CM(1)                    |
| 5     | 5     | Integer   | municipalDebt                   | 999999999999 |                       |           | CM(1)                    |
| 5     | 6     | Integer   | Other                           | 999999999999 |                       |           | CM(1)                    |
| 4     | 4     | NV        | dividendReinvDirectPurchasePlan |              |                       |           | CM(1)                    |

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| Level | Order | Data Type | Element Name                    | Max Length      | Data Value Constraint | Max Occur | Applicability of Element |
|-------|-------|-----------|---------------------------------|-----------------|-----------------------|-----------|--------------------------|
| 5     | 1     | Integer   | numberIssues                    | 999999999999    |                       |           | CM(1)                    |
| 4     | 5     | NV        | directRegistrationSystem        |                 |                       |           | CM(1)                    |
| 5     | 1     | Integer   | numberIssues                    | 999999999999    |                       |           | CM(1)                    |
| 4     | 6     | NV        | dividendAndInterest             |                 |                       |           | CM(1)                    |
| 5     | 1     | Integer   | numberIssues                    | 999999999999    |                       |           | CM(1)                    |
| 5     | 2     | Float     | amountIssues                    | 999999999999.99 |                       |           | CM(1)                    |
| 4     | 7     | NV        | priorAgent                      |                 |                       |           | CM(1)                    |
| 5     | 1     | Integer   | numberIssues                    | 999999999999    |                       |           | CM(1)                    |
| 5     | 2     | Float     | amountIssues                    | 999999999999.99 |                       |           | CM(1)                    |
| 4     | 8     | NV        | currentAgent                    |                 |                       |           | CM(1)                    |
| 5     | 1     | Integer   | numberIssues                    | 999999999999    |                       |           | CM(1)                    |
| 5     | 2     | Float     | amountIssues                    | 999999999999.99 |                       |           | CM(1)                    |
| 4     | 9     | NV        | quarterlyReportsRegardingBuyIns |                 |                       |           | CM(1)                    |
| 5     | 1     | Integer   | numberFiled                     | 999999999999    |                       |           | CM(1)                    |
| 5     | 2     | Boolean   | fileAll                         |                 |                       |           | CM(7)                    |
| 5     | 3     | String    | additionalInformation           | 255             | isASCII               |           | CM(8)                    |
| 4     | 10    | NV        | turnaroundCompliant             |                 |                       |           | CM(1)                    |
| 5     | 1     | Boolean   | alwaysCompliant                 |                 |                       |           | CM(1)                    |
| 5     | 2     | NV        | nonCompliantData                |                 |                       |           | CM(9)                    |
| 6     | 1     | Integer   | numberMonthsNotCompliant        | 999999999999    |                       |           | CM(1)                    |
| 6     | 2     | Integer   | numberNoticeNonComplianceFiled  | 999999999999    |                       |           | CM(1)                    |
| 4     | 11    | NV        | purchaseRedemptionPricingShares |                 |                       |           | CM(1)                    |
| 5     | 1     | Integer   | total                           | 999999999999    |                       |           | CM(1)                    |
| 5     | 2     | Integer   | totalOtheThanReceiptOrderDate   | 999999999999    |                       |           | CM(1)                    |
|       |       |           |                                 |                 |                       |           |                          |
| 3     | 8     | NV        | databaseSearch                  |                 |                       | Unlimited | CM(1)                    |

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| Level | Order | Data Type | Element Name                       | Max Length   | Data Value Constraint | Max Occur | Applicability of Element |
|-------|-------|-----------|------------------------------------|--------------|-----------------------|-----------|--------------------------|
| 4     | 1     | Date      | databaseSearchDate                 |              |                       |           | O                        |
| 4     | 2     | Integer   | numberLostAccountsSearched         |              |                       |           | CM(1)                    |
| 4     | 3     | Integer   | numberAddressesFromSearch          |              |                       |           | CM(1)                    |
|       |       |           |                                    |              |                       |           |                          |
| 3     | 9     | Integer   | numberLostAccountsRemittedToStates | 999999999999 |                       |           | CM(1)                    |
|       |       |           |                                    |              |                       |           |                          |
| 2     | 16    | NV        | signatureData                      |              |                       |           | M                        |
| 3     | 1     | String    | signatureName                      | 255          | isASCII               |           | M                        |
| 3     | 2     | String    | signatureTitle                     | 60           | isASCII               |           | M                        |
| 3     | 3     | String    | signaturePhoneNumber               | 20           |                       |           | M                        |
| 3     | 4     | Date      | signatureDate                      | Date         |                       |           | M                        |
|       |       |           |                                    |              |                       |           |                          |
| 2     | 17    | NV        | edgarDocument                      |              |                       | 610       | O                        |
| 3     | 1     | String    | documentName                       | 32           | isASCII               |           | CM(1)                    |
| 3     | 2     | String    | documentType                       | 20           | Document Type List    |           | CM(1)                    |
| 3     | 3     | String    | documentDescription                | 255          | isASCII               |           | O                        |
| 3     | 4     | String    | documentMimeBlock                  | Unlimited    |                       |           | CM(1)                    |

### **3.4 Data Value Constraints**

This section describes the data value constraints for applicable elements in Table 3-3, Form TA-2 Schema Definitions.

#### **3.4.1 Submission Type List**

Table 3-4, Submission Type List Values, lists the valid values for the <submissionType> element.

**Table 3-4. Submission Type List Values**

| <b>Value for Submission Type and Primary Document Type</b> |
|------------------------------------------------------------|
| TA-2                                                       |
| TA-2/A                                                     |

#### **3.4.2 Document Type List**

Table 3-5, Supporting Document Type List Values, lists the valid values for the <documentType> of the <edgarDocument> (<edgarDocument.documentType>) element.

**Table 3-5. Supporting Document Type List Values**

| <b>Value for Supporting Documents</b> |
|---------------------------------------|
| COVER                                 |
| CORRESP                               |
| GRAPHIC                               |

You can append optional text to these document type values. This optional text must begin with a period. The overall length of the document type value cannot exceed 20 characters. Some examples of a valid document types are:

COVER.document 1  
CORRESP.document 2

#### **3.4.3 Test Live List**

Table 3-6, Test or Live List Values, lists the valid values for the <testOrLive> element.

**Table 3-6. Test or Live List Values**

| <b>Value</b> |
|--------------|
| LIVE         |
| TEST         |

### **3.4.4 Regulatory Agency List**

Table 3-7, Regulatory Agency List Values, lists the valid values for the <regulatoryAgency> element.

**Table 3-7. Regulatory Agency List Values**

| <b>Value</b> |
|--------------|
| OCC          |
| FDIC         |
| BGFRS        |
| SEC          |
| OTS          |

The following are descriptions for the regulatory agency codes:

OCC = Comptroller of the Currency

FDIC = Federal Deposit Insurance Corporation

BGFRS = Board of Governors of the Federal Reserve System

SEC = Securities and Exchange Commission

OTS = Office of Thrift Supervision

### **3.4.5 Function List**

Table 3-8, Function List Values, lists the valid values for the <registrantType> element.

**Table 3-8. Function List Values**

| <b>Value</b> |
|--------------|
| ALL          |
| SOME         |
| NONE         |

### 3.4.6 Amendment Filed List

Table 3-9, Amendment Filed List Values, lists the valid values for the <ownershipCode> element.

**Table 3-9. Amendment Filed List Values**

| Value |
|-------|
| YES   |
| NO    |
| NA    |

### 3.4.7 isASCII

Function validates ASCII characters for categories <registrantType>, <ServiceCompany Transfer Agent> and <SignatureData> elements. The validations are confined to elements which have Name, Address, Title and Description fields. The fields being validated are:

- Question 1(f)(i) (Contact Name)
- Question 1(h) (Full Name of Registrant as stated in Question 3 of Form TA-1)
- Question 2(b)(i) (Name of Transfer Agent(s))
- Question 2(d)(i) (Name of Transfer Agent(s))
- Question 3(c) (If the answer to subsection (b) is no, provide an explanation)
- Question 8(d) (If the answers to subsection (c) is no, provide an explanation for each failure to file)
- Question 12(a) (Signature of Official responsible for Form)
- Question 12(c) (Title of Signing Officer)
- Question 13(a) (File Name)
- Question 13(d) (Attachment Description)

## **4.0 BASIC SUBMISSION CONSTRUCTION**

### **4.1 General Formatting of XML Files**

The following rules apply to the submission file of an XML-format TA-2 submission:

1. The filename must end with an “.xml” extension.
2. The file cannot be compressed in any fashion.
3. We strongly recommend you format the submission as shown in the provided sample files. This makes the raw XML files easier to view in a text editor. The submission of ASCII XML files with no line breaks, while legal XML, is strongly discouraged. XML filings are required to be posted on public websites. While usually formatted via style sheets, the raw XML is frequently available for inspection and should be readable by a person. A single line XML file is not viewer-friendly and should be avoided.
4. The `<?xml version=“1.0”?>` declaration line is optional; however, if it is included it must be the first line in the file. Any text entered before this line, even white space, will cause a SUSPENSE error. The version value must be “1.0.” Any other value for version will cause a SUSPENSE error.
5. For an XML element with a data value, keep the begin tag, data value, and end tag on the same line of text. Otherwise, you could get a schema violation error. As an example, for a filer ID value which cannot be longer than 10 characters, this specification is correct:

**`<cik>1212121212</cik>`**

6. The specification below will result in a parsing error because the extraneous white space and line feeds will be counted as part of the length of the data value. In other words, the CIK value will be regarded as longer than 10 characters.

**`<cik>  
1212121212  
</cik>`**

### **4.2 XML Submission File Rules**

The following rules are specific to the submission file:

1. The order of any `<notificationEmailAddress>` element in the `<notificationAddresses>` element block does not matter. EDGAR will generate a WARNING for any duplicate values in the `<notificationEmailAddress>` element.
2. The submission file must conform to the `formTA-2Submission.xsd` XML schema file. Any violation of this schema will result in the suspension of the filing.

#### **4.2.1 Primary Document**

EDGAR will construct the “document of record” from the XML submission that will be disseminated. The following provides information regarding the constructed primary document.

1. The <schemaVersion> element should not be included. If you do provide a value for this element, EDGAR will generate a WARNING and discard the value and replace it with the correct value. Additionally, if the value you provide does not match the current version of the schema file being used by EDGAR, then EDGAR will generate a second WARNING.
2. The following elements will be removed, if provided:  
  
    <ccc>  
  
    <returnCopy>  
  
    <contactData>  
  
    <notificationAddresses>
3. The <stateOrCountry> element should not be included. If you do provide a value for this element, EDGAR will replace the value with the correct value.

#### **4.2.2 Supporting Documents**

The <edgarDocument> element block specifies supporting documents. The following rules apply to this <edgarDocument> element block:

1. The submission file may also contain additional supporting documents. The additional support documents are specified using the <edgarDocument> element block. The order of the <edgarDocument> specifications does not matter, e.g., CORRESP documents may appear before the COVER document, and vice versa.
2. Allowable file extensions are .txt, .htm, .jpg, and .gif.  
  
    **Note:** The two Form TA-2 submission types do not allow the inclusion of PDF documents. EDGAR will discard any attached PDF documents and issue a WARNING to that effect.
3. The allowable document types are shown in the Table 3-5.
4. You may enclose no more than 610 documents. The document count limits by type are provided in Table 4-1.

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### Table 4-1. Supporting Document Maximum Allowed

| Document Type | Maximum Allowed |
|---------------|-----------------|
| CORRESP       | 100             |
| COVER         | 10              |
| GRAPHIC       | 500             |

5. The names of attached document files must follow the EDGAR file naming convention:
  - File names cannot exceed 32 characters, including the file extension.
  - Valid characters are lowercase letters, digits 0-9, up to one underscore, up to one hyphen, and up to one period.
  - First character must be a letter.
  - Spaces are not allowed.
  - File name must have a file type extension.
  - File extension of the primary document must be .xml.
  - File extension of all other documents be .txt, .htm, .jpg, or .gif.
6. The <documentDescription> is optional, but all other elements must be present and must have a value.
7. The <documentMimeBlock> element must contain a MIME encoded document. You can use any standard 64-character set based MIME encoding algorithm to create a MIME document.
8. The XML for an enclosed supporting document looks like this:

```
<edgarDocument>  
  <documentName>cover01.txt</documentName>  
  <documentType>COVER</documentType>  
  <documentDescription>Cover Document</documentDescription>  
  <documentMimeBlock>  
    PT09PT09PT09PT09PT09PT09PT09PT09PT09PSAgIGNvdmVyIGxldHRl  
    ciAgID09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09Cg0KVGHpcyBp  
    cyBhIHBYaXZhdGUGYy29ZXIgbGV0dGVyIHRoYXQzZG91cyBub3Qy29udGFp  
    b1BbnkgcmVkbGluzQ0kDGfncy4gVGhpncyBpcyBzdHJpY3RseSBhIHRlc3Qu  
    DQoNcj09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09  
    PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09DQo=  
  </documentMimeBlock>  
</edgarDocument>
```

## 5.0 ERROR REPORTING

EDGAR will generate an error for each violation of an XML schema constraint, as well as for each violation of a Form TA-2 filing business rule. The schema files do not enforce all error checks, so it is possible to construct a submission that meets all the schema constraints yet is still SUSPENDED.

Table 5-1, EDGAR Processing Errors and Severity, summarizes the errors that can result from violations of schema constraints and EDGAR business rules. This is not an all-inclusive list.

**Table 5-1. EDGAR Processing Errors and Severity**

| ERROR CONDITION                                                                                                                                                  | SEVERITY                  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| Elements not in sequence prescribed in Table 3-3. Form TA-2 Schema Definitions.                                                                                  | SUSPENSE                  |
| Inclusion of XML-stylesheet reference or any other Processing Instruction                                                                                        | SUSPENSE                  |
| Inclusion of an element not prescribed in the schema                                                                                                             | SUSPENSE                  |
| String value exceeds maximum length constraint                                                                                                                   | SUSPENSE                  |
| Element constrained by a Choice List has an invalid value                                                                                                        | SUSPENSE                  |
| Mandatory element has no value or an invalid value                                                                                                               | SUSPENSE                  |
| Special character (&, <, >) not provided as escape sequence                                                                                                      | SUSPENSE                  |
| Date or Boolean element does not have a value                                                                                                                    | SUSPENSE                  |
| Duplicate notification email address (duplicate values for element <notificationEmailAddress>)                                                                   | WARNING                   |
| Invalid CIK                                                                                                                                                      | SUSPENSE                  |
| Invalid CIK/CCC combination                                                                                                                                      | SUSPENSE                  |
| Improperly formatted email address                                                                                                                               | SUSPENSE                  |
| Inclusion of a PDF document                                                                                                                                      | WARNING                   |
| Exceeding a “Max Occur” limit from Table 3-3. Form TA-2 Schema Definitions (e.g., value for element <notificationEmailAddress> contains more than 80 characters) | SUSPENSE                  |
| Invalid content in an enclosed ASCII document. Refer to the EDGAR Filer Manual for details.                                                                      | SUSPENSE<br>or<br>WARNING |
| Invalid content in an enclosed HTML document. Refer to the EDGAR Filer Manual for details.                                                                       | SUSPENSE<br>or<br>WARNING |
| Enclosed graphic document that is not referenced by an HTML document                                                                                             | SUSPENSE                  |
| Any XML schema violation not mentioned in previous table row                                                                                                     | SUSPENSE                  |
| Sum of <securityHolderAccounts> elements do not equal to 100                                                                                                     | SUSPENSE                  |
| Sum of <transMaintainMasterSecHolder> elements do not equal to 100                                                                                               | SUSPENSE                  |
| Sum of <transNotMaintMasterSecHolder> elements do not equal to 100                                                                                               | SUSPENSE                  |
| Sum of <notTransMaintMasterSecHolder> elements do not equal to 100                                                                                               | SUSPENSE                  |
| <fileNumber> starts with “084-“ and <regulatorAgency> is not SEC                                                                                                 | SUSPENSE                  |
| <fileNumber> prefix is “085-“ and <fileNumber> sequence is between 10000 and 14999 and <regulatoryAgency> is not OCC                                             | SUSPENSE                  |

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| ERROR CONDITION                                                                                                      | SEVERITY |
|----------------------------------------------------------------------------------------------------------------------|----------|
| <fileNumber> prefix is “085-“ and <fileNumber> sequence is between 15000 and 19999 and <regulatoryAgency> is not OTS | SUSPENSE |
| <fileNumber> prefix is “085-“ and <fileNumber> sequence is between 0 and 4999 and <regulatoryAgency> is not FDIC     | SUSPENSE |
| <fileNumber> prefix is “085-“ and <fileNumber> sequence is between 5000 and 9999 and <regulatoryAgency> is not BGFRS | SUSPENSE |
| Inclusion of an element that is not applicable for the conditional mandatory condition.                              | SUSPENSE |
| No values provided for child elements of a parent element satisfying the conditional mandatory condition.            | SUSPENSE |
| Any date element (except <signatureDate>) with value after submission date.                                          | SUSPENSE |
| Invalid ASCII character                                                                                              | SUSPENSE |

You may sometimes receive multiple error messages reporting the same error. The XML parser EDGAR uses to process an XML submission generates messages that are rather technical in nature and require an understanding of the XML schema language. Whenever possible, EDGAR also generates a more “friendly” error message to give a precise description of the error.

## 6.0 EXAMPLE FORM TA-2 SUBMISSION FILES

Table 6-1, Form TA-2 Example Submission Files, provides a list of Form TA-2 submission files.

**Table 6-1. Form TA-2 Example Submission Files**

| Submission Type | Description                                      | Submission File |
|-----------------|--------------------------------------------------|-----------------|
| TA-2            | Submission with no enclosed documents.           | TA-2_1.xml      |
| TA-2/A          | Amendment submission with no enclosed documents. | TA-2A.xml       |
| TA-2            | Submission with enclosed documents.              | TA-2_2.xml      |

The submission files contain MIME versions of the supporting document. These MIME data blocks were copied from a 64-character set MIME version of the document and pasted into the submission file.

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**APPENDIX A  
MAPPING OF FORM TA-2 XML ELEMENTS TO PRINTED FORM**

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**APPENDIX A  
MAPPING OF FORM TA-2 XML ELEMENTS TO PRINTED FORM**

Table A-1, Mapping for Form TA-2 XML Elements to Printed Form, maps the XML elements that have a displayable value to their corresponding fields on a printed Form 25. Not all elements map to the printed form, but the schema definition as provided in Table 3-3, Form TA-2 Schema Definitions, is repeated here for completeness.

**Table A-1. Mapping for Form TA-2 XML Elements to Printed Form**

| Element Name                  | Printed Form TA-2              |
|-------------------------------|--------------------------------|
| edgarSubmission               |                                |
|                               |                                |
| schemaVersion                 |                                |
| submissionType                | 1(e)                           |
| testOrLive                    | 1(c)                           |
| returnCopy                    | 1(d)                           |
| contactData                   |                                |
| contactName                   | 1(f)(i)                        |
| contactPhoneNumber            | 1(f)(ii)                       |
| contactEmailAddress           | 1(f)(iii)                      |
| notificationAddresses         |                                |
| notificationEmailAddress      | 1(g)                           |
| formVersion                   |                                |
|                               |                                |
| filer                         |                                |
| cik                           | 1(a)                           |
| ccc                           | 1(b)                           |
| fileNumber                    | File Number                    |
|                               |                                |
| periodOfReport                | For the reporting period ended |
|                               |                                |
| registrant                    |                                |
| entityName                    | 1(h)                           |
|                               |                                |
| engagedServiceCompany         |                                |
| function                      | 2(a)                           |
| serviceCompanyTransferAgent   |                                |
| entityName                    | 2(b) Name of Transfer Agent(s) |
| fileNumber                    | 2(b) File Number               |
|                               |                                |
| engagedAsServiceCompany       |                                |
| function                      | 2(c)                           |
| asServiceCompanyTransferAgent |                                |
| entityName                    | 2(d) Name of Transfer Agent(s) |

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| Element Name                      | Printed Form TA-2 |
|-----------------------------------|-------------------|
| fileNumber                        | 2(d) File Number  |
| regulatoryAgency                  | 3(a)              |
| inaccurateIncompleteMisleading    |                   |
| amendmentFiled                    | 3(b)              |
| additionalInformation             | 3(c)              |
| serviceCompanyData                |                   |
| numberItemsReceivedForTransfer    | 4(a)              |
| numberMasterSecurityHolderFilings | 4(b)              |
| numberIndividualAccounts          | 5(a)              |
| numberDivReinvDirPurPlanAccounts  | 5(b)              |
| numberDirectRegistSystemAccounts  | 5(c)              |
| securityHolderAccounts            |                   |
| equitySecurity                    | 5(d)(i)           |
| debtSecurity                      | 5(d)(ii)          |
| openEndInvestmentCompany          | 5(d)(iii)         |
| limitedPartnership                | 5(d)(iv)          |
| municipalDebt                     | 5(d)(v)           |
| Other                             | 5(d)(vi)          |
| securityHolderData                |                   |
| transMaintainMasterSecHolder      |                   |
| equitySecurity                    | 6(a)(i)           |
| debtSecurity                      | 6(a)(ii)          |
| openEndInvestmentCompany          | 6(a)(iii)         |
| limitedPartnership                | 6(a)(iv)          |
| municipalDebt                     | 6(a)(v)           |
| Other                             | 6(a)(vi)          |
| transNotMaintMasterSecHolder      |                   |
| equitySecurity                    | 6(b)(i)           |
| debtSecurity                      | 6(b)(ii)          |
| openEndInvestmentCompany          | 6(b)(iii)         |
| limitedPartnership                | 6(b)(iv)          |
| municipalDebt                     | 6(b)(v)           |
| Other                             | 6(b)(vi)          |
| notTransMaintMasterSecHolder      |                   |
| equitySecurity                    | 6(c)(i)           |
| debtSecurity                      | 6(c)(ii)          |
| openEndInvestmentCompany          | 6(c)(iii)         |
| limitedPartnership                | 6(c)(iv)          |
| municipalDebt                     | 6(c)(v)           |
| Other                             | 6(c)(vi)          |

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| Element Name                       | Printed Form TA-2                |
|------------------------------------|----------------------------------|
| dividendReinvDirectPurchasePlan    |                                  |
| numberIssues                       | 7(a)                             |
| directRegistrationSystem           |                                  |
| numberIssues                       | 7(b)                             |
| dividendAndInterest                |                                  |
| numberIssues                       | 7(c)(i)                          |
| amountIssues                       | 7(c)(ii)                         |
| priorAgent                         |                                  |
| numberIssues                       | 8(a)(i) Prior Transfer Agent(s)  |
| amountIssues                       | 8(a)(ii) Prior Transfer Agent(s) |
| currentAgent                       |                                  |
| numberIssues                       | 8(a)(i) Current Transfer Agent   |
| amountIssues                       | 8(a)(ii) Current Transfer Agent  |
| quarterlyReportsRegardingBuyIns    |                                  |
| numberFiled                        | 8(b)                             |
| fileAll                            | 8(c)                             |
| additionalInformation              | 8(d)                             |
| turnaroundCompliant                |                                  |
| alwaysCompliant                    | 9(a)                             |
| nonCompliantData                   |                                  |
| numberMonthsNotCompliant           | 9(a)(i)                          |
| numberNoticeNonComplianceFiled     | 9(a)(ii)                         |
| purchaseRedemptionPricingShares    |                                  |
| total                              | 10(a)                            |
| totalOtherThanReceiptOrderDate     | 10(b)                            |
|                                    |                                  |
| databaseSearch                     |                                  |
| databaseSearchDate                 | 11(a)(i)                         |
| numberLostAccountsSearched         | 11(a)(ii)                        |
| numberAddressesFromSearch          | 11(a)(iii)                       |
|                                    |                                  |
| numberLostAccountsRemittedToStates | 11(b)                            |
|                                    |                                  |
| signatureData                      |                                  |
| signatureName                      | 12(a)                            |
| signatureTitle                     | 12(c)                            |
| signaturePhoneNumber               | 12(b)                            |
| signatureDate                      | 12(d)                            |
|                                    |                                  |
| edgarDocument                      |                                  |
| documentName                       | 13(a)                            |
| documentType                       | 13(b), 13(c)                     |
| documentDescription                | 13(d)                            |

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| Element Name      | Printed Form TA-2 |
|-------------------|-------------------|
| documentMimeBlock | 13(e)             |

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**APPENDIX B  
LIST OF ACRONYMS**

**APPENDIX B  
LIST OF ACRONYMS**

The following acronyms are used in this document.

**Table B-1. List of Acronyms**

|          |                                                    |
|----------|----------------------------------------------------|
| ASCII    | American Standard Code for Information Interchange |
| BGFRS    | Board of Governors of the Federal Reserve System   |
| CCC      | CIK Confirmation Code                              |
| CIK      | Central Index Key                                  |
| CM       | Configuration Management                           |
| EDGAR    | Electronic Data Gathering, Analysis and Retrieval  |
| FDIC     | Federal Deposit Insurance Corporation              |
| GIF      | Graphics Interchange Format                        |
| HTML     | Hyper Text Markup Language                         |
| ID       | Identification                                     |
| JPG/JPEG | Joint Photographic Experts Group                   |
| MIME     | Multipurpose Internet Mail Extensions              |
| OCC      | Comptroller of the Currency                        |
| OTS      | Office of Thrift Supervision                       |
| PDF      | Portable Document Format                           |
| SEC      | Securities and Exchange Commission                 |
| XBRL     | Extensible Business Reporting Language             |
| XFDL     | Extensible Forms Description Language              |
| XML      | Extensible Markup Language                         |
| XSD      | XML Schema Definition                              |