

# Transfer Agent Data

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## 1 Overview

The Form Transfer Agent data provides information extracted from Transfer Agent XML submissions in a flattened data format to assist users in more easily consuming the data for analysis. These data includes any amendments to those submissions. The data has been taken directly from submissions created by the registrants and provided as-filed. The data will be published quarterly. Data contained in documents filed after 5:30pm EST on the last business day of the quarter will be included in the next quarterly posting.

### Transfer Agent Submission Types

SUBMISSION TYPE	DESCRIPTION
TA-1	Uniform form for registration as a transfer agent
TA-1/A	Amendment of a previous Form TA-1
TA-2	Form for reporting activities of transfer agents
TA-2/A	Amendment of a previous Form TA-2
TA-W	Notice of withdrawal from registration as a transfer agent

DISCLAIMER: The Transfer Agent Data contains information derived from structured data filed with the Commission by individual registrants as well as Commission-generated filing identifiers. Because the data is derived from information provided by individual registrants, we cannot guarantee the accuracy of the data. In addition, it is possible inaccuracies or other errors were introduced into the data during the process of extracting the data and compiling. Finally, the data does not reflect all available information, including certain metadata associated with Commission filings. The data is intended to assist the public in analyzing data contained in Commission filings; however, it is not a substitute for such filings. Investors should review the full Commission filings before making any investment decision.

The data extracted from the Transfer Agent XML submissions is organized into 12 tab-delimited TXT format files as follows:

- **TA\_SUBMISSION**
- **TA1\_REGISTRANT**
- **TA1\_ADDRESS**
- **TA\_SERVICE\_COMPANIES**
- **TA1\_CORP\_PARTNER\_DATA**
- **TA1\_CONTROL\_ENTITIES**
- **TA\_DISCIPLINARY\_HIST\_DETAILS**
- **TA2\_FILING**
- **TA2\_SECURITY\_HOLDER\_ACCOUNTS**
- **TA2\_DB\_SEARCH**
- **TAW\_FILING**
- **TAW\_ENTITY**

## 2 Scope

The Form Transfer Agent Data consists of XML data submitted to the Securities and Exchange Commission (SEC) from December 2006 through current period.

The Form Transfer Agent Data publishing does not include data from transfer agent data submitted to other regulatory agencies, attachments or other optional information that may have been included in the original submission.

Note: The [EDGAR Form Transfer Agent XML Technical Specification](#) provides additional information regarding the Form Transfer Agent submissions, including a mapping to the printed transfer agent forms.

## 3 Organization

Note that the data includes Form Transfer Agent information "as filed" in EDGAR document submissions including amendments of prior submissions. Data in this submitted form may contain redundancies, inconsistencies, and discrepancies relative to prior submissions and other publication formats. There are 12 data files. Each quarterly data is accompanied by a metadata file conforming to the W3C specification for tabular data (<https://www.w3.org/TR/2015/REC-tabular-data-model-20151217/>) that encodes the following information about the data files and their relationships to each other.

1. **TA\_SUBMISSION** identifies the Form Transfer Agent XML submissions including information pertinent to the filing and signature. There is one record for each filing, with each row having the primary key **ACCESSION\_NUMBER**.
2. **TA1\_REGISTRANT** data is the registrant information for filers seeking registration as a transfer agent or amendment thereto. There is one record for each TA-1 submission, with each row having the primary key **ACCESSION\_NUMBER**.
3. **TA1\_ADDRESS** ADDRESS data is the registrant address information provided in TA-1 submissions with the primary key **ACCESSION\_NUMBER, ADDRESS\_TYPE and ADDRESS\_ID**.
4. **TA\_SERVICE\_COMPANIES** data contains service companies engaged as a service company. Data is from TA-1 and TA-2 submissions with each row having the primary key **ACCESSION\_NUMBER,COMPANY\_TYPE and SVCCOMPANY\_ID**.
5. **TA1\_CORP\_PARTNER\_DATA** provides organizational type including officers and directors on corporate partner data with each row having composite primary key **ACCESSION\_NUMBER, CORP\_PARTNER\_TYPE and CORP\_PARTNER\_ID**.
6. **TA1\_CONTROL\_ENTITIES** data additional control entities with authority to direct management or policies of the company. Data is from TA-1 submissions with each row having the primary key **ACCESSION\_NUMBER, ENTITY\_TYPE and ENT\_ID**.
7. **TA\_DISCIPLINARY\_HIST\_DETAILS** data provides details of affirmative responses to disciplinary history from TA-1 and TA-W filings with each row having primary key **ACCESSION\_NUMBER, ACTION\_TYPE and ACTION\_ID**.
8. **TA2\_FILING** data provides annual reporting disclosures on activities and compliance from TA-2 filings with each row having the primary key **ACCESSION\_NUMBER**.
9. **TA2\_SECURITY\_HOLDER\_ACCOUNTS** data provides information on annual reporting of securityholder accounts and business activities from TA-2 filings with each row having the primary key **ACCESSION\_NUMBER and ACCT\_HOLDER\_TYPE**.
10. **TA2\_DB\_SEARCH** data provides database search history for lost securityholder accounts from TA-2 filings with each row having the primary key of **ACCESSION\_NUMBER and DBSEARCH\_ID**.
11. **TAW\_FILING** data provides information for termination of registration as reported on TA-W filings with each row having primary key **ACCESSION\_NUMBER**.
12. **TAW\_ENTITY** data provides custodians and successors from TA-W filings with each row having the primary key **ACCESSION\_NUMBER, ENTITY\_TYPE and ENTITY\_ID**.

Use the **ACCESSION\_NUMBER** to retrieve information about any Transfer Agent filing or submission across the files. Use the TYPE and ID fields included in the primary key to obtain data reported on multiple rows in the files.

## 4 File Formats

Each of the 12 data files is provided in text tab delimited, utf-8 encoded format.

## 5 File Data Definitions

The fields in the figures below (figures 1 - 12) provide the following information: field name, description, data format, maximum field size, an indication of whether or not the field may be NULL (yes or no), and key.

The Key field indicates whether the field is part of a unique index on the data. There are two possible values for this field:

- "\*" Indicates the field is part of the unique key for the row.
- Empty (nothing in field) the field is not part of the unique compound key.

### 5.1 TA\_SUBMISSION

The submission data set contains summary information about the submission, filer, and signature. Some fields were sourced from the EDGAR while other fields were sourced from the XML submission.

**Figure 1. Fields in the TA\_SUBMISSION data file**

FIELD NAME	FIELD DESCRIPTION	FORMAT	MAX SIZE	MAY BE NULL	KEY	Mapping to Printed Form
ACCESSION_NUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnn nn-nn-nnnnnn)	20	No	*	NA
FILING_DATE	Date of original filing in EDGAR.	DATE (DD-MON-YYYY)	11	No		NA
SUBMISSIONTYPE	SUBMISSION TYPE: TA-1, TA-1/A, TA-2, TA-2/A, TA-W.	ALPHANUMERIC	15	No		TA-1: 1(e) TA-2: 1(e)
CIK	The Central Index Key or CIK is a 10-digit	ALPHANUMERIC	10	No		TA-1: 1(a) TA-2: 1(a)

	number assigned to an entity by the SEC.					TA-W: 1(a)
FILENUMBER	File number provided by the SEC sourced from EDGAR.	ALPHANUMERIC	25	No		TA-1: 1(e)(i) TA-2: File Number TA-W: 2
ISFILINGAMENDMENT	Is filing an amendment (Y/N).	APHANUMERIC	1	Yes		TA-1: 1(e) TA-2: 1(e)
SIGNATURENAME	Full name of person signing the form.	ALPHANUMERIC	30	No		TA-1: 11(a) TA-2: 12(a) TA-W: 13(a)
SIGNATUREPHONENUMBER	Phone number of individual signing the form.	ALPHANUMERIC	25	No		TA-1: 11(b) TA-2: 12(b) TA-W: 13(b)
SIGNATURETITLE	Title of individual signing the form.	ALPHANUMERIC	75	No		TA-1: 11(c) TA-2: 12(c) TA-W: 13(c)
SIGNATUREDATE	Date of signature.	DATE (DD-MON-YYYY)	11	No		TA-1: 11(d) TA-2: 12(d) TA-W: 13(d)

Note: To access the complete submission files for a given filing, please see the Commissions' EDGAR website. The Commissions' website folder <https://www.sec.gov/Archives/edgar/data/{cik}/{accession}/> will always contain all the data for a given submission. To assemble the folder address to any filing referenced in the TA\_SUBMISSION data set, simply substitute {cik} with the CIK field and replace {accession} with the ACCESSION\_NUMBER field (after removing the dash character).

## 5.2 TA1\_REGISTRANT

The registrant data set contains information about transfer agents seeking registration or amendment to registration provided on forms TA-1 and TA-1/A.

**Figure 2. Fields in the TA1\_REGISTRANT data file**

FIELD NAME	FIELD DESCRIPTION	FORMAT	MAX SIZE	MAY BE NULL	KEY	Mapping to Printed Form
ACCESSION_NUMBER	The 20-character string formed from	ALPHANUMERIC	20	No	*	NA

	the 18-digit number assigned by the Commission to each EDGAR submission.	(nnnnnnnn nn-nn- nnnnnn)				
REGULATORYAGENCY	Regulatory agency.	ALPHANUM ERIC	50	No		TA-1: 2
ENTITYNAME	Full name of registrant	ALPHANUM ERIC	150	No		TA-1: 3(a)
PREVIOUSENTITYNAME	Previous name of registrant (if any).	ALPHANUM ERIC	150	Yes		TA-1: 3(a)(i)
FINSNUMBER	Financial Industry Number Standard assigned by the Depository Trust and Clearing Corporation (DTCC).	ALPHANUM ERIC	25	No		TA-1: 3(b)
DIFFERENTMAILINGADDRESS	Flag (Y/N). 'Y' if filer's mailing address is different from principal office address.	ALPHANUM ERIC	1	No		TA-1: 3(d)
TELEPHONENUMBER	Telephone number for individual/department who may answer questions.	ALPHANUM ERIC	25	Yes		TA-1: 3(e)
CONDUCTBUSINESSINOTHERLOCATION	Flag (Y/N). 'Y' if filer conducts business from different location(s).	ALPHANUM ERIC	1	No		TA-1: 4
SELFTRANSFERAGENT	Flag (Y/N). 'Y' if filer is self transfer agent.	ALPHANUM ERIC	1	No		TA-1: 5
ENGAGEDSERVICECOMPANY	Flag (Y/N). 'Y' if filer has engaged (or will engage) a service company.	ALPHANUM ERIC	1	No		TA-1: 6
ENGAGEDASSERVICECOMPANY	Flag (Y/N). 'Y' if filer is engaged as a service company.	ALPHANUM ERIC	1	No		TA-1: 7
REGISTRANTTYPE	Registrant type. List of values includes Corporation, Partnership, Sole	ALPHANUM ERIC	25	No		TA-1: 8

	Proprietorship, Other, Not Applicable.					
REGISTRANTTYPEDESCRIPTION	Description provided for 'Other' registrant type.	ALPHANUMERIC	30	Yes		TA-1: 8
OTHERCONTROLMANAGEMENT	Flag (Y/N). 'Y' if any other person or entity has power to exercise control over company.	ALPHANUMERIC	1	Yes		TA-1: 9(a)
OTHERCONTROLFINANCE	Flag (Y/N). 'Y' if any other person or entity wholly or partially finance the activities of the business of the applicant, directly or indirectly, in any manner other than by a public offering or credit extension in the ordinary course of business.	ALPHANUMERIC	1	Yes		TA-1: 9(b)
FELONYORMISDEMEANOR	Flag (Y/N). 'Y' if applicant or a control affiliate been convicted of or plead guilty or no contest to a felony or misdemeanor involving investments or any investment-related business, fraud, false statements or omissions, wrongful taking of property, or bribery, forgery, counterfeiting, or extortion.	ALPHANUMERIC	1	Yes		TA-1: 10(a)(1)
OTHERFELONY	Flag (Y/N). 'Y' if applicant or a control affiliate been convicted of or plead guilty or no contest to any other felony.	ALPHANUMERIC	1	Yes		TA-1: 10(a)(2)

ENJOINEDINVESTRELATED ACTIVITY	Flag (Y/N). 'Y' if in the last 10 years the court has enjoined the applicant or a control affiliate in connection with any investment-related activity.	ALPHANUM ERIC	1	Yes		TA-1: 10(b)(1)
VIOLATIONINVRELATEDRE GULATION	Flag (Y/N). 'Y' if in the last 10 years the court has found the applicant or a control affiliate involved in a violation of investment-related statutes or regulations.	ALPHANUM ERIC	1	Yes		TA-1: 10(b)(2)
FALSESTATEMENTOROMIS SION	Flag (Y/N). 'Y' if the SEC or CFTC have ever found the applicant or a control affiliate to have made a false statement or omission.	ALPHANUM ERIC	1	Yes		TA-1: 10(c)(1)
VIOLATIONOFREGULATION S	Flag (Y/N). 'Y' if the SEC or CFTC have ever found the applicant or a control affiliate to have been involved in a violation of its regulations or statutes.	ALPHANUM ERIC)	1	Yes		TA-1: 10(c)(2)
AUTHORIZATIONDENIEDOR RSUSPENDED	Flag (Y/N). 'Y' if the SEC or CFTC have ever found the applicant or a control affiliate to have been a cause of an investment-related business having its authorization to do business denied,	ALPHANUM ERIC	1	Yes		TA-1: 10(c)(3)

	suspended, revoked, or restricted.					
REGISTRATIONDENIEDORSUSPENDED	Flag (Y/N). 'Y' if the SEC or CFTC have ever entered an order denying, suspending, or revoking the applicant's or a control affiliate's registration or otherwise disciplined it by restricting its activities.	ALPHANUMERIC	1	Yes		TA-1: 10(c)(4)
FSRFALSESTATEMENTOROMISSION	Flag (Y/N). 'Y' if any other Federal regulatory agency or state regulatory agency has ever found the applicant or a control affiliate to have made a false statement or omission or to have been dishonest, unfair, or unethical.	ALPHANUMERIC	1	Yes		TA-1: 10(d)(1)
FSRVIOLATEINVRRELATEDREGULATION	Flag (Y/N). 'Y' if any other Federal regulatory agency or state regulatory agency has ever found the applicant or a control affiliate to have been involved in a violation of investment-related regulations or statutes.	ALPHANUMERIC	1	Yes		TA-1: 10(d)(2)
FSRAUTHORIZEDENIEDORSUSPENDED	Flag (Y/N). 'Y' if any other Federal regulatory agency or state regulatory agency has ever found the applicant or a control affiliate to have been a cause of an investment-related business having its	ALPHANUMERIC	1	Yes		TA-1: 10(d)(3)

	authorization to do business denied, suspended, revoked, or restricted.					
FSRFOUNDORDERAGAINST APPLICANT	Flag (Y/N). 'Y' if any other Federal regulatory agency or state regulatory agency has in the past ten years entered an order against the applicant or a control affiliate in connection with investment-related activity.	ALPHANUM ERIC	1	Yes		TA-1: 10(d)(4)
FSRREGISTRATIONDENIED SUSPENDED	Flag (Y/N). 'Y' if any other Federal regulatory agency or state regulatory agency has ever denied, suspended, or revoked the applicant's or a control affiliate's registration or license, or prevented it from associating with an investment-related business, or otherwise disciplined it by restricting activities.	ALPHANUM ERIC	1	Yes		TA-1: 10(d)(5)
FSRREVOKEDSUSPENDEDLICENSE	Flag (Y/N). 'Y' if any other Federal regulatory agency or state regulatory agency has ever revoked or suspended the applicant's or a control affiliate's license as an attorney or accountant.	ALPHANUM ERIC	1	Yes		TA-1: 10(d)(6)
SRAFALSESTATEMENTOROMISSION	Flag (Y/N). 'Y' if any self-regulatory organization or commodities exchange has ever	ALPHANUM ERIC	1	Yes		TA-1: 10(e)(1)

	found the applicant or a control affiliate to have made a false statement or omission.					
SRAVIOLATIONOFRULES	Flag (Y/N). 'Y' if any self-regulatory organization or commodities exchange has ever found the applicant or a control affiliate to have been in violation of its rules.	ALPHANUMERIC	1	Yes		TA-1: 10(e)(2)
SRAAUTHORIZEDENIEDORSUSPENDED	Flag (Y/N). 'Y' if any self-regulatory organization or commodities exchange has ever found the applicant or a control affiliate to have been the cause of an investment-related business losing its authorization to do business.	ALPHANUMERIC	1	Yes		TA-1: 10(e)(3)
SRAREVOKEDSUSPENDEDLICENSE	Flag (Y/N). 'Y' if any self-regulatory organization or commodities exchange has ever disciplined the applicant or a control affiliate by expelling or suspending its association with other members, or by otherwise restricting its activities.	ALPHANUMERIC	1	Yes		TA-1: 10(e)(4)
FOREIGNAGENCY	Flag (Y/N). 'Y' if any foreign government, court, regulatory agency, or exchange ever entered an order against the applicant or a control affiliate	ALPHANUMERIC	1	Yes		TA-1: 10(f)(1)

	related to investments or fraud.					
SUBJECTOFPROCEEDINGS	Flag (Y/N). 'Y' if the applicant or a control affiliate is now the subject of any proceeding that could result in an affirmative answer to any of the earlier questions.	ALPHANUMERIC	1	Yes		TA-1: 10(g)(1)
REVOKEDBOND	Flag (Y/N). 'Y' if a bonding company has denied, paid out on, or revoked a bond for the applicant or a control affiliate.	ALPHANUMERIC	1	Yes		TA-1: 10(h)(1)
UNSATISFIEDJUDGEMENTSORLIENS	Flag (Y/N). 'Y' if the applicant or a control affiliate have any unsatisfied judgments or liens against it.	ALPHANUMERIC	1	Yes		TA-1: 10(i)(1)

### 5.3 TA1\_ADDRESS

The Address data set provides the registrant address information provided in TA-1 submissions.

Figure 3. Fields in the TA1\_ADDRESS data file

FIELD NAME	FIELD DESCRIPTION	FORMAT	MAX SIZE	MAX BE NULL	KEY	Mapping to Printed Form
ACCESSION_NUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnn nn-nn- nnnnnn)	20	No	*	NA
ADDRESS_ID	Registrant Address index key.	NUMERIC		No	*	NA
ADDRESS_TYPE	Type of address. Consists of	ALPHANUMERIC	40	No	*	TA-1: 3(c),

	principalOfficeAddress , mailingAddress and otherBusinessLocation .					3(d), 4(a)
ADDRESS	Street, City, State, Postal code, or Country code of registrant for each address type.	ALPHANUMERIC	170	No		TA-1: 3(c), 3(d), 4(a)

#### 5.4 TA\_SERVICE\_COMPANIES

The services companies data set contains the external service companies engaged to perform transfer agent functions and those who have engaged the registrant to perform transfer agent services disclosed in TA-1 and TA-2 filings. Address details are provide in TA-1 submissions; TA-2 submission only consist of entityName and fileNumber; thus address fields are null for those submissions

**Figure 4. Fields in the TA\_SERVICE\_COMPANIES data file**

FIELD NAME	FIELD DESCRIPTION	FORMAT	MAX SIZE	MAY BE NULL	KEY	Mapping to Printed Form
ACCESSION_NUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnn nn-nn-nnnnnn)	20	No	*	NA
COMPANY_TYPE	Service company type (serviceCompany, asServiceCompany, serviceCompanyTransferAgent, asServiceCompanyTransferAgent ).	ALPHANUMERIC	30	No	*	TA-1: 6, 7 TA-2: 2(a), 2(c)
SVCCOMPANY_ID	Service companies index key.	NUMERIC		No	*	NA
ENTITYNAME	Name of an entity.	ALPHANUMERIC	150	No		TA-1: 6(a), 7(a) TA-2: 2(b), 2(d)

FILENUMBER	File number provided by the Commission.	ALPHANUMERIC	30	No		TA-1: 6(b), 7(b) TA-2: 2(b), 2(d)
ADDRESS	Street, City, State, Postal code, or Country code of entity.	ALPHANUMERIC	170	Yes		TA-1: 6(b), 7(c)

## 5.5 TA1\_CORP\_PARTNER\_DATA

The corporation partnership data set contains the organization type and information for officers and directors from TA-1 filings.

**Figure 5. Fields in the TA1\_CORP\_PARTNER\_DATA data file**

FIELD NAME	FIELD DESCRIPTION	FORMAT	MAX SIZE	MAY BE NULL	KEY	Mapping to Printed Form
ACCESSION_NUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnn nn-nn-nnnnn)	20	No	*	EDGAR
CORP_PARTNER_TYPE	Registrant organization type: corporationPartnership or soleProprietorship.	ALPHANUMERIC	38	No	*	TA-1: 8(a)
CORP_PARTNER_ID	Corporation Partnership index key.	NUMERIC		No	*	NA
ENTITYNAME	Name of entity.	ALPHANUMERIC	150	No		TA-1: 8(a)(i)
RELATIONSHIPSTARTDATE	Date relationship began with registrant.	DATE (DD-MON-YYYY)	11	No		TA-1: 8(a)(ii)
TITLEORSTATUS	Title or status of named.	ALPHANUMERIC	40	Yes		TA-1: 8(a)(iii)
OWNERSHIPCODE	Letter Code corresponding to a level of ownership: 'NA' (0 up to 5%), 'A'	ALPHANUMERIC	2	Yes		TA-1: 8(a)(iv) - - (Corporation or

	(5% up to 10%), 'B' (10% up to 25%), 'C' (25% up to 50%), 'D' (50% up to 75%) and 'E' (75% up to 100%).					Partnership
CONTROLPERSON	'True' if named has the power to direct the management of a company whether through ownership of securities, by contract, or otherwise.	ALPHANUMERIC	5	Yes		TA-1: 8(a)(v) -- (Corporation or Partnership); 8(a)(vi) - - (Sole Proprietorship or Other)
AUTHORITYDESCRIPTION	Description of an authority when soleProprietorship is the organization type (CORP_PARTNER_TYPE).	ALPHANUMERIC	40	Yes		TA-1: 8(a)(iv) - - (Sole Proprietorship or Other)
RELATIONSHIPENDDATE	Date when relationship ended. Provide in form TA-1/A.	DATE (DD-MON-YYYY)	11	Yes		TA-1: 8(a)(vi) - - (Corporation or Partnership); 8(a)(v) -- (Sole Proprietorship or Other)

### 5.6 TA1\_CONTROL\_ENTITIES

The control entity data set provides other control persons not identified in the corporation partnership data in TA-1 filings.

Figure 6. Fields in the TA1\_CONTROL\_ENTITIES data file

FIELD NAME	FIELD DESCRIPTION	FORMAT	MAX SIZE	MAY BE NULL	KEY	Mapping to Printed Form
ACCESSION_NUMBER	The 20-character string formed from the 18-digit number	ALPHANUMERIC (nnnnnnnn)	20	No	*	NA

	assigned by the Commission to each EDGAR submission.	nn-nn-nnnnnn)				
ENTITY_TYPE	Entity Type as otherControlManagement or otherControlFinance.	ALPHANUMERIC	40	No	*	TA-1: 9(a), 9(b)
ENT_ID	Control entities index key.	NUMERIC		No	*	NA
ENTITYNAME	Entity Name.	ALPHANUMERIC	150	No		TA-1: 9(a)(i), 9(b)(i)
AGREEMENTDESCRIPTION	Description of agreement through which control person or entity exercises control.	ALPHANUMERIC	4000	No		TA-1: 9(a)(ii), 9(b)(ii)

## 5.7 TA\_DISCIPLINARY\_HIST\_DETAILS

The disciplinary details data set provides detail information for affirmative responses in disciplinary history/legal action reporting in a TA-1 or TA-W.

**Figure 7. Fields in the TA\_DISCIPLINARY\_HIST\_DETAILS data file**

FIELD NAME	FIELD DESCRIPTION	FORMAT	MAX SIZE	MAY BE NULL	KEY	Mapping to Printed Form
ACCESSION_NUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnn nn-nn-nnnnnn)	20	No	*	NA
ACTION_TYPE	Action Type. Affirmative response provided in discipline history.	ALPHANUMERIC	50	No	*	TA-1: 10(a)(1)-10(i)(1) TA-W: 8, 9
ACTION_ID	Disciplinary history details index key.	NUMERIC		No	*	NA
ENTITYNAME	Name of entity.	ALPHANUMERIC	150	No		TA-1: 10(a)(1)(

						i)- 10(i)(1)(i) ) TA-W: 8(a)(i), 9(a)(i)
ACTIONTITLE	Title of action.	ALPHANUM ERIC	80	No		TA-1: 10(a)(1)( ii)- 10(i)(1)(i i) TA-W: 8(a)(ii), 9(a)(ii)
ACTIONDATE	Date of action.	DATE (DD- MON-YYYY)	11	No		TA-1: 10(a)(1)( iii)- 10(i)(1)(i ii)
COURTORBODYNAMEANDL OCATION	Name and location of court or body taking action.	ALPHANUM ERIC	80	No		TA-1: 10(a)(1)( iv)- 10(i)(1)(i v)
ACTIONDESCRIPTION	Description of an action.	ALPHANUM ERIC	400 0	No		TA-1: 10(a)(1)( v)- 10(i)(1)( v)
DISPOSITIONOFPROCEEDI NG	Disposition of proceeding.	ALPHANUM ERIC	255	Yes		TA-1: 10(a)(1)( vi)- 10(i)(1)( vi)

### 5.8 TA2\_FILING

The TA-2 data set provides annual reporting disclosures on activities and compliance information.

**Figure 8. Fields in the TA2\_FILING data file**

FIELD NAME	FIELD DESCRIPTION	FORMAT	MA X SIZ E	MA Y BE NUL L	KEY	Mapping to Printed Form
ACCESSION_NUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUM ERIC (nnnnnnnn nn-nn- nnnnnn)	20	No	*	NA

PERIODOFREPORT	Reporting period for transfer agent activities.	DATE (DD-MM-YYYY)	11	No		TA-2: For the reporting period ended
ENTITYNAME	Name of entity.	ALPHANUMERIC	150	No		TA-2: 1(h)
SERVICECOMPANY	Specification if a service company performs transfer agent functions (All, Some, None).	ALPHANUMERIC	4	No		TA-2: 2(a)
REGISTRANTENGAGEDSERVICE	Flag (Y/N). 'Y' if registrant has been engaged as a service company.	ALPHANUMERIC	1	No		TA-2: 2(c)
REGULATORYAGENCY	Regulatory agency.	ALPHANUMERIC	50	No		TA-2: 3(a)
AMENDMENTFILED	Specification if an amendment was filed within 60 days of the date on which any of the information on Form TA-1 became inaccurate, misleading, or incomplete. (Yes, filed amendment(s); No, failed to file amendment(s); and Not applicable).	ALPHANUMERIC	35	No		TA-2: 3(b)
ADDITIONALINFORMATION	Additional information provided when a negative response given for amendment filed.	ALPHANUMERIC	255	Yes		TA-2: 3(c)
NUMBERITEMSRECEIVEDFORTRANSFER	Number of items received from transfer during the reporting period.	NUMERIC	12	Yes		TA-2: 4(a)
NUMMASTERSECURITYHOLDERFILINGS	Number of individual master securityholder accounts for which the transfer agent maintained master securityholder files.	NUMERIC	12	Yes		TA-2: 4(b)

NUMBERINDIVIDUALACCO UNTS	Number of individual accounts including accounts in the Direct Registration System (DRS), dividend reinvestment plans and/or direct purchase plans as of December 31.	NUMERIC	12	Yes		TA-2: 5(a)
NUMDIVREINVDIRPURPLA NACCOUNTS	Number of individual securityholder dividend reinvestment plan and/or direct purchase plan accounts as of December 31.	NUMERIC	12	Yes		TA-2: 5(b)
NUMDIRECTREGISTRYSTE MAACCOUNTS	Number of individual securityholder DRS accounts as of December 31.	NUMERIC	12	Yes		TA-2: 5(c)
NUMBERFILED	Number of quarterly reports regarding buy-ins filed.	NUMERIC	12	Yes		TA-2: 8(b)
FILEALL	Specification if all quarterly reports regarding buy-ins filed (Yes; No; Not Applicable).	ALPHANUM ERIC	15	Yes		TA-2: 8(c)
SECHOLDERADDITIONALIN FO	Security Holder additional information.	ALPHANUM ERIC	255	Yes		TA-2: 8(d)
ALWAYS COMPLIANT	Specification if filer is always compliant with turnaround time for routine items as set forth in Rule 17Ad-2 of the Act (Yes; No; Not Applicable).	ALPHANUM ERIC	15	Yes		TA-2: 9(a)
NUMBERMONTHSNOTCOMP LIANT	For negative response to always compliant, provide the number of months the registrant was not compliant.	NUMERIC	12	Yes		TA-2: 9(a)(i)

NUMBERNOTICENONCOMPLIANCEFILED	The number of written notices registrant filed with the SEC and ARA that reported noncompliance with turnaround time for routine items according to Rule 17Ad-2 of the Act.	NUMERIC	12	Yes		TA-2: 9(a)(ii)
TOTAL	Total number of transactions processed during the reporting period (open-end investment company securities purchases and redemptions; excluding dividend, interest, and distribution postings and address changes).	NUMERIC	12	Yes		TA-2: 10(a)
TOTALOTHERTHANRECEIPTORDERDATE	Number of transactions processed on a date other than date of receipt order (as of) during the reporting period (open-end investment company securities purchases and redemptions; excluding dividend, interest, and distribution postings and address changes).	NUMERIC	12	Yes		TA-2: 10(b)
NUMLOSTACCTSREMITTEDTOSTATES	Number of lost securityholder accounts that have been remitted to the states during the reporting period.	NUMERIC	12	Yes		TA-2: 11(b)

5.9 TA2\_SECURITY\_HOLDER\_ACCOUNTS

The securityholder account data provides annual reporting on securityholder account information, additional activities and aging of record differences on sections 5(d), 6 and 7 from TA-2 filings.

**Figure 9. Fields in the TA2\_SECURITY\_HOLDER\_ACCOUNTS data file**

FIELD NAME	FIELD DESCRIPTION	FORMAT	MAX SIZE	MAY BE NULL	KEY	Mapping to Printed Form
ACCESSION_NUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnnnn- nn- nnnnnn)	20	No	*	NA
ACCT_HOLDER_TYPE	Type of account holder. Every filing will list all (9) types for each filing (securityHolderAccounts; transMaintainMasterSecurityHolder; transNotMaintMasterSecurityHolder; notTransMaintMasterSecurityHolder; dividendReinvDirectPurchasePlan; directRegistrationSystem; dividendAndInterest; priorAgent; currentAgent).	ALPHANUMERIC	50	No	*	TA-2: 5(d), 6(a), 6(b), 6(c), 7(a), 7(b), 7(c), 8(a)
EQUITYSECURITY	Number of Corporate Equity Securities acted in capacity.	NUMERIC	16	Yes		TA-2: 5(d)(i), 6(a)(i), 6(b)(i), 6(c)(i)
DEBTSECURITY	Number of Corporate Debt Securities acted in capacity.	NUMERIC	16	Yes		TA-2: 5(d)(ii), 6(a)(ii), 6(b)(ii), 6(c)(ii)
OPENENDINVESTMENTCOMPANY	Number of Open-end Investment Company Securities acted in capacity.	NUMERIC	16	Yes		TA-2: 5(d)(iii), 6(a)(iii), 6(b)(iii), 6(c)(iii)

LIMITEDPARTNERSHIP	Number of Limited Partnership Securities acted in capacity.	NUMERIC	16	Yes		TA-2: 5(d)(iv), 6(a)(iv), 6(b)(iv), 6(c)(iv)
MUNICIPALDEBT	Number of Municipal Debt Securities acted in capacity.	NUMERIC	16	Yes		TA-2: 5(d)(v), 6(a)(v), 6(b)(v), 6(c)(v)
OTHER	Number of Other Securities acted in capacity.	NUMERIC	16	Yes		TA-2: 5(d)(vi), 6(a)(vi), 6(b)(vi), 6(c)(vi)
NUMBERISSUES	Number of issues.	NUMERIC	12	Yes		7(a), 7(b), 7(c)(i), 8(a)(i)
AMOUNTISSUES	Amount of issues.	NUMERIC	14	Yes		7(c)(ii), 8(a)(ii)

## 5.10 TA2\_DB\_SEARCH

The database search data set contains information on database searches for lost securityholder accounts from TA-2 filings.

**Figure 10. Fields in the TA2\_DB\_SEARCH data file**

FIELD NAME	FIELD DESCRIPTION	FORMAT	MAX SIZE	MA Y BE NULL	KEY	Mapping to Printed Form
ACCESSION_NUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnn nn-nn- nnnnnn)	20	No	*	NA
DBSEARCH_ID	Database search index key	NUMERIC		No	*	NA
DATABASESEARCHDATE	Database search date.	DATE (DD-MON-YYYY)	11	Yes		TA-2: 11(a)(i)
NUMBERLOSTACCOUNTSSEARCHED	Number of lost securityholder accounts submitted for database search.	NUMERIC	11	No		TA-2: 11(a)(ii)

NUMBERADDRESSESFROM SEARCH	Number of addresses obtained from database search.	NUMERIC	11	No		TA-2: 11(a)(iii)
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### 5.11 TAW\_FILING

The TA-W data set provides information regarding transfer agent registration termination.

**Figure 11. Fields in the TAW\_FILING data file**

FIELD NAME	FIELD DESCRIPTION	FORMAT	MAX SIZE	MA Y BE NULL	KEY	Mapping to Printed Form
ACCESSION_NUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnn nn-nn-nnnnnn)	20	No	*	NA
ENTITYNAME	Name of entity.	ALPHANUMERIC	150	No		TA-W: 3
ACTIVITIESCONDUCTEDENTITYNAME	Name under which transfer agent activities are conducted, if different.	ALPHANUMERIC	150	Yes		TA-W: 4
WITHDRAWALDESCRIPTION	Registrant reason for withdrawal.	ALPHANUMERIC	300	No		TA-W: 6
LASTACTIONDATE	Last date transfer agent function performed.	DATE (DD-MM-YYYY)	11	No		TA-W: 7
FUTURETRANSFERAGENTFUNCTIONS	Flag (Yes/No). 'Y' indicating registrant intends to perform transfer agent functions in the future.	ALPHANUMERIC	1	No		TA-W: 7(a)
SUBJECTOFPROCEEDINGSINVOLVED	Flag (Yes/No). 'Y' indicating registrant is directly involved in legal proceedings or aware of any potential claims against it in	ALPHANUMERIC	1	No		TA-W: 8

	connection with its performance of transfer agent functions for any security.					
UNSATISFIEDJUDGEMENT SORLIENINV	Flag (Yes/No). 'Y' indicating there are unsatisfied judgements or liens against registrant arising out its performance of transfer agent functions for any security.	ALPHANUM ERIC	1	No		TA-W: 9
SUCCESSORTRANSFERAGE NTS	Flag (Yes/No). 'Y' indicating there is a successor transfer agent.	ALPHANUM ERIC	1	No		TA-W: 10(a)

## 5.12 TAW\_ENTITY

The entity data set provides successor and custodian information provided in the TA-W filing.

**Figure 12. Fields in the TAW\_ENTITY data file**

FIELD NAME	FIELD DESCRIPTION	FORMAT	MAX SIZE	MA Y BE NULL	KEY	Mapping to Printed Form
ACCESSION_NUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUM ERIC (nnnnnnnn nn-nn- nnnnnn)	20	No	*	NA
ENTITY_TYPE	Entity Type (tawLocations, tawCustodians, tawSuccessors, tawRegistrant).	ALPHANUM ERIC	40	No	*	TA-W: 3, 10(a), 11, 12
ENTITY_ID	Entity index key.	NUMERIC		No	*	NA
ENTITYNAME	Name of entity.	ALPHANUM ERIC	150	No		TA-W: 3, 10(b),

						11(a), 12(a)
SUCCESSORREGISTERED	Flag (Yes/No). 'Y' if Successor is registered.	ALPHANUM ERIC	1	Yes		TA-W: 10(d)
ADDRESS	Street, City, State, Postal code, or Country code of a filer.	ALPHANUM ERIC	170	No		TA-W: 5, 10(c), 11(b), 12(b)

## 6 Appendix

### U.S. State/Country Codes and Descriptions

AL	ALABAMA
AK	ALASKA
AZ	ARIZONA
AR	ARKANSAS
CA	CALIFORNIA
CO	COLORADO
CT	CONNECTICUT
DE	DELAWARE
DC	DISTRICT OF COLUMBIA
FL	FLORIDA
GA	GEORGIA
GU	GUAM
HI	HAWAII
ID	IDAHO
IL	ILLINOIS
IN	INDIANA
IA	IOWA
KS	KANSAS
KY	KENTUCKY
LA	LOUISIANA
ME	MAINE
MD	MARYLAND
MA	MASSACHUSETTS
MI	MICHIGAN
MN	MINNESOTA
MS	MISSISSIPPI
MO	MISSOURI
MT	MONTANA
NE	NEBRASKA
NV	NEVADA
NH	NEW HAMPSHIRE
NJ	NEW JERSEY
NM	NEW MEXICO
NY	NEW YORK
NC	NORTH CAROLINA
ND	NORTH DAKOTA

OH	OHIO
OK	OKLAHOMA
OR	OREGON
PA	PENNSYLVANIA
RI	RHODE ISLAND
SC	SOUTH CAROLINA
SD	SOUTH DAKOTA
TN	TENNESSEE
TX	TEXAS
UT	UTAH
VT	VERMONT
VA	VIRGINIA
WA	WASHINGTON
WV	WEST VIRGINIA
WI	WISCONSIN
WY	WYOMING
PR	PUERTO RICO
VI	VIRGIN ISLANDS, U.S.
A0	ALBERTA, CANADA
A1	BRITISH COLUMBIA, CANADA
Z4	CANADA (FEDERAL LEVEL)
A2	MANITOBA, CANADA
A3	NEW BRUNSWICK, CANADA
A4	NEWFOUNDLAND, CANADA
A5	NOVA SCOTIA, CANADA
A6	ONTARIO, CANADA
A7	PRINCE EDWARD ISLAND, CANADA
A8	QUEBEC, CANADA
A9	SASKATCHEWAN, CANADA
B0	YUKON, CANADA
B2	AFGHANISTAN
Y6	ALAND ISLANDS
B3	ALBANIA
B4	ALGERIA
B5	AMERICAN SAMOA
B6	ANDORRA
B7	ANGOLA
1A	ANGUILLA
B8	ANTARCTICA
B9	ANTIGUA AND BARBUDA
C1	ARGENTINA
1B	ARMENIA
1C	ARUBA
C3	AUSTRALIA
C4	AUSTRIA
1D	AZERBAIJAN
C5	BAHAMAS
C6	BAHRAIN
C7	BANGLADESH
C8	BARBADOS
1F	BELARUS
C9	BELGIUM
D1	BELIZE
G6	BENIN
D0	BERMUDA
D2	BHUTAN
D3	BOLIVIA
1E	BOSNIA AND HERZEGOVINA
B1	BOTSWANA

D4	BOUVET ISLAND
D5	BRAZIL
D6	BRITISH INDIAN OCEAN TERRITORY
D9	BRUNEI DARUSSALAM
E0	BULGARIA
X2	BURKINA FASO
E2	BURUNDI
E3	CAMBODIA
E4	CAMEROON
E8	CAPE VERDE
E9	CAYMAN ISLANDS
F0	CENTRAL AFRICAN REPUBLIC
F2	CHAD
F3	CHILE
F4	CHINA
F6	CHRISTMAS ISLAND
F7	COCOS (KEELING) ISLANDS
F8	COLOMBIA
F9	COMOROS
G0	CONGO
Y3	CONGO, THE DEMOCRATIC REPUBLIC OF THE
G1	COOK ISLANDS
G2	COSTA RICA
L7	COTE D'IVOIRE
1M	CROATIA
G3	CUBA
G4	CYPRUS
2N	CZECH REPUBLIC
G7	DENMARK
1G	DJIBOUTI
G9	DOMINICA
G8	DOMINICAN REPUBLIC
H1	ECUADOR
H2	EGYPT
H3	EL SALVADOR
H4	EQUATORIAL GUINEA
1J	ERITREA
1H	ESTONIA
H5	ETHIOPIA
H7	FALKLAND ISLANDS (MALVINAS)
H6	FAROE ISLANDS
H8	FIJI
H9	FINLAND
I0	FRANCE
I3	FRENCH GUIANA
I4	FRENCH POLYNESIA
2C	FRENCH SOUTHERN TERRITORIES
I5	GABON
I6	GAMBIA
2Q	GEORGIA
2M	GERMANY
J0	GHANA
J1	GIBRALTAR
J3	GREECE
J4	GREENLAND
J5	GRENADA
J6	GUADELOUPE
J8	GUATEMALA
Y7	GUERNSEY

J9	GUINEA
S0	GUINEA-BISSAU
K0	GUYANA
K1	HAITI
K4	HEARD ISLAND AND MCDONALD ISLANDS
X4	HOLY SEE (VATICAN CITY STATE)
K2	HONDURAS
K3	HONG KONG
K5	HUNGARY
K6	ICELAND
K7	INDIA
K8	INDONESIA
K9	IRAN, ISLAMIC REPUBLIC OF
L0	IRAQ
L2	IRELAND
Y8	ISLE OF MAN
L3	ISRAEL
L6	ITALY
L8	JAMAICA
M0	JAPAN
Y9	JERSEY
M2	JORDAN
1P	KAZAKSTAN
M3	KENYA
J2	KIRIBATI
M4	KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF
M5	KOREA, REPUBLIC OF
M6	KUWAIT
1N	KYRGYZSTAN
M7	LAO PEOPLE'S DEMOCRATIC REPUBLIC
1R	LATVIA
M8	LEBANON
M9	LESOTHO
N0	LIBERIA
N1	LIBYAN ARAB JAMAHIRIYA
N2	LIECHTENSTEIN
1Q	LITHUANIA
N4	LUXEMBOURG
N5	MACAU
1U	MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF
N6	MADAGASCAR
N7	MALAWI
N8	MALAYSIA
N9	MALDIVES
O0	MALI
O1	MALTA
1T	MARSHALL ISLANDS
O2	MARTINIQUE
O3	MAURITANIA
O4	MAURITIUS
2P	MAYOTTE
O5	MEXICO
1K	MICRONESIA, FEDERATED STATES OF
1S	MOLDOVA, REPUBLIC OF
O9	MONACO
P0	MONGOLIA
Z5	MONTENEGRO
P1	MONTSERRAT
P2	MOROCCO

P3	MOZAMBIQUE
E1	MYANMAR
T6	NAMIBIA
P5	NAURU
P6	NEPAL
P7	NETHERLANDS
P8	NETHERLANDS ANTILLES
1W	NEW CALEDONIA
Q2	NEW ZEALAND
Q3	NICARAGUA
Q4	NIGER
Q5	NIGERIA
Q6	NIUE
Q7	NORFOLK ISLAND
1V	NORTHERN MARIANA ISLANDS
Q8	NORWAY
P4	OMAN
R0	PAKISTAN
1Y	PALAU
1X	PALESTINIAN TERRITORY, OCCUPIED
R1	PANAMA
R2	PAPUA NEW GUINEA
R4	PARAGUAY
R5	PERU
R6	PHILIPPINES
R8	PITCAIRN
R9	POLAND
S1	PORTUGAL
S3	QATAR
S4	REUNION
S5	ROMANIA
1Z	RUSSIAN FEDERATION
S6	RWANDA
Z0	SAINT BARTHELEMY
U8	SAINT HELENA
U7	SAINT KITTS AND NEVIS
U9	SAINT LUCIA
Z1	SAINT MARTIN
V0	SAINT PIERRE AND MIQUELON
V1	SAINT VINCENT AND THE GRENADINES
Y0	SAMOA
S8	SAN MARINO
S9	SAO TOME AND PRINCIPE
T0	SAUDI ARABIA
T1	SENEGAL
Z2	SERBIA
T2	SEYCHELLES
T8	SIERRA LEONE
U0	SINGAPORE
2B	SLOVAKIA
2A	SLOVENIA
D7	SOLOMON ISLANDS
U1	SOMALIA
T3	SOUTH AFRICA
1L	SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS
U3	SPAIN
F1	SRI LANKA
V2	SUDAN
V3	SURINAME

L9	SVALBARD AND JAN MAYEN
V6	SWAZILAND
V7	SWEDEN
V8	SWITZERLAND
V9	SYRIAN ARAB REPUBLIC
F5	TAIWAN, PROVINCE OF CHINA
2D	TAJIKISTAN
W0	TANZANIA, UNITED REPUBLIC OF
W1	THAILAND
Z3	TIMOR-LESTE
W2	TOGO
W3	TOKELAU
W4	TONGA
W5	TRINIDAD AND TOBAGO
W6	TUNISIA
W8	TURKEY
2E	TURKMENISTAN
W7	TURKS AND CAICOS ISLANDS
2G	TUVALU
W9	UGANDA
2H	UKRAINE
C0	UNITED ARAB EMIRATES
X0	UNITED KINGDOM
2J	UNITED STATES MINOR OUTLYING ISLANDS
X3	URUGUAY
2K	UZBEKISTAN
2L	VANUATU
X5	VENEZUELA
Q1	VIET NAM
D8	VIRGIN ISLANDS, BRITISH
X8	WALLIS AND FUTUNA
U5	WESTERN SAHARA
T7	YEMEN
Y4	ZAMBIA
Y5	ZIMBABWE