



EDGAR® Form TA XML Technical Specification

March 2017

DRAFT

DRAFT DISCLAIMER:

This draft EDGAR Form TA 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 EDGAR Form TA 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 March 13, 2017. The final version of the technical specification will be made available if approved by the Commission on or about March 13, 2017 on the SEC's Public Website.

TABLE OF CONTENTS

1	INTRODUCTION	1-1
1.1	Purpose	1-1
2	EDGAR SCHEMA FILES	2-1
2.1	Schema Table Column Definitions	2-1
3	XML SCHEMAS	3-1
3.1	Schema Table Column Definitions	3-1
3.2	Data Type Constraints	3-1
3.3	Applicability of Schema Elements	3-2
3.4	Mapping of TA Submission Schemas to Submission Types	3-3
4	TA SCHEMA Data Value Constraints.....	4-1
4.1	SUBMISSION_TYPE.....	4-1
4.2	Document Type List.....	4-1
4.3	State Code List	4-1
4.4	Test Live List.....	4-1
4.5	Regulatory Agency List.....	4-2
4.6	Registrant List	4-2
4.7	Ownership Code List.....	4-2
5	BASIC SUBMISSION CONSTRUCTION	5-1
5.1	General Formatting of XML Files.....	5-1
5.2	XML Submission File Rules	5-1
5.3	Primary Document	5-2
5.4	Supporting Documents	5-2
6	ERROR REPORTING	6-1
7	EXAMPLE FORM TA SUBMISSION FILES.....	7-1
8	Appendix A - State/Country CODES	8-1
9	Appendix B - Mapping of Form TA XML Elements to Printed Forms.....	9-1
10	Appendix C - ACRONYMS.....	10-1

LIST OF TABLES

Table 1-1: TA Submission Types	1-1
Table 2-1: TA Schema Files	2-1
Table 2-2: Schema Language.....	2-2
Table 3-1: Column Definitions for the Tables in Section 3-4	3-1
Table 3-2: Data Type Constraints Table.....	3-1
Table 3-3: Applicability of Schema Elements Table.....	3-2
Table 3-4: Mapping of TA-1 and Variants Submission Schema to Submission Type.....	3-3
Table 3-5: Mapping of TA-2 and Variants Submission Schema to Submission Type.....	3-14
Table 3-6: Mapping of TA-W Submission Schema to Submission Type	3-19
Table 4-1: Submission Type List Values.....	4-1
Table 4-2: Supporting Document Type List Values	4-1
Table 4-3: Test Live List Values	4-2
Table 4-4: Regulatory Agency List Values	4-2
Table 4-5: Registrant List Values	4-2
Table 4-6: Ownership Code List Values7.....	4-2
Table 5-1: Supporting Document Maximum Allowed	5-2
Table 6-1: EDGAR Processing Errors and Severity.....	6-1
Table 7-1: Form TA Example Submission Files	7-1
Table 8-1: State/Country Codes List.....	8-1
Table 9-1: Mapping of Form TA-1 XML Elements to Printed Form.....	9-1
Table 9-2: Mapping of Form TA-2 XML Elements to Printed Form.....	9-9
Table 9-3: Mapping of Form TA-W XML Elements to Printed Form.....	9-12
Table 10-1: Acronyms	10-1

1 INTRODUCTION

1.1 Purpose

This document details the valid structure and content of the TA Electronic Data Gathering, Analysis, and Retrieval (EDGAR) Extensible Markup Language (XML) submission types. The following table lists the submission types for TA.

Table 1-1: TA 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.

This specification provides the basis for creating the aforementioned submission types for TA XML submissions. Filers must use this technical specification to generate a TA XML submission that can be successfully parsed by the EDGAR system.

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

The TA XML submissions can be transmitted to the SEC via the EDGAR FilerWeb (<https://www.edgarfiling.sec.gov/>) or the “Transmit XML Submission” option from the EDGAR OnlineForms/XML Website (<https://www.onlineforms.edgarfiling.sec.gov>).

In order to use the EDGAR FilerWeb or OnlineForms/XML Website, you must have a Central Index Key (CIK) and EDGAR access codes (password, CIK confirmation code (CCC)). If you currently have a CIK and access codes, you can proceed to the EDGAR FilerWeb or 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 FilerWeb or OnlineForms/XML Website, specifically in regards to the transmission of filer-constructed submissions, refer to the Filer-Constructed XML Submissions section of the EDGAR Filer Manual, Volume II (EDGAR Filing).

2 EDGAR SCHEMA FILES

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

Table 2-1: TA Schema Files

XML Schema File	Scope of File
eis_Common.xsd	Defines the submission fields that are common in EDGAR submissions.
eis_stateCodes.xsd	Defines the state code element.
eis_TA_1_Filer.xsd	Defines the elements of the Form TA-1 and TA-1/A submissions.
eis_TA_2_Filer.xsd	Defines the elements of the Form TA-2 and TA-2/A submissions.
eis_TA_W_Filer.xsd	Defines the elements of the Form TA-W submissions.

The schema files define the valid data elements for TA submissions, 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 filing a submission. This will greatly reduce the likelihood of receiving an EDGAR Suspend error. These schema files contain several annotations that describe the nature of the content of some of the elements.

EDGAR performs 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 Schema Table Column Definitions

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 website that provides several useful tutorials and examples is <http://www.w3schools.com/>.

The table below highlights the schema language features used most heavily in the EDGAR TA submission schema files. These are:

Table 2-2: Schema Language

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 Section 3.4.
<choice>	Specifies that only one of the child elements can be present within the containing element.
<minOccurs>	Specifies the minimum number of times that an element can occur.
<maxOccurs>	Specifies the maximum number of times that an element can occur.

The default value for the <minOccurs> and <maxOccurs> indicator is 1. An optional field will have a <minOccurs> value of zero.

This excerpt is from the eis_TA-2_Filer.xsd schema file and includes some of these indicators:

```
<xs:sequence>
    <xs:element name="numberItemsReceivedForTransfer"
type="ns1:INTEGER_NONNEGATIVE_12" minOccurs="0" />
    <xs:element name="numberMasterSecurityHolderFilings"
type="ns1:INTEGER_NONNEGATIVE_12" minOccurs="0" />
    <xs:element name="numberIndividualAccounts"
type="ns1:INTEGER_NONNEGATIVE_12" minOccurs="0" />
    <xs:element name="numberDivReinvDirPurPlanAccounts"
type="ns1:INTEGER_NONNEGATIVE_12" minOccurs="0" />
```

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

```
<formData>
  <engagedServiceCompany>
    <serviceCompany>Some</serviceCompany>
    <serviceCompanyTransferAgent>
      <entityName>qwwqw</entityName>
      <fileNumber>084-12121</fileNumber>
    </serviceCompanyTransferAgent>
    <registrantEngagedService>N</registrantEngagedService>
  </engagedServiceCompany>
  <registrantRegulatoryAgency>
    <regulatoryAgency>Securities and Exchange
Commission</regulatoryAgency>
    <amendmentFiled>Not applicable</amendmentFiled>
  </registrantRegulatoryAgency>
  <serviceCompanyData>

  <numberItemsReceivedForTransfer>999999999999</numberItemsReceivedForTr
ansfer>
```

DRAFT

<numberMasterSecurityHolderFilings>99999999999</numberMasterSecurityHolderFilings>

<numberIndividualAccounts>99999999999</numberIndividualAccounts>

<numberDivReinvDirPurPlanAccounts>99999999999</numberDivReinvDirPurPlanAccounts>

<numberDirectRegistSystemAccounts>99999999999</numberDirectRegistSystemAccounts>

 <securityHolderAccounts>

 <equitySecurity>80.00</equitySecurity>

 <debtSecurity>10.00</debtSecurity>

 <openEndInvestmentCompany>0.00</openEndInvestmentCompany>

 <limitedPartnership>10.00</limitedPartnership>

 <municipalDebt>0.00</municipalDebt>

 <other>0.00</other>

 </securityHolderAccounts>

3 XML SCHEMAS

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

3.1 Schema Table Column Definitions

The following table defines the columns in the three schema summation tables provided in Sections 3.4:

Table 3-1: Column Definitions for the Tables in Section 3-4

Column Name	Description
Level	Depth of element in the XML node hierarchy.
Order	Order in which elements must appear.
Data Type	See Table in Section 3.2 for a detailed description.
Element Name	Name of the XML element. This is case-sensitive.
Max Length	Maximum length for 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. m = Mandatory o = Optional NA = Does not apply. EDGAR uses this element for server-side processing. Do not provide a value for this element.

3.2 Data Type Constraints

Each entry in the "Data Type" column of these tables will be one of these values:

Table 3-2: Data Type Constraints Table

Data Type	Constraints
integer	Only valid characters are 0-9. Cannot contain commas, a minus sign, a dollar sign, or parentheses. An integer element may not have a null or blank value. This is a schema violation and will cause a SUSPENDED error.
decimal	Valid characters are 0-9. Cannot contain commas, dollar sign, or parentheses. May contain period and decimal places.
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 SUSPENDED error.
date	Must be of the format MM/DD/YYYY. A date element may not have a null or blank value. This is a schema violation and will cause a SUSPENDED error. Do not include a date element at all if your goal is to not provide an optional date.
string	Should not be longer than the length specified in "Max Length" column of Table 3-3: Form TA Schema Definitions. You must use special escape sequences to represent these four characters:

Data Type	Constraints
	For the < character use the escape sequence "<" or "<". For the > character use the escape sequence ">" or ">". For the & character use the escape sequence "&" or "&". For the " character use the escape sequence """ or """.
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 Applicability of Schema Elements

Each entry in the submission/document type column in Section 3.4 will have one of these values:

Table 3-3: Applicability of Schema Elements Table

Value	Description
M	Mandatory
O	Optional
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 disseminated document will still conform to this specification
O(2)	The element is optional, but is only applicable when <submissionType> is TA-1/A (Element is not applicable when <submissionType> is TA-1). Or TA-2/A (Element is not applicable when <submissionType> is TA-2).
O(3)	If <registrantType> is Not Applicable then the element is optional.
TA-1_CM(1)	The element is mandatory if its parent element is included
TA-1_CM(2)	If <submissionType> is TA-1/A, then the element becomes mandatory.
TA-1_CM(3)	If <differentMailingAddress> is true, then the element becomes mandatory.
TA-1_CM(4)	If <conductBusinessInOtherLocations> is true, then at least one element is mandatory.
TA-1_CM(5)	If <engagedServiceCompany> is true, then at least one element is mandatory
TA-1_CM(6)	If <engagedAsServiceCompany> is true, then at least one element is mandatory
TA-1_CM(7)	If <registrantType> is Other, then the element becomes mandatory.
TA-1_CM(8)	If <registrantType> is Corporation or Partnership, then at least one element is mandatory. Element is not applicable when <registrantType> is SoleProprietorship or Other.
TA-1_CM(9)	If <registrantType> is Sole Proprietorship or Other, then at least one element is mandatory. The element is not applicable when <registrantType> is Corporation or Partnership.

DRAFT

Value	Description
TA-1_CM(10)	If <otherEntity> is true within the parent element, then at least one element is mandatory within the parent element. The element is not applicable within the parent element when <otherEntity> is false within the parent element.
TA-1_CM(11)	If <involved> is true within the parent element, then at least one element is mandatory within the parent element. The element is not applicable within the parent element when <involved> is false within the parent element.
TA-2_CM(1)	The element is mandatory if its parent element is included.
TA-2_CM(2)	If <function> 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 <function> is NONE within parent element.
TA-2_CM(3)	If <function> is true within parent, then at least one element is mandatory within parent element. The element is not applicable within parent element when <function> is false within parent.
TA-2_CM(4)	If <amendmentFiled> is NO, then element is mandatory. The element is not applicable when <amendmentFiled> is YES or NA.
TA-2_CM(5)	If <engagedServiceCompany>.<function> is SOME or NONE, element is mandatory. The element is not applicable when <engagedServiceCompany>.<function> is ALL.
TA-2_CM(5)	If <numberItemsReceivedForTransfer> is greater than or equal 1000 and numberMasterSecurityHolderFilings is greater than 1000, then element is mandatory; otherwise the element is not applicable.
TA-2_CM(7)	If <numberFiled> is greater than 0, then element is mandatory. The element is not applicable when <numberFiled> is 0.
TA-2_CM(8)	If <fileAll> is NO, then element is mandatory. The element is not applicable when <fileAll> is YES or NA. TA-2_CM(9) = If <alwaysCompliant> is NO, then element is mandatory. The element is not applicable when <alwaysCompliant> is YES or NA.
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.

3.4 Mapping of TA Submission Schemas to Submission Types

Table 3-4: Mapping of TA-1 and Variants Submission Schema to Submission Type

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-1	TA-1/A
1	1	NV	edgarSubmission				M	M
2	1	String	schemaVersion	5			NA	NA

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-1	TA-1/A
2	2	String	submissionType		SUBMISSION_TYPE		M	M
2	3	String	testOrLive		Test Live List		M	M
2	4	Boolean	returnCopy				O	O
2	5	NV	contactData				O	O
3	1	String	contactName	30			O	O
3	2	String	contactPhoneNumber	20			O	O
3	3	String	contactEmailAddress	80			O	O
2	6	NV	notificationAddresses				O	O
3	1	String	notificationEmailAddress	80		30	O	O
2	7	String	formVersion	5			NA	NA
2	8	NV	Filer				M	M
3	1	String	cik	10			M	M
3	2	String	ccc	8			O(1)	O(1)
3	3	String	fileNumber	14			O	M
2	9	String	regulatoryAgency		Regulatory Agency List		M	M
2	10	NV	registrant				M	M
3	1	String	entityName	150			M	M
3	2	String	previousEntityname	150			O(2)	O(2)
3	3	String	finsNumber	6			M	M
3	4	NV	principalOfficeAddress				M	M
4	1	String	street1	40			M	M
4	2	String	street2	40			O	O
4	3	String	city	30			M	M
4	4	String	stateOrCountryCode		State Code List		M	M
4	5	String	stateOrCountry	50			NA	NA
4	6	String	zipCode	10			O	O
3	5	Boolean	differentMailingAddress				M	M
3	6	NV	mailingAddress				TA-1_CM(3)	TA-1_CM(3)
4	1	String	street1	40			TA-1_CM(1)	TA-1_CM(1)
4	2	String	street2	40			O	O
4	3	String	city	30			TA-1_CM(1)	TA-1_CM(1)
4	4	String	stateOrCountryCode		State Code List		TA-1_CM(1)	TA-1_CM(1)

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-1	TA-1/A
4	5	String	stateOrCountry	50			NA	NA
4	6	String	zipCode	10			O	O
3	7	String	telephoneNumber	20			M	M
3	8	Boolean	conductBusinessInOtherLocations		boolean		M	M
3	9	NV	otherBusinessLocation			Unlimited	TA-1_CM(4)	TA-1_CM(4)
4	1	String	street1	40			TA-1_CM(1)	TA-1_CM(1)
4	2	String	street2	40			O	O
4	3	String	city	30			TA-1_CM(1)	TA-1_CM(1)
4	4	String	stateOrCountryCode		State Code List		TA-1_CM(1)	TA-1_CM(1)
4	5	String	stateOrCountry	50			NA	NA
4	6	String	zipCode	10			O	O
3	10	Boolean	selfTransferAgent		boolean		M	M
3	11	Boolean	engagedServiceCompany		boolean		M	M
3	12	NV	serviceCompany			Unlimited	TA-1_CM(5)	TA-1_CM(5)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	fileNumber	14			TA-1_CM(1)	TA-1_CM(1)
4	3	NV	serviceCompanyAddress				TA-1_CM(1)	TA-1_CM(1)
5	1	String	street1	40			TA-1_CM(1)	TA-1_CM(1)
5	2	String	street2	40			O	O
5	3	String	city	30			TA-1_CM(1)	TA-1_CM(1)
5	4	String	stateOrCountryCode		State Code List		TA-1_CM(1)	TA-1_CM(1)
5	5	String	stateOrCountry	50			NA	NA
5	6	String	zipCode	10			O	O
3	13	Boolean	engagedAsServiceCompany		boolean		M	M
3	14	NV	asServiceCompany			Unlimited	TA-1_CM(6)	TA-1_CM(6)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	fileNumber	14			TA-1_CM(1)	TA-1_CM(1)
4	3	NV	asServiceCompanyAddress				TA-1_CM(1)	TA-1_CM(1)
5	1	String	street1	40			TA-1_CM(1)	TA-1_CM(1)
5	2	String	street2	40			O	O
5	3	String	city	30			TA-1_CM(1)	TA-1_CM(1)
5	4	String	stateOrCountryCode		State Code List		TA-1_CM(1)	TA-1_CM(1)
5	5	String	stateOrCountry	50			NA	NA

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-1	TA-1/A
5	6	String	zipCode	10			O	O
3	15	String	registrantType		Registrant List		M	M
3	16	String	registrantTypeDescription	30			TA-1_CM(7)	TA-1_CM(7)
3	17	NV	corporationPartnershipData			Unlimited	TA-1_CM(8)	TA-1_CM(8)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	Date	relationshipStartDate		date		TA-1_CM(1)	TA-1_CM(1)
4	3	String	titleOrStatus	40			TA-1_CM(1)	TA-1_CM(1)
4	4	String	ownershipCode		Ownership Code List		TA-1_CM(1)	TA-1_CM(1)
4	5	Boolean	controlPerson		boolean		TA-1_CM(1)	TA-1_CM(1)
4	6	Date	relationshipEndDate		date		NA	O(2)
3	18	NV	soleProprietorshipOtherData			Unlimited	TA-1_CM(9)	TA-1_CM(9)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	Date	relationshipStartDate		date		TA-1_CM(1)	TA-1_CM(1)
4	3	String	titleOrStatus	40			TA-1_CM(1)	TA-1_CM(1)
4	4	String	authorityDescription	40			TA-1_CM(1)	TA-1_CM(1)
4	5	Date	relationshipEndDate		date		NA	O(2)
2	11	NV	otherControlManagement				M	M
3	1	Boolean	otherEntity		boolean		O(3)	O(3)
3	2	NV	otherControlManagementDetails			Unlimited	TA-1_CM(10)	TA-1_CM(10)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	agreementDescription	4000			TA-1_CM(1)	TA-1_CM(1)
2	12	NV	otherControlFinance				M	M
3	1	Boolean	otherEntity		boolean		O(3)	O(3)
3	2	NV	otherControlFinanceDetails			Unlimited	TA-1_CM(10)	TA-1_CM(10)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	agreementDescription	4000			TA-1_CM(1)	TA-1_CM(1)
2	13	NV	felonyOrMisdemeanor				M	M
3	1	Boolean	involved		boolean		O(3)	O(3)
3	2	NV	felonyOrMisdemeanorDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-1	TA-1/A
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
4	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
4	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
4	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
4	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	14	NV	otherFelony				M	M
3	1	Boolean	involved		boolean		O(3)	O(3)
3	2	NV	otherFelonyDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
4	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
4	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
4	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
4	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	15	NV	enjoinedInvestmentRelatedActivity				M	M
3	1	Boolean	involved		boolean		O(3)	O(3)
3	2	NV	enjoinedInvestmentRelatedActivityDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
4	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
4	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
4	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
4	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	16	NV	violationOfInvestmentRelatedRegulation				M	M
3	1	Boolean	involved		boolean		O(3)	O(3)
3	2	NV	violationOfInvestmentRelatedRegulationDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
4	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
4	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-1	TA-1/A
4	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
4	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	17	NV	falseStatementOrOmission				M	M
3	1	Boolean	involved		boolean		O(3)	O(3)
3	2	NV	falseStatementOrOmissionDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
4	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
4	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
4	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
4	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	18	NV	violationOfRegulations				M	M
3	1	Boolean	involved		boolean		O(3)	O(3)
3	2	NV	violationOfRegulationsDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
4	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
4	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
4	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
4	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	19	NV	authorizationDeniedOrSuspended				M	M
3	1	Boolean	involved		boolean		O(3)	O(3)
3	2	NV	authorizationDeniedOrSuspendedDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
4	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
4	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
4	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
4	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	20	NV	registrationDeniedOrSuspended				M	M

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-1	TA-1/A
3	1	Boolean	involved		boolean		O(3)	O(3)
3	2	NV	registrationDeniedOrSuspendedDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
4	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
4	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
4	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
4	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	21	NV	federalOrStateRegulatoryAgency				M	M
3	1	NV	fsrFalseStatementOrOmission				M	M
4	1	Boolean	involved		boolean		O(3)	O(3)
4	2	NV	fsrFalseStatementOrOmissionDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
5	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
5	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
5	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
5	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
5	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
5	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
3	2	NV	fsrViolationOfInvestmentRelatedRegulation				M	M
4	1	Boolean	involved		boolean		O(3)	O(3)
4	2	NV	fsrViolationOfInvestmentRelatedRegulationDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
5	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
5	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
5	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
5	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
5	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
5	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
3	3	NV	fsrAuthorizationDeniedOrSuspended				M	M
4	1	Boolean	involved		boolean		O(3)	O(3)
4	2	NV	fsrAuthorizationDeniedOrSuspendedDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-1	TA-1/A
5	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
5	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
5	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
5	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
5	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
5	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
3	4	NV	fsrFoundOrderAgainstApplicant				M	M
4	1	Boolean	involved		boolean		O(3)	O(3)
4	2	NV	fsrFoundOrderAgainstApplicantDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
5	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
5	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
5	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
5	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
5	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
5	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
3	5	NV	fsrRegistrationDeniedOrSuspended				M	M
4	1	Boolean	involved		boolean		O(3)	O(3)
4	2	NV	fsrRegistrationDeniedOrSuspendedDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
5	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
5	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
5	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
5	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
5	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
5	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
3	6	NV	fsrRevokedSuspendedLicense				M	M
4	1	Boolean	involved		boolean		O(3)	O(3)
4	2	NV	fsrRevokedSuspendedLicenseDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
5	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
5	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
5	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
5	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-1	TA-1/A
5	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
5	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	22	NV	selfRegulatoryAgency				M	M
3	1	NV	sraFalseStatementOrOmission				M	M
4	1	Boolean	involved		boolean		O(3)	O(3)
4	2	NV	sraFalseStatementOrOmissionDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
5	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
5	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
5	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
5	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
5	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
5	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
3	2	NV	sraViolationOfRules				M	M
4	1	Boolean	involved		boolean		O(3)	O(3)
4	2	NV	sraViolationOfRulesDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
5	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
5	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
5	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
5	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
5	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
5	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
3	3	NV	sraAuthorizationDeniedOrSuspended				M	M
4	1	Boolean	involved		boolean		O(3)	O(3)
4	2	NV	sraAuthorizationDeniedOrSuspendedDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
5	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
5	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
5	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
5	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
5	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
5	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-1	TA-1/A
3	4	NV	sraRevokedSuspendedLicense				M	M
4	1	Boolean	involved		boolean		O(3)	O(3)
4	2	NV	sraRevokedSuspendedLicenseDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
5	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
5	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
5	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
5	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
5	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
5	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	23	NV	foreignAgency				M	M
3	1	Boolean	involved		boolean		O(3)	O(3)
3	2	NV	foreignAgencyDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
4	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
4	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
4	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
4	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	24	NV	subjectOfProceedings				M	M
3	1	Boolean	involved		boolean		O(3)	O(3)
3	2	NV	subjectOfProceedingsDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
4	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
4	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
4	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
4	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	25	NV	revokedBond				M	M
3	1	Boolean	involved		boolean		O(3)	O(3)
3	2	NV	revokedBondDetails			Unlimited	TA-1_CM(11)	TA-1_CM(11)

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-1	TA-1/A
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
4	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
4	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
4	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
4	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	26	NV	unsatisfiedJudgementsOrLiens				M	M
3	1	Boolean	involved		boolean		O(3)	O(3)
3	2	NV	unsatisfiedJudgementOrLiens			Unlimited	TA-1_CM(11)	TA-1_CM(11)
4	1	String	entityName	150			TA-1_CM(1)	TA-1_CM(1)
4	2	String	actionTitle	80			TA-1_CM(1)	TA-1_CM(1)
4	3	Date	actionDate		date		TA-1_CM(1)	TA-1_CM(1)
4	4	String	courtOrBodyNameAndLocation	80			TA-1_CM(1)	TA-1_CM(1)
4	5	String	actionDescription	4000			TA-1_CM(1)	TA-1_CM(1)
4	6	String	dispositionOfProceeding	255			TA-1_CM(1)	TA-1_CM(1)
2	27	NV	signatureData				M	M
3	1	string	signatureName	255			M	M
3	2	string	signatureTitle	60			M	M
3	3	string	signaturePhoneNumber	20			M	M
3	4	date	signatureDate		date		M	M
2	28	NV	edgarDocument			610	O	O
3	1	string	documentName	32			TA-1_CM(1)	TA-1_CM(1)
3	2	string	documentType	20	Document Type List		TA-1_CM(1)	TA-1_CM(1)
3	4	string	documentDescription	255			O	O
3	5	string	documentMimeBlock	unlimited			TA-1_CM(1)	TA-1_CM(1)

Table 3-5: Mapping of TA-2 and Variants Submission Schema to Submission Type

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-2	TA-2/A
1	1	NV	edgarSubmission				M	M
2	1	String	schemaVersion	5			NA	NA
2	2	String	submissionType	Unlimited	SUBMISSION TYPE		M	M
2	3	String	testOrLive	4	Test Live List		M	M
2	4	Boolean	returnCopy				O	O
2	5	NV	contactData				O	O
3	1	String	contactName				O	O
3	2	String	contactPhoneNumber				O	O
3	3	String	contactEmailAddress				O	O
2	6	NV	notificationAddresses				O	O
3	1	String	notificationEmailAddress	80		30	O	O
2	7	String	formVersion	5			NA	NA
2	8	NV	filer				M	M
3	1	String	cik	10			M	M
3	2	String	ccc	8			O(1)	O(1)
3	3	String	fileNumber	14			M	M
2	9	Date	periodOfReport				M	M
2	10	NV	registrant				M	M
3	1	String	entityName	150			M	M
2	11	NV	engagedServiceCompany				M	M
3	1	String	function		Function List		M	M
3	2	NV	serviceCompanyTransferAgent			Unlimited	TA-2_CM(2)	TA-2_CM(2)
4	1	String	entityName	150			TA-2_CM(1)	TA-2_CM(1)
4	2	String	fileNumber	14			TA-2_CM(1)	TA-2_CM(1)

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-2	TA-2/A
2	12	NV	engagedAsServiceCompany				M	M
3	1	Boolean	function				M	M
3	2	NV	asServiceCompanyTransferAgent			Unlimited	TA-2_CM(3)	TA-2_CM(3)
4	1	String	entityName	150			TA-2_CM(1)	TA-2_CM(1)
4	2	String	fileNumber	14			TA-2_CM(1)	TA-2_CM(1)
2	13	String	regulatoryAgency	Unlimited	Regulatory Agency List		M	M
2	14	NV	inaccurateIncompleteMisleading				M	M
3	1	String	amendmentFiled	Unlimited			M	M
3	2	String	additionalInformation	255			TA-2_CM(4)	TA-2_CM(4)
2	15	NV	serviceCompanyData				TA-2_CM(5)	TA-2_CM(5)
3	1	Integer	numberItemsReceivedForTransfer	999999999999			TA-2_CM(1)	TA-2_CM(1)
3	2	Integer	numberMasterSecurityHolderFilings	999999999999			TA-2_CM(1)	TA-2_CM(1)
3	3	Integer	numberIndividualAccounts	999999999999			TA-2_CM(1)	TA-2_CM(1)
3	4	Integer	numberDivReinvDirPurPlanAccounts	999999999999			TA-2_CM(1)	TA-2_CM(1)
3	5	Integer	numberDirectRegistSystemAccounts	999999999999			TA-2_CM(1)	TA-2_CM(1)
3	6	NV	securityHolderAccounts				TA-2_CM(1)	TA-2_CM(1)
4	1	Float	equitySecurity	100.00			TA-2_CM(1)	TA-2_CM(1)
4	2	Float	debtSecurity	100.00			TA-2_CM(1)	TA-2_CM(1)
4	3	Float	openEndInvestmentCompany	100.00			TA-2_CM(1)	TA-2_CM(1)
4	4	Float	limitedPartnership	100.00			TA-2_CM(1)	TA-2_CM(1)
4	5	Float	municipalDebt	100.00			TA-2_CM(1)	TA-2_CM(1)
4	6	Float	Other	100.00			TA-2_CM(1)	TA-2_CM(1)
3	7	NV	securityHolderData				TA-2_CM(6)	TA-2_CM(6)
4	1	NV	transMaintainMasterSecHolder				TA-2_CM(1)	TA-2_CM(1)
5	1	Integer	equitySecurity	999999999999			TA-2_CM(1)	TA-2_CM(1)

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-2	TA-2/A
5	2	Integer	debtSecurity	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	3	Integer	openEndInvestmentCompany	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	4	Integer	limitedPartnership	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	5	Integer	municipalDebt	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	6	Integer	Other	999999999999			TA-2_CM(1)	TA-2_CM(1)
4	2	NV	transNotMaintMasterSecHolder				TA-2_CM(1)	TA-2_CM(1)
5	1	Integer	equitySecurity	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	2	Integer	debtSecurity	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	3	Integer	openEndInvestmentCompany	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	4	Integer	limitedPartnership	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	5	Integer	municipalDebt	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	6	Integer	Other	999999999999			TA-2_CM(1)	TA-2_CM(1)
4	3	NV	notTransMaintMasterSecHolder				TA-2_CM(1)	TA-2_CM(1)
5	1	Integer	equitySecurity	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	2	Integer	debtSecurity	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	3	Integer	openEndInvestmentCompany	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	4	Integer	limitedPartnership	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	5	Integer	municipalDebt	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	6	Integer	Other	999999999999			TA-2_CM(1)	TA-2_CM(1)
4	4	NV	dividendReinvDirectPurchasePlan				TA-2_CM(1)	TA-2_CM(1)
5	1	Integer	numberIssues	999999999999			TA-2_CM(1)	TA-2_CM(1)
4	5	NV	directRegistrationSystem				TA-2_CM(1)	TA-2_CM(1)
5	1	Integer	numberIssues	999999999999			TA-2_CM(1)	TA-2_CM(1)
4	6	NV	dividendAndInterest				TA-2_CM(1)	TA-2_CM(1)
5	1	Integer	numberIssues	999999999999			TA-2_CM(1)	TA-2_CM(1)

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-2	TA-2/A
5	2	Float	amountIssues	999999999999.99			TA-2_CM(1)	TA-2_CM(1)
4	7	NV	priorAgent				TA-2_CM(1)	TA-2_CM(1)
5	1	Integer	numberIssues	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	2	Float	amountIssues	999999999999.99			TA-2_CM(1)	TA-2_CM(1)
4	8	NV	currentAgent				TA-2_CM(1)	TA-2_CM(1)
5	1	Integer	numberIssues	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	2	Float	amountIssues	999999999999.99			TA-2_CM(1)	TA-2_CM(1)
4	9	NV	quarterlyReportsRegardingBuyIns				TA-2_CM(1)	TA-2_CM(1)
5	1	Integer	numberFiled	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	2	Boolean	fileAll				TA-2_CM(7)	TA-2_CM(7)
5	3	String	additionalInformation	255			TA-2_CM(8)	TA-2_CM(8)
4	10	NV	turnaroundCompliant				TA-2_CM(1)	TA-2_CM(1)
5	1	Boolean	alwaysCompliant				TA-2_CM(1)	TA-2_CM(1)
5	2	NV	nonCompliantData				TA-2_CM(9)	TA-2_CM(9)
6	1	Integer	numberMonthsNotCompliant	999999999999			TA-2_CM(1)	TA-2_CM(1)
6	2	Integer	numberNoticeNonComplianceFiled	999999999999			TA-2_CM(1)	TA-2_CM(1)
4	11	NV	purchaseRedemptionPricingShares				TA-2_CM(1)	TA-2_CM(1)
5	1	Integer	total	999999999999			TA-2_CM(1)	TA-2_CM(1)
5	2	Integer	totalOtheThanReceiptOrderDate	999999999999			TA-2_CM(1)	TA-2_CM(1)
3	8	NV	databaseSearch			Unlimited	TA-2_CM(1)	TA-2_CM(1)
4	1	Date	databaseSearchDate				O	O
4	2	Integer	numberLostAccountsSearched				TA-2_CM(1)	TA-2_CM(1)
4	3	Integer	numberAddressesFromSearch				TA-2_CM(1)	TA-2_CM(1)
3	9	Integer	numberLostAccountsRemittedToStates	999999999999			TA-2_CM(1)	TA-2_CM(1)
2	16	NV	signatureData				M	M

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	TA-2	TA-2/A
3	1	String	signatureName	255			M	M
3	2	String	signatureTitle	60			M	M
3	3	String	signaturePhoneNumber	20			M	M
3	4	Date	signatureDate	Date			M	M
2	17	NV	edgarDocument			610	O	O
3	1	String	documentName	32			TA-2_CM(1)	TA-2_CM(1)
3	2	String	documentType	20	Document Type List		TA-2_CM(1)	TA-2_CM(1)
3	3	String	documentDescription	255			O	O
3	4	String	documentMimeBlock	Unlimited			TA-2_CM(1)	TA-2_CM(1)

Table 3-6: Mapping of TA-W Submission Schema to Submission Type

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Applicability of Element
1	1	NV	edgarSubmission				M
2	1	String	schemaVersion	5			NA
2	2	NV	headerData				M
3	1	NV	submissionType		SUBMISSION TYPE		M
3	2	NV	filerInfo				M
4	1	NV	filer				M
5	1	NV	filerCredentials				M
6	1	String	cik	10			M
6	2	String	ccc	8			M
5	2	String	fileNumber	14			M
4	2	String	liveTestFlag		"LIVE" or "TEST"		
4	3	NV	flags				
5	1	Boolean	returnCopyFlag		true/false		O
4	4	NV	contact				O
5	1	String	contactName	30			O
5	2	String	contactPhoneNumber	20			O
5	3	String	contactEmailAddress	80			O
4	5	NV	notifications				O
5	1	String	notificationEmailAddress	80		30	O
2	3	NV	formData				NA
3	1	NV	registrant				M
4	1	String	fileNumber	14			M
4	2	String	entityName	150			M
4	3	String	activitiesConductedEntityName	150			O
4	4	NV	businessAddress			Unbounded	M
5	1	String	street1	40			M
5	2	String	street2	40			O
5	3	String	city	30			M
5	4	String	stateOrCountry	50			M
5	5	String	zipCode	10			M
3	2	NV	withdrawal				
4	1	String	withdrawalDescription	255			M
4	2	Date	lastActionDate		date		M
4	3	Boolean	futureTransferAgentFunctions		true/false		M
3	3	NV	legalAction				
4	1	Boolean	involved		true/false		M
4	2	NV	subjectOfProceedingsDetails			Unbounded	
5	1	String	entityName	150			M
5	2	String	actionTitle	80			M
5	3	Date	actionDate		date		M
5	4	String	courtOrBodyNameAndLocation	80			M
5	5	String	actionDescription	255			M

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Applicability of Element
5	6	String	dispositionOfProceeding	255			M
4	3	Boolean	unsatisfiedJudgmentsInvolved		true/false		M
4	4	NV	unsatisfiedJudgementOrLiensDetails			Unbounded	
5	1	String	entityName	150			M
5	2	String	actionTitle	80			M
5	3	Date	actionDate		date		M
5	4	String	courtOrBodyNameAndLocation	80			M
5	5	String	actionDescription	255			M
5	6	String	dispositionOfProceeding	255			M
3	4	NV	documentRetention				
4	1	Boolean	successorTransferAgents		true/false		M
4	2	NV	TA-WSuccessorDetails			Unbounded	O
5	1	String	entityName	150			M
5	2	NV	TA-WSuccessorAddress				M
6	1	String	street1	40			M
6	2	String	street2	40			O
6	3	String	city	30			M
6	4	String	stateOrCountry	50			M
6	5	String	zipCode	10			M
5	3	Boolean	successorRegistered			true/false	M
4	3	NV	TA-WCustodians			Unbounded	O
5	1	String	entityName	150			o(1)
5	2	NV	TA-WCustodianAddress				M
6	1	String	street1	40			M
6	2	String	street2	40			O
6	3	String	city	30			M
6	4	String	stateOrCountry	50			M
6	5	String	zipCode	10			M
4	4	NV	TA-WLocations			Unbounded	O
5	1	String	entityName	150			M
5	2	NV	TA-WLocationAddress				NA
6	1	String	street1	40			M
6	2	String	street2	40			O
6	3	String	city	30			M
6	4	String	stateOrCountry	50			M
6	5	String	zipCode	10			M
3	5	NV	signatureData				NA
4	1	String	signatureName	30			M
4	2	String	signaturePhoneNumber	60			M
4	3	String	signatureTitle	20			M
4	4	date	signatureDate	Date	date		M
2	4	NV	documents				M
3	1	NV	document				M

DRAFT

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Applicability of Element
4	1	String	conformedName	32			M
4	2	String	conformedDocumentType	20	Document Type List		M
4	3	String	description	255			O
4	4	String	contents	unlimited			M

4 TA SCHEMA DATA VALUE CONSTRAINTS

4.1 SUBMISSION_TYPE

These are the valid values for the <SUBMISSION_TYPE> element in the submission file:

Table 4-1: Submission Type List Values

Value	CODE 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.

4.2 Document Type List

Supporting Document Type List Values lists the valid values for the <documentType> of the <edgarDocument> (<edgarDocument.documentType>) element.

Table 4-2: Supporting Document Type List Values

Value for Supporting Documents
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

4.3 State Code List

EDGAR recognizes 302 two-character designators for the <stateOrCountryCode> element. These are provided in Appendix A, State and Country Codes. These codes are a combination of values for the 50 U.S. states, the Canadian Provinces, and other countries and territories.

4.4 Test Live List

Test or Live List Values lists the valid values for the <testOrLive> element.

Table 4-3: Test Live List Values

Value
LIVE
TEST

4.5 Regulatory Agency List

Regulatory Agency List Values lists the valid values for the <regulatoryAgency> element.

Table 4-4: Regulatory Agency List Values

Value
SEC

4.6 Registrant List

Registrant List Values lists the valid values for the <registrantType> element.

Table 4-5: Registrant List Values

Value
Corporation
Partnership
Sole Proprietorship
Other
Not Applicable

4.7 Ownership Code List

Ownership Code List Values lists the valid values for the <ownershipCode> element.

Table 4-6: Ownership Code List Values⁷

Value	Ownership Description
NA	0 up to 5%
A	5% up to 10%
B	10% up to 25%
C	25% up to 50%
D	50% up to 75%
E	75% up to 100%

5 BASIC SUBMISSION CONSTRUCTION

5.1 General Formatting of XML Files

The following rules apply to the submission file of an XML-format TA 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 SUSPENDED error. The version value must be “1.0.” Any other value for version will cause a SUSPENDED 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>
```

5.2 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 `eis_TA_1_Filer.xsd` XML schema file for TA-1 and TA-1/A submissions, `eis_TA_2_Filer.xsd` XML schema file for TA-2 and TA-2/A submissions and `eis_TA_W_Filer.xsd` XML schema file for TA-W and TA-W/A submissions.. Any violation of this schema will result in the suspension of the filing.

5.3 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.
2. The following elements will be removed, if provided:
 - <ccc>
 - <returnCopy>
 - <contactData>
 - <notificationAddresses>
 - <formVersion>
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.

5.4 Supporting Documents

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

4. 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.
5. Allowable file extensions are .txt, .htm, .jpg, and .gif.

Note: The Form TA submission types do not allow the inclusion of PDF documents. EDGAR will discard any attached PDF documents and issue a WARNING to that effect.
6. The allowable document types are shown in the Table 3-5.
7. You may enclose no more than 610 documents. The document count limits by type are provided in Table 4-1: Supporting Document Maximum Allowed.

Table 5-1: Supporting Document Maximum Allowed

Document Type	Maximum Allowed
CORRESP	100
COVER	10
GRAPHIC	500

DRAFT

8. 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 must be .txt, .htm, .jpg, or .gif.
9. The <documentDescription> is optional, but all other elements must be present and must have a value.
10. 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.
11. The XML for an enclosed supporting document looks like this:

```
<edgarDocument>  
  <documentName>cover01.txt</documentName>  
  <documentType>COVER</documentType>  
  <documentDescription>Cover Document</documentDescription>  
  <documentMimeBlock>  
    PT09PT09PT09PT09PT09PT09PT09PT09PT09PSAgIGNvdmVyIGxldHRl  
    ciAgID09PT09PT09PT09PT09PT09PT09PT09PT09PT09NCg0KVghpcyBp  
    cyBhIHByaXZhdGUGY292ZXIgbGV0dGVyIHRoYXQzGZG9lcYBub3QyY29udGFp  
    biBhbHnkgcmVkbGluzQ0kdGFncy4gVGhpcyBpcyBzdHJpY3RseSBhIHRlc3Qu  
    DQoNCj09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09  
    PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09DQo=  
  </documentMimeBlock>  
</edgarDocument>
```

6 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 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 6-1: EDGAR Processing Errors and Severity

Error Condition	Severity
Elements not in sequence prescribed in Table 3-3.	SUSPENDED
Inclusion of XML-style sheet reference or any other Processing Instruction	SUSPENDED
Inclusion of an element not prescribed in the schema	SUSPENDED
String value exceeds maximum length constraint	SUSPENDED
Element constrained by a Choice List has an invalid value	SUSPENDED
Mandatory element has no value or an invalid value	SUSPENDED
Special character (&, <, >) not provided as escape sequence	SUSPENDED
Date or Boolean element does not have a value	SUSPENDED
Duplicate notification email address (duplicate values for element <notificationEmailAddress>)	WARNING
Invalid CIK	SUSPENDED
Invalid CIK/CCC combination	SUSPENDED
Improperly formatted email address	SUSPENDED
Inclusion of a PDF document	WARNING
Exceeding a “Max Occur” limit from Table 3-3 (e.g., value for element <notificationEmailAddress> contains more than 80 characters)	SUSPENDED
Invalid content in an enclosed ASCII document. Refer to the EDGAR Filer Manual for details.	SUSPENDED or WARNING
Invalid content in an enclosed HTML document. Refer to the EDGAR Filer Manual for details.	SUSPENDED or WARNING
Enclosed graphic document that is not referenced by an HTML document	SUSPENDED
Any XML schema violation not mentioned in previous table row	SUSPENDED
Inclusion of an element that is not applicable for the conditional mandatory condition.	SUSPENDED
No values provided for child elements of a parent element satisfying the conditional mandatory condition	SUSPENDED
Any date element (except <signatureDate>) with value after submission date	SUSPENDED

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.

7 EXAMPLE FORM TA SUBMISSION FILES

Table 7-1: Form TA Example Submission Files provides a list of example of Form TA submission files.

Table 7-1: Form TA Example Submission Files

Submission Type	Description	Submission File
TA-1	Submission with no enclosed documents.	TA-1_sampleXML_1.xml
TA-1/A	Amendment submission with no enclosed documents.	TA-1A_sampleXML.xml
TA-1	Submission with enclosed documents.	TA-1_sampleXML_2.xml
TA-2	Submission with no enclosed documents.	TA-2_sampleXML_1.xml
TA-2/A	Amendment submission with no enclosed documents.	TA-2A_sampleXML.xml
TA-2	Submission with enclosed documents.	TA-2_sampleXML_2.xml
TA-W	Submission with no enclosed documents.	TA-W_sampleXML_1.xml
TA-W	Submission with enclosed documents.	TA-W_sampleXML_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.

8 APPENDIX A - STATE/COUNTRY CODES

These are the valid designators for the <stateCountry> element in the primary document.

Table 8-1: State/Country Codes List

Code	State/Country Name
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

DRAFT

Code	State/Country Name
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

DRAFT

Code	State/Country Name
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

DRAFT

Code	State/Country Name
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

DRAFT

Code	State/Country Name
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

DRAFT

Code	State/Country Name
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

DRAFT

Code	State/Country Name
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

DRAFT

Code	State/Country Name
U5	WESTERN SAHARA
T7	YEMEN
Y4	ZAMBIA
Y5	ZIMBABWE

9 APPENDIX B - MAPPING OF FORM TA XML ELEMENTS TO PRINTED FORMS

Table B-1: Mapping for Form TA-1 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 is repeated here for completeness.

Table 9-1: Mapping of Form TA-1 XML Elements to Printed Form

Element Name	Printed Form TA-1
edgarSubmission	
schemaVersion	
submissionType	1(e)
testOrLive	1(c)
returnCopy	1(d)
contactData	
contactName	1(f)(i)
contactPhoneNumber	1(f)(ii)
contactEmailAddress	1f(iii)
notificationAddresses	
notificationEmailAddress	1(g)
formVersion	
filer	
cik	1(a)
ccc	1(b)
fileNumber	1(e)(i)
regulatoryAgency	2
registrant	
entityName	3(a)
previousEntityname	3(a)(i)
finsNumber	3(b)
principalOfficeAddress	
street1	3(c)(i)
street2	3(c)(ii)
city	3(c)(iii)
stateOrCountryCode	3(c)(vi)
stateOrCountry	
zipCode	3(c)(v)
differentMailingAddress	3(d)
mailingAddress	
street1	3(d)(i)
street2	3(d)(ii)
city	3(d)(iii)
stateOrCountryCode	3(d)(vi)

DRAFT

Element Name	Printed Form TA-1
stateOrCountry	
zipCode	3(d)(v)
telephoneNumber	3(e)
conductBusinessInOtherLocations	4
otherBusinessLocation	
street1	4(a)(i)
street2	4(a)(ii)
city	4(a)(iii)
stateOrCountryCode	4(a)(vi)
stateOrCountry	
zipCode	4(a)(v)
selfTransferAgent	5
engagedServiceCompany	6
serviceCompany	
entityName	6(a)
fileNumber	6(b)
serviceCompanyAddress	
street1	6(c)(i)
street2	6(c)(ii)
city	6(c)(iii)
stateOrCountryCode	6(c)(vi)
stateOrCountry	
zipCode	6(c)(v)
engagedAsServiceCompany	7
asServiceCompany	
entityName	7(a)
fileNumber	7(b)
asServiceCompanyAddress	
street1	7(c)(i)
street2	7(c)(ii)
city	7(c)(iii)
stateOrCountryCode	7(c)(vi)
stateOrCountry	
zipCode	7(c)(v)
registrantType	8
registrantTypeDescription	8
corporationPartnershipData	Section for Initial Registration and for Amendments Reporting Additional Persons. (Corporation or Partnership)
entityName	8(a)(i)
relationshipStartDate	8(a)(ii)
titleOrStatus	8(a)(iii)
ownershipCode	8(a)(vi)
controlPerson	8(a)(v)
relationshipEndDate	8(a)(vi)

DRAFT

Element Name	Printed Form TA-1
soleProprietorshipOtherData	Section for Initial Registration and for Amendments Reporting Additional Persons. (Sole Proprietorship or Other)
entityName	8(a)(i)
relationshipStartDate	8(a)(ii)
titleOrStatus	8(a)(iii)
authorityDescription	8(a)(iv)
relationshipEndDate	8(a)(v)
otherControlManagement	
otherEntity	9(a)
otherControlManagementDetails	
entityName	9(a)(i)
agreementDescription	9(a)(ii)
otherControlFinance	
otherEntity	9(b)
otherControlFinanceDetails	
entityName	9(b)(i)
agreementDescription	9(b)(ii)
felonyOrMisdemeanor	
involved	10(a)(1)
felonyOrMisdemeanorDetails	
entityName	10(a)(1)(i)
actionTitle	10(a)(1)(ii)
actionDate	10(a)(1)(iii)
courtOrBodyNameAndLocation	10(a)(1)(iv)
actionDescription	10(a)(1)(v)
dispositionOfProceeding	10(a)(1)(vi)
otherFelony	
involved	10(a)(2)
otherFelonyDetails	
entityName	10(a)(2)(i)
actionTitle	10(a)(2)(ii)
actionDate	10(a)(2)(iii)
courtOrBodyNameAndLocation	10(a)(2)(iv)
actionDescription	10(a)(2)(v)
dispositionOfProceeding	10(a)(2)(vi)
enjoinedInvestmentRelatedActivity	
involved	10(b)(1)
enjoinedInvestmentRelatedActivityDetails	
entityName	10(b)(1)(i)
actionTitle	10(b)(1)(ii)
actionDate	10(b)(1)(iii)

DRAFT

Element Name	Printed Form TA-1
courtOrBodyNameAndLocation	10(b)(1)(iv)
actionDescription	10(b)(1)(v)
dispositionOfProceeding	10(b)(1)(vi)
violationOfInvestmentRelatedRegulation	
involved	10(b)(2)
violationOfInvestmentRelatedRegulationDetails	
entityName	10(b)(2)(i)
actionTitle	10(b)(2)(ii)
actionDate	10(b)(2)(iii)
courtOrBodyNameAndLocation	10(b)(2)(iv)
actionDescription	10(b)(2)(v)
dispositionOfProceeding	10(b)(2)(vi)
falseStatementOrOmission	
involved	10(c)(1)
falseStatementOrOmissionDetails	
entityName	10(c)(1)(i)
actionTitle	10(c)(1)(ii)
actionDate	10(c)(1)(iii)
courtOrBodyNameAndLocation	10(c)(1)(iv)
actionDescription	10(c)(1)(v)
dispositionOfProceeding	10(c)(1)(vi)
violationOfRegulations	
involved	10(c)(2)
violationOfRegulationsDetails	
entityName	10(c)(2)(i)
actionTitle	10(c)(2)(ii)
actionDate	10(c)(2)(iii)
courtOrBodyNameAndLocation	10(c)(2)(iv)
actionDescription	10(c)(2)(v)
dispositionOfProceeding	10(c)(2)(vi)
authorizationDeniedOrSuspended	
involved	10(c)(3)
authorizationDeniedOrSuspendedDetails	
entityName	10(c)(3)(i)
actionTitle	10(c)(3)(ii)
actionDate	10(c)(3)(iii)
courtOrBodyNameAndLocation	10(c)(3)(iv)
actionDescription	10(c)(3)(v)
dispositionOfProceeding	10(c)(3)(vi)
registrationDeniedOrSuspended	
involved	10(c)(4)
registrationDeniedOrSuspendedDetails	

DRAFT

Element Name	Printed Form TA-1
entityName	10(c)(4)(i)
actionTitle	10(c)(4)(ii)
actionDate	10(c)(4)(iii)
courtOrBodyNameAndLocation	10(c)(4)(iv)
actionDescription	10(c)(4)(v)
dispositionOfProceeding	10(c)(4)(vi)
federalOrStateRegulatoryAgency	
fsrFalseStatementOrOmission	
involved	10(d)(1)
fsrFalseStatementOrOmissionDetails	
entityName	10(d)(1)(i)
actionTitle	10(d)(1)(ii)
actionDate	10(d)(1)(iii)
courtOrBodyNameAndLocation	10(d)(1)(iv)
actionDescription	10(d)(1)(v)
dispositionOfProceeding	10(d)(1)(vi)
fsrViolationOfInvestmentRelatedRegulation	
involved	10(d)(2)
fsrViolationOfInvestmentRelatedRegulationDetails	
entityName	10(d)(2)(i)
actionTitle	10(d)(2)(ii)
actionDate	10(d)(2)(iii)
courtOrBodyNameAndLocation	10(d)(2)(iv)
actionDescription	10(d)(2)(v)
dispositionOfProceeding	10(d)(2)(vi)
fsrAuthorizationDeniedOrSuspended	
involved	10(d)(3)
fsrAuthorizationDeniedOrSuspendedDetails	
entityName	10(d)(3)(i)
actionTitle	10(d)(3)(ii)
actionDate	10(d)(3)(iii)
courtOrBodyNameAndLocation	10(d)(3)(iv)
actionDescription	10(d)(3)(v)
dispositionOfProceeding	10(d)(3)(vi)
fsrFoundOrderAgainstApplicant	
involved	10(d)(4)
fsrFoundOrderAgainstApplicantDetails	
entityName	10(d)(4)(i)
actionTitle	10(d)(4)(ii)
actionDate	10(d)(4)(iii)
courtOrBodyNameAndLocation	10(d)(4)(iv)
actionDescription	10(d)(4)(v)
dispositionOfProceeding	10(d)(4)(vi)
fsrRegistrationDeniedOrSuspended	
involved	10(d)(5)

DRAFT

Element Name	Printed Form TA-1
fsrRegistrationDeniedOrSuspendedDetails	
entityName	10(d)(5)(i)
actionTitle	10(d)(5)(ii)
actionDate	10(d)(5)(iii)
courtOrBodyNameAndLocation	10(d)(5)(iv)
actionDescription	10(d)(5)(v)
dispositionOfProceeding	10(d)(5)(vi)
fsrRevokedSuspendedLicense	
involved	10(d)(6)
fsrRevokedSuspendedLicenseDetails	
entityName	10(d)(6)(i)
actionTitle	10(d)(6)(ii)
actionDate	10(d)(6)(iii)
courtOrBodyNameAndLocation	10(d)(6)(iv)
actionDescription	10(d)(6)(v)
dispositionOfProceeding	10(d)(6)(vi)
selfRegulatoryAgency	
sraFalseStatementOrOmission	
involved	10(e)(1)
sraFalseStatementOrOmissionDetails	
entityName	10(e)(1)(i)
actionTitle	10(e)(1)(ii)
actionDate	10(e)(1)(iii)
courtOrBodyNameAndLocation	10(e)(1)(iv)
actionDescription	10(e)(1)(v)
dispositionOfProceeding	10(e)(1)(vi)
sraViolationOfRules	
involved	10(e)(2)
sraViolationOfRulesDetails	
entityName	10(e)(2)(i)
actionTitle	10(e)(2)(ii)
actionDate	10(e)(2)(iii)
courtOrBodyNameAndLocation	10(e)(2)(iv)
actionDescription	10(e)(2)(v)
dispositionOfProceeding	10(e)(2)(vi)
sraAuthorizationDeniedOrSuspended	
involved	10(e)(3)
sraAuthorizationDeniedOrSuspendedDetails	
entityName	10(e)(3)(i)
actionTitle	10(e)(3)(ii)
actionDate	10(e)(3)(iii)
courtOrBodyNameAndLocation	10(e)(3)(iv)
actionDescription	10(e)(3)(v)
dispositionOfProceeding	10(e)(3)(vi)
sraRevokedSuspendedLicense	

DRAFT

Element Name	Printed Form TA-1
involved	10(e)(4)
sraRevokedSuspendedLicenseDetails	
entityName	10(e)(4)(i)
actionTitle	10(e)(4)(ii)
actionDate	10(e)(4)(iii)
courtOrBodyNameAndLocation	10(e)(4)(iv)
actionDescription	10(e)(4)(v)
dispositionOfProceeding	10(e)(4)(vi)
foreignAgency	
involved	10(f)(1)
foreignAgencyDetails	
entityName	10(f)(1)(i)
actionTitle	10(f)(1)(ii)
actionDate	10(f)(1)(iii)
courtOrBodyNameAndLocation	10(f)(1)(iv)
actionDescription	10(f)(1)(v)
dispositionOfProceeding	10(f)(1)(vi)
subjectOfProceedings	
involved	10(g)(1)
subjectOfProceedingsDetails	
entityName	10(g)(1)(i)
actionTitle	10(g)(1)(ii)
actionDate	10(g)(1)(iii)
courtOrBodyNameAndLocation	10(g)(1)(iv)
actionDescription	10(g)(1)(v)
dispositionOfProceeding	10(g)(1)(vi)
revokedBond	
involved	10(h)(1)
revokedBondDetails	
entityName	10(h)(1)(i)
actionTitle	10(h)(1)(ii)
actionDate	10(h)(1)(iii)
courtOrBodyNameAndLocation	10(h)(1)(iv)
actionDescription	10(h)(1)(v)
dispositionOfProceeding	10(h)(1)(vi)
unsatisfiedJudgementsOrLiens	
involved	10(i)(1)
unsatisfiedJudgementOrLiens	
entityName	10(i)(1)(i)
actionTitle	10(i)(1)(ii)
actionDate	10(i)(1)(iii)
courtOrBodyNameAndLocation	10(i)(1)(iv)
actionDescription	10(i)(1)(v)

DRAFT

Element Name	Printed Form TA-1
dispositionOfProceeding	10(i)(1)(vi)
signatureData	
signatureName	11(a)
signatureTitle	11(c)
signaturePhoneNumber	11(b)
signatureDate	11(d)
edgarDocument	
documentName	12(a)
documentType	12(b)
documentDescription	12(d)
documentMimeBlock	12(e)

Table 9-2: Mapping of 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)
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)

DRAFT

Element Name	Printed Form TA-2
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)
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	

DRAFT

Element Name	Printed Form TA-2
alwaysCompliant	9(a)
nonCompliantData	
numberMonthsNotCompliant	9(a)(i)
numberNoticeNonComplianceFiled	9(a)(ii)
purchaseRedemptionPricingShares	
total	10(a)
totalOtheThanReceiptOrderDate	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)
documentDescription	13(d)
documentMimeBlock	13(e)

Table 9-3: Mapping of Form TA-W XML Elements to Printed Form

Element Name	Printed Form TA-W
edgarSubmission	
schemaVersion	
submissionType	
testOrLive	1(c)
returnCopy	1(d)
contactData	
contactName	1(e)(i)
contactPhoneNumber	1(e)(ii)
contactEmailAddress	1(e)(iii)
notificationAddresses	
notificationEmailAddress	1(f)
formVersion	
filer	
cik	1(a)
ccc	1(b)
fileNumber	2
registrant	
entityName	3
activitiesConductedEntityName	4
businessAddress	
street1	5(a)
street2	5(b)
city	5(c)
stateOrCountryCode	5(d)
stateOrCountry	
zipCode	5(e)
withdrawalDescription	6
lastActionDate	7
futureTransferAgentFunctions	7(a)
subjectOfProceedings	
Involved	8
subjectOfProceedingsDetails	
entityName	8(a)(i)
actionTitle	8(a)(ii)
actionDate	8(a)(iii)
courtOrBodyNameAndLocation	8(a)(iv)
actionDescription	8(a)(v)
dispositionOfProceeding	8(a)(vi)
unsatisfiedJudgementsOrLiens	
Involved	9
unsatisfiedJudgementOrLiensDetails	
entityName	9(a)(i)

DRAFT

Element Name	Printed Form TA-W
actionTitle	9(a)(ii)
actionDate	9(a)(iii)
courtOrBodyNameAndLocation	9(a)(iv)
actionDescription	9(a)(v)
dispositionOfProceeding	9(a)(vi)
TA-WDetails	
TA-WSuccessors	
successorTransferAgents	10(a)
TA-WSuccessorDetails	
entityName	10(b)
TA-WSuccessorAddress	
street1	10(c)(i)
street2	10(c)(ii)
city	10(c)(iii)
stateOrCountryCode	10(c)(vi)
stateOrCountry	
zipCode	10(c)(v)
successorRegistered	10(d)
TA-WCustodians	
entityName	11(a)
TA-WCustodianAddress	
street1	11(b)(i)
street2	11(b)(ii)
city	11(b)(iii)
stateOrCountryCode	11(b)(vi)
stateOrCountry	
zipCode	11(b)(v)
TA-WLocations	
entityName	12(a)
TA-WLocationAddress	
street1	12(b)(i)
street2	12(b)(ii)
city	12(b)(iii)
stateOrCountryCode	12(b)(vi)
stateOrCountry	
zipCode	12(b)(v)
signatureData	
signatureName	13(a)
signatureTitle	13(c)
signaturePhoneNumber	13(b)
signatureDate	13(d)
edgarDocument	
documentName	14(a)

DRAFT

Element Name	Printed Form TA-W
documentType	14(b)
documentDescription	14(d)
documentMimeBlock	14(e)

10 APPENDIX C - ACRONYMS**Table 10-1: Acronyms**

Acronym	Description
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
JPG/JPEG	Joint Photographic Experts Group
ID	Identification
OCC	Comptroller of the Currency
OTS	Office of Thrift Supervision
PDF	Portable Document Format
MIME	Multipurpose Internet Mail Extensions
SEC	Securities and Exchange Commission
XFDL	Extensible Forms Description Language
XML	Extensible Markup Language
XSD	XML Schema Definition