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# **EDGAR<sup>®</sup>**

## **Form TA-2 XML Technical Specification**



Version 4.2.1  
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## **DRAFT**

### **DRAFT DISCLAIMER:**

This draft Form TA-2 XML Technical Specification, posted before Commission approval of potential regulatory changes in this release, is provided as a service to our filing community to assist filers, agents, and software developers prepare for potential changes the staff anticipates. Since this is a draft technical specification, the SEC retains the right to change any part of the technical specification before the new system release is made final. In addition, the final Form TA-2 XML Technical Specification is subject to Commission approval and may be revised before approval or not approved at all. Similarly, the posting of the draft technical specification does not indicate Commission approval of any pending proposed changes relating to the potential changes reflected in the draft technical specification. The changes outlined in this draft technical specification, if approved, are scheduled to take effect on September 15, 2008. The final version of the technical specification will be made available as and if approved by the Commission September 15, 2008, on the SEC's Public Website.

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## **1.0 INTRODUCTION**

### **1.1 Purpose**

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

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

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

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

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

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

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

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

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

All filer manuals are available on the SEC’s Public Website: <http://www.sec.gov>.

## **1.2 Summary of Changes:**

The following changes have been implemented:

- The data constraints for response fields displayed for Question 1(h) (Full Name of Registrant as stated in Question 3 of Form TA-2) and Question 3(a) (Registrants Appropriate Regulatory Agency) were corrected to be a single field and a picklist, respectively, when the "check to show blank form for printing" option is selected.
- The schema for TA-2 form is updated to show Question 11(a) (i) (Date of Database Search) as optional. Hence the date element accepts null or blank value. But the invalid date causes SUSPENSE error.
- The Name, Title, Description and Address field values of categories <registrantType>, <ServiceCompanyTransfer Agent> and <Signature Data> elements are validated for invalid ASCII characters. The function isASCII does the validation. The fields being validated are listed below
  - Question 1(f)(i) (Contact Name)
  - Question 1(h) (Full Name of Registrant as stated in Question 3 of Form TA-1)
  - Question 2(b)(i) (Name of Transfer Agent(s))
  - Question 2(d)(i) (Name of Transfer Agent(s))
  - Question 3(c) (If the answer to subsection (b) is no, provide an explanation)
  - Question 8(d) (If the answers to subsection (c) is no, provide an explanation for each failure to file)
  - Question 12(a) (Signature of Official responsible for Form)
  - Question 12(c) (Title of Signing Officer)
  - Question 13(a) (File Name)
  - Question 13(d) (Attachment Description)
- The format-2Submission.xsd schema file has been updated as a result of the modifications outlined above, and the schema version has been updated to 4.2.1.

## **2.0 EDGAR SCHEMA FILES**

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

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

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

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

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

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

### **2.1 Key Schema Indicators**

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

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

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

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

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

```

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

```

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

```

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

```

### 3.0 XML SCHEMAS

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

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

#### 3.1 Schema Table Column Definitions

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

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

Column Name	Description
Level	Depth of element in the XML node hierarchy.
Order	Order in which elements must appear.
Data Type	See Table 3-2 for a detailed description.
Element Name	Name of the XML element. This is case-sensitive
Max Length	Maximum length for string elements. EDGAR database stores up to this number of characters. "Unlimited" means no maximum length constraint for the element value.
Data Value Constraint	The paragraph that describes the data value constraint for the element. The values specified are case sensitive.
Max Occur	Maximum times a set of elements may be repeated. The maximum occurrence is 1, if not specified.
Applicability of Element	Indicates applicability of the element.  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



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

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

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

Data Type	Constraints										
boolean	Indicate with the word “true” or “false”. A boolean element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.										
date	Must be of the format YYYY-MM-DD. A date element accepts null or blank value. Invalid date entry is a schema violation and will cause a SUSPENSE error.										
string	<p>Should not be longer than the length specified in “Max Length” column of Table 3-3. Form TA-2 Schema Definitions.</p> <p>You must use special escape sequences to represent these four characters:</p> <table data-bbox="571 947 1383 1236"> <tr> <th data-bbox="571 947 740 989">Character</th><th data-bbox="740 947 1383 989">Escape Sequence</th></tr> <tr> <td data-bbox="571 989 740 1031">&lt;</td><td data-bbox="740 989 1383 1031">&amp;lt; or &amp;#60;</td></tr> <tr> <td data-bbox="571 1031 740 1094">&gt;</td><td data-bbox="740 1031 1383 1094">&amp;gt; or &amp;#62;</td></tr> <tr> <td data-bbox="571 1094 740 1167">&amp;</td><td data-bbox="740 1094 1383 1167">&amp;amp; or &amp;#38;</td></tr> <tr> <td data-bbox="571 1167 740 1236">“</td><td data-bbox="740 1167 1383 1236">&amp;quot; or &amp;#34;</td></tr> </table>	Character	Escape Sequence	<	&lt; or &#60;	>	&gt; or &#62;	&	&amp; or &#38;	“	&quot; or &#34;
Character	Escape Sequence										
<	&lt; or &#60;										
>	&gt; or &#62;										
&	&amp; or &#38;										
“	&quot; or &#34;										
NV	These elements cannot have a value. They are parent element nodes that contain other XML elements. These elements need to be present for proper validation.										

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## 3.3 Form TA-2 Schema Definition

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

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

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

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

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

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

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Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
3	8	NV	databaseSearch			Unlimited	CM(1)
4	1	Date	databaseSearchDate				O
4	2	Integer	numberLostAccountsSearched				CM(1)
4	3	Integer	numberAddressesFromSearch				CM(1)
3	9	Integer	numberLostAccountsRemittedToStates	999999999999			CM(1)
2	16	NV	signatureData				M
3	1	String	signatureName	255	isASCII		M
3	2	String	signatureTitle	60	isASCII		M
3	3	String	signaturePhoneNumber	20			M
3	4	Date	signatureDate	Date			M
2	17	NV	edgarDocument			610	O
3	1	String	documentName	32	isASCII		CM(1)
3	2	String	documentType	20	Document Type List		CM(1)
3	3	String	documentDescription	255	isASCII		O
3	4	String	documentMimeBlock	Unlimited			CM(1)

### 3.4 Data Value Constraints

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

#### 3.4.1 Submission Type List

Table 3-4, Form TA-2 Submission Types, lists the valid values for the <submissionType> element.

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

Value for Submission Type and Primary Document Type
TA-2
TA-2/A

#### 3.4.2 Document Type List

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

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

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

#### 3.4.3 Test Live List

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

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

Value
LIVE
TEST



### **3.4.4 Regulatory Agency List**

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

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

<b>Value</b>
OCC
FDIC
BGFRS
SEC

The following are descriptions for the regulatory agency codes:

OCC = Comptroller of the Currency

FDIC = Federal Deposit Insurance Corporation

BGFRS = Board of Governors of the Federal Reserve System

SEC = Securities and Exchange Commission

### **3.4.5 Function List**

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

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

<b>Value</b>
ALL
SOME
NONE

### **3.4.6 Amendment Filed List**

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

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

<b>Value</b>
YES
NO
NA

### **3.4.7 isASCII**

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

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

## **4.0 BASIC SUBMISSION CONSTRUCTION**

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

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

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

`<cik>1212121212</cik>`

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

`<cik>  
1212121212  
</cik>`

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

The following rules are specific to the submission file.

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

#### **4.2.1 Primary Document**

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

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

#### **4.2.2 Supporting Documents**

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

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

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

Document Type	Maximum Allowed
CORRESP	100
COVER	10
GRAPHIC	500

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

```
<edgarDocument>  
  <documentName>cover01.txt</documentName>  
  <documentType>COVER</documentType>  
  <documentDescription>Cover Document</documentDescription>  
  <documentMimeBlock>  
    PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PSAgIGNvdmVyIGxldHRl  
    ciAghIDBvaXZhdGUyY292ZXIgbGV0dGViIHRobXRyQWZG9lcYub3QgY29udGFp  
    biBhbmkgcVkbGlUzQ0kdGFncy4gVGhpcyBpcyBzdHJpY3RseSBhIHRlc3Qu  
    DQoNCj09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09  
    PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09DQo=  
  </documentMimeBlock>  
</edgarDocument>
```

## 5.0 ERROR REPORTING

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

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

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

ERROR CONDITION	SEVERITY
Elements not in sequence prescribed in Table 3-3. Form TA-2 Schema Definitions.	SUSPENSE
Inclusion of xml-stylesheet reference or any other Processing Instruction	SUSPENSE
Inclusion of an element not prescribed in the SCHEMA	SUSPENSE
String value exceeds maximum length constraint	SUSPENSE
Element constrained by a Choice List has an invalid value	SUSPENSE
Mandatory element has no value or an invalid value	SUSPENSE
Special character (&, <, >) not provided as escape sequence	SUSPENSE
Date or Boolean element does not have a value	SUSPENSE
Duplicate notification email address (duplicate values for element <notificationEmailAddress>)	WARNING
Invalid CIK	SUSPENSE
Invalid CIK/CCC combination	SUSPENSE
Improperly formatted email address	SUSPENSE
Inclusion of a PDF document	WARNING
Exceeding a “Max Occur” limit from Table 3-3. Form TA-2 Schema Definitions (e.g., value for element <notificationEmailAddress> contains more than 80 characters)	SUSPENSE
Invalid content in an enclosed ASCII document. Refer to the EDGAR Filer Manual for details.	SUSPENSE or WARNING
Invalid content in an enclosed HTML document. Refer to the EDGAR Filer Manual for details.	SUSPENSE or WARNING
Enclosed graphic document that is not referenced by an HTML document	SUSPENSE
Any XML SCHEMA violation not mentioned in previous table row	SUSPENSE
Sum of <securityHolderAccounts> elements do not equal to 100	SUSPENSE
Sum of <transMaintainMasterSecHolder> elements do not equal to 100	SUSPENSE
Sum of <transNotMaintMasterSecHolder> elements do not equal to 100	SUSPENSE
Sum of <notTransMaintMasterSecHolder> elements do not equal to 100	SUSPENSE
<fileNumber> starts with “084-“ and <regulatorAgency> is not SEC	SUSPENSE
<fileNumber> prefix is “085-“ and <fileNumber> sequence is between 10000 and 19999 and <regulatoryAgency> is not OCC	SUSPENSE

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

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

## **6.0 EXAMPLE FORM TA-2 SUBMISSION FILES**

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

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

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

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



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**APPENDIX A.**

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

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

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

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

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

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

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

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

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**APPENDIX B.**  
**LIST OF ACRONYMS**

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## APPENDIX B. LIST OF ACRONYMS

The following acronyms are used in this document.

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

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