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EDGAR®
Form TA-W XML Technical Specification

ELECTRONIC DATA GATHERING, ANALYSIS, AND RETRIEVAL

Version 1
TBD 2006

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This draft 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 specification, the SEC retains the right to change any part of the specification before the new system release is made final. Similarly, the posting of the draft specification does not indicate Commission approval of any pending proposed changes relating to the potential changes reflected in the draft specification. The changes outlined in this draft specification, if approved, are scheduled to take effect on a date to be determined (TBD). The final version of the specification will be made available as and if approved by the Commission on a date TBD 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-W submission types. Table 1-1, Form TA-W Submission Types, provides a description of the Form TA-W submission types.

Table 1-1. Form TA-W Submission Types

Submission Type	Description
TA-W	Notice of withdrawal from registration as a transfer agent.

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

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

For specific information about the data content of the Form TA-W submission types, refer to SEC Filing Rule "Electronic Filing of Transfer Agent Forms."

The TA-W 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.

2.0   EDGAR SCHEMA FILES

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

Table 2-1. Form TA-W Schema Files

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

The schema files define the valid data elements for a Form TA-W 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-W, highlights the schema language features used most heavily in the EDGAR Form TA-W submission schema files.

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

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-W 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-W Schema Definitions, provides the schema definition for both Form TA-W 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 way, the

disseminated document will still conform to this specification.

CM(1) = The element is mandatory if its parent element is included.

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.

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.

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.

3.2 Data Type Constraints

Table 3−2 describes the data types specified the "Data Type" column of Table 3-3.

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 may not have a null or blank value. This is a schema violation and will cause a SUSPENSE 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. You must use special escape sequences to represent these four characters: **Character / Escape Sequence** table below
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.

Character	Escape Sequence
<	< or <
>	> or >
&	& or &
"	" or "

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3.3   Form TA-W Schema Definition

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

Table 3-3. Form TA-W 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				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	Unlimited			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			M
2	11	NV	engagedServiceCompany				M
3	1	String	function		Function List		M
3	2	NV	serviceCompanyTransferAgent			Unlimited	CM(2)
4	1	String	entityName	150			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			CM(1)
4	2	String	fileNumber	14			CM(1)
2	13	String	regulatoryAgency	Unlimited	Regulatory		M

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
					Agency List		
2	14	NV	inaccurateIncompleteMisleading				M
3	1	String	amendmentFiled	Unlimited	Amendment Filed List		M
3	2	String	additionalInformation	255			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	securtityHolderAccounts				CM(1)
4	1	Integer	equitySecurity	100			CM(1)
4	2	Integer	debtSecurity	100			CM(1)
4	3	Integer	openEndInvestmentCompany	100			CM(1)
4	4	Integer	limitedPartnership	100			CM(1)
4	5	Integer	municipalDebt	100			CM(1)
4	6	Integer	Other	100			CM(1)
3	7	NV	securityHolderData				CM(6)
4	1	NV	transMaintainMasterSecHolder				CM(1)
5	1	Integer	equitySecurity	100			CM(1)
5	2	Integer	debtSecurity	100			CM(1)
5	3	Integer	openEndInvestmentCompany	100			CM(1)
5	4	Integer	limitedPartnership	100			CM(1)
5	5	Integer	municipalDebt	100			CM(1)
5	6	Integer	Other	100			CM(1)
4	2	NV	transNotMaintMasterSecHolder				CM(1)
5	1	Integer	equitySecurity	100			CM(1)
5	2	Integer	debtSecurity	100			CM(1)
5	3	Integer	openEndInvestmentCompany	100			CM(1)
5	4	Integer	limitedPartnership	100			CM(1)
5	5	Integer	municipalDebt	100			CM(1)
5	6	Integer	Other	100			CM(1)
4	3	NV	notTransMaintMasterSecHolder				CM(1)
5	1	Integer	equitySecurity	100			CM(1)
5	2	Integer	debtSecurity	100			CM(1)
5	3	Integer	openEndInvestmentCompany	100			CM(1)
5	4	Integer	limitedPartnership	100			CM(1)
5	5	Integer	municipalDebt	100			CM(1)
5	6	Integer	Other	100			CM(1)
4	4	NV	dividendReinvDirectPurchasePlan				CM(1)

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
5	1	Integer	numberIssues	999999999999			CM(1)
4	5	NV	directRegistrationSystem				CM(1)
5	1	Integer	numberIssues	999999999999			CM(1)
4	6	NV	dividendAndInterest				CM(1)
5	1	Integer	numberIssues	999999999999			CM(1)
5	2	Float	amountIssues	999999999999.99			CM(1)
4	7	NV	priorAgent				CM(1)
5	1	Integer	numberIssues	999999999999			CM(1)
5	2	Float	amountIssues	999999999999.99			CM(1)
4	8	NV	currentAgent				CM(1)
5	1	Integer	numberIssues	999999999999			CM(1)
5	2	Float	amountIssues	999999999999.99			CM(1)
4	9	NV	quarterlyReportsRegardingBuyIns				CM(1)
5	1	Integer	numberFiled	999999999999			CM(1)
5	2	Boolean	fileAll				CM(7)
5	3	String	additionalInformation	255			CM(8)
4	10	NV	turnaroundCompliant				CM(1)
5	1	Boolean	alwaysCompliant				CM(1)
5	2	NV	nonCompliantData				CM(9)
6	1	Integer	numberMonthsNotCompliant	999999999999			CM(1)
6	2	Integer	numberNoticeNonComplianceFiled	999999999999			CM(1)
4	11	NV	purchaseRedemptionPricingShares				CM(1)
5	1	Integer	total	999999999999			CM(1)
5	2	Integer	totalOtheThanReceiptOrderDate	999999999999			CM(1)
3	8	NV	databaseSearch			Unlimited	CM(1)
4	1	Date	databaseSearchDate				CM(1)
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			M
3	2	String	signatureTitle	60			M
3	3	String	signaturePhoneNumber	20			M
3	4	Date	signatureDate	Date			M
2	17	NV	edgarDocument			610	O
3	1	String	documentName	32			CM(1)
3	2	String	documentType	20			CM(1)

3.3.1 D

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
					oc u m en t T y pe Li st Document Type List		
3	3	String	documentDescription	255			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-W Schema Definitions.

3.4.1   Submission Type List

Table 3-4, Form TA-W 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-W

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   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.

4.0   BASIC SUBMISSION CONSTRUCTION

4.1   General Formatting of XML Files

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

Table 4-1. Supporting Document Maximum Allowed

Document Type	Maximum Allowed
CORRESP	100
COVER	10
GRAPHIC	500

5. The names of attached document files must follow the EDGAR file naming convention:
   - File names cannot exceed 32 characters, including the file extension.
   - Valid characters are lowercase letters, digits 0-9, up to one underscore, up to one hyphen, and up to one period.
   - First character must be a letter.
   - Spaces are not allowed.
   - File name must have a file type extension.
   - File extension of the primary document must be .xml.
   - File extension of all other documents be .txt, .htm, .jpg, or .gif

6. The <documentDescription> is optional, but all other elements must be present and must have a value.

7. The <documentMimeBlock> element must contain a MIME encoded document. You can use any standard 64-character set based MIME encoding algorithm to create a MIME document.

8. The XML for an enclosed supporting document looks like this:

```
<edgarDocument>
    <documentName>cover01.txt</documentName>
    <documentType>COVER</documentType>
    <documentDescription>Cover Document</documentDescription>
    <documentMimeBlock>
        PT09PT09PT09PT09PT09PT09PT09PT09PT09PSAgIGNvdmVyIGxldHRl
        ciAgID09PT09PT09PT09PT09PT09PT09PT09PT0NCg0KVGhpcyBp
        cyBhIHByaXZhdGUgY292ZXIgbGV0dGVyIHRoYXQgZG9lcyBub3QgY29udGFp
        biBhbnkgcmVkbGluZQ0KdGFncy4gVGhpcyBpcyBzdHJpY3RseSBhIHRlc3Qu
        DQoNCj09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09
        PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09DQo=
    </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-W 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-W 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-W 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

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-W SUBMISSION FILES

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

Table 6-1. Form TA-W Example Submission Files

Submission Type	Description	Submission File
TA-W	Submission with no enclosed documents.	TA-W_1.xml
TA-W	Submission with enclosed documents.	TA-W_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.

APPENDIX A.

STATE AND COUNTRY CODES

APPENDIX A.
STATE AND COUNTRY CODES

Table A-1, State or Country Code Value List, lists the valid values for the <stateOrCountryCode> element. These codes are a combination of values for the 50 U.S. states, the Canadian Provinces, and other countries and territories.

Table A-1. State or Country Code Value List

Code	State or 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
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

Code	State or Country Name
OH	OHIO
OK	OKLAHOMA
OR	OREGON
PA	PENNSYLVANIA
RI	RHODE ISLAND
SC	SOUTH CAROLINA
SD	SOUTH DAKOTA
TN	TENNESSEE
TX	TEXAS
X1	UNITED STATES
UT	UTAH
VT	VERMONT
VA	VIRGINIA
WA	WASHINGTON
WV	WEST VIRGINIA
WI	WISCONSIN
WY	WYOMING
A0	ALBERTA, CANADA
A1	BRITISH COLUMBIA, CANADA
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
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

Code	State or 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

Code	State or Country Name
2F	EAST TIMOR
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
GU	GUAM
J8	GUATEMALA
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
L3	ISRAEL

Code	State or Country Name
L6	ITALY
L8	JAMAICA
M0	JAPAN
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
P1	MONTSERRAT
P2	MOROCCO
P3	MOZAMBIQUE
E1	MYANMAR
T6	NAMIBIA
P5	NAURU

Code	State or Country Name
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
PR	PUERTO RICO
S3	QATAR
S4	REUNION
S5	ROMANIA
1Z	RUSSIAN FEDERATION
S6	RWANDA
U8	SAINT HELENA
U7	SAINT KITTS AND NEVIS
U9	SAINT LUCIA
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
T2	SEYCHELLES
T8	SIERRA LEONE
U0	SINGAPORE
2B	SLOVAKIA

Code	State or Country Name
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
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
VI	VIRGIN ISLANDS, U.S.
X8	WALLIS AND FUTUNA
U5	WESTERN SAHARA
T7	YEMEN
Y2	YUGOSLAVIA
Y4	ZAMBIA

Code	State or Country Name
Y5	ZIMBABWE
XX	UNKNOWN

APPENDIX B.

MAPPING OF FORM TA-W XML ELEMENTS TO PRINTED FORM

APPENDIX B.
MAPPING OF FORM TA-W XML ELEMENTS TO PRINTED FORM

Table B-1, Mapping for Form TA-W 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-W Schema Definitions, is repeated here for completeness.

Table B-1. Mapping for 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
activitiesConductedEnityName	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

Element Name	Printed Form TA-W
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)
actionTitle	9(a)(ii)
actionDate	9(a)(iii)
courtOrBodyNameAndLocation	9(a)(iv)
actionDescription	9(a)(v)
dispositionOfProceeding	9(a)(vi)
tawDetails	
tawSuccessors	
successorTransferAgents	10(a)
tawSuccessorDetails	
entityName	10(b)
tawSuccessorAddress	
street1	10(c)(i)
street2	10(c)(ii)
city	10(c)(iii)
stateOrCountryCode	10(c)(vi)
stateOrCountry	
zipCode	10(c)(v)
successorRegistered	10(d)
tawCustodians	
entityName	11(a)
tawCustodianAddress	
street1	11(b)(i)
street2	11(b)(ii)
city	11(b)(iii)
stateOrCountryCode	11(b)(vi)
stateOrCountry	
zipCode	11(b)(v)
tawLocations	
entityName	12(a)
tawLocationAddress	
street1	12(b)(i)
street2	12(b)(ii)

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

APPENDIX C.

LIST OF ACRONYMS

APPENDIX C.
LIST OF ACRONYMS

The following acronyms are used in this document.

Table C-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