EDGAR®
Form TA-1 XML Technical Specification

ELECTRONIC DATA GATHERING, ANALYSIS, AND RETRIEVAL

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1. INTRODUCTION

1.1 Purpose

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.

Submission Type	Description
TA-1	Uniform form for registration as a transfer agent.
TA-1/A	Amendment of a previous Form TA-1.

Table 1-1: Form TA-1 Submission Types

This specification provides a basis for creating the Form TA-1 XML filings. The expectation is that software developers, working on behalf of filers, will construct software that will generate a Form TA-1 XML filing that can be successfully parsed by the EDGAR system.

The Form TA-1 submission file must conform to the EDGAR Form TA-1 Submission Taxonomy. This taxonomy is comprised of a collection of XML Schema Definition (.xsd) files that define the structures of EDGAR Form TA-1 submissions.

For specific information about the data content of the Form TA-1 submission types, refer to SEC Filing Rule "Electronic Filing of Transfer Agent Forms" and associated Release Number 34-54864.

The TA-1 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).

In order to use the EDGAR OnlineForms/XML Website, you must register with the SEC as an electronic filer. 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 XML Submissions section of the EDGAR Filer Manual, Volume II (EDGAR Filing).

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

1.2 Summary of Changes

The following changes have been implemented:

- The XML stylesheet for Form TA-1 (TA-1_X04.xml) has been modified to remove the OMB Expiration Date. The version of the schema (formTA-1Submission.xsd.xml) has also been updated in support of this change. There are no changes to the schema other than the version number.

On September 14, 2015, EDGAR Release 15.3 introduced the following change:

- Made the following changes to the document to make it 508 compliant:

    o Some of the column headers were not sufficient for JAWS to announce when it was entering data cells in the JAWS "Tables" mode. Enabled the "Repeat as header row at the top of each page" option to resolve the issue.

    o Some of the headings in the document did not follow a hierarchy. Corrected the issue by setting the hierarchical order. For example, Heading Level 1, Heading Level 2, Heading Level 3; or Caption or Body text for tables.

    o Lists, and the numbering of list items, were not sufficient for JAWS to identify and read. Mapped all the contents which appeared to be a list using the Numbering or Bullet list option.

    o Documents that contained scanned images did not have alternative text. Added ALT text to all the images to resolve the issue.

    o Some of the tables in the document spanned across multiple pages with no repeated header rows, which was not sufficient for JAWS to announce the column heading of that cell in the table. Enabled the "Allow row to break across pages" and "Repeat as header row at the top of each page" options to resolve the issue.

    o Hyperlinks were not sufficient for JAWS to announce and navigate appropriately. Enabled hyperlinks and ensured JAWS read and navigated to the appropriate URLs.

2. EDGAR SCHEMA FILES

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

XML Schema File	Scope of File
edgarSubmissionCommon.xsd.xml	Defines the submission fields that are common in EDGAR submissions.
stateCodes.xsd.xml	Defines the state code element.
filedByCompany.xsd.xml	Defines the filed by company elements.
formTA-1Submission.xsd.xml	Defines the elements of the Form TA-1 submission.

Table 2-1: Form TA-1 Schema Files

The schema files define the valid data elements for a Form TA-1 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-1 highlights the schema language features used most heavily in the EDGAR Form TA-1 submission schema files.

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 3.3.
<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.

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

This section summarizes the restrictions and constraints imposed on the content of the two Form TA-1 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-1 Schema Definitions provides the schema definition for both Form TA-1 submission types. Table 3-1: Column Definitions for Table 3-3 describes the table columns in Table 3-3, and Table 3-2. Data Type Definitions provides information regarding the data types listed in 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.

Column Name	Description
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. 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). O(3) = If <registrantType> is Not Applicable then the element is optional. CM(1) = The element is mandatory if its parent element is included. CM(2) = If <submissionType> is TA-1/A, then the element becomes mandatory. CM(3) = If <differentMailingAddress> is true, then the element becomes mandatory. CM(4) = If <conductBusinessInOtherLocations> is true, then at least one element is mandatory. CM(5) = If <engagedServiceCompany> is true, then at least one element is mandatory. CM(6) = If <engagedAsServiceCompany> is true, then at least one element is mandatory. CM(7) = If <registrantType> is Other, then the element becomes mandatory. CM(8) = If <registrantType> is Corporation or Partnership, then at least one element is mandatory. Element is not applicable when <registrantType> is SolePrioprietorship or Other. 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. 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. 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. 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.

Table 3-1: Column Definitions for Table 3-3

3.2 Data Type Constraints

Table 3-2: Data Type Definitions describes the data types specified in the "Data Type" column of Table 3-3.

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: Form TA-1 Schema Definitions. You must use special escape sequences to represent these four characters: | Character	Escape Sequence
<	< or <
>	> or >
&	& or &
"	" 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 "&". 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.

Table 3-2: Data Type Definitions

3.3 Form TA-1 Schema Definition

Table 3-3: Form TA-1 Schema Definitions provides the schema definitions for the Form TA-1 submission types.

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		Submission Type List		M
2	3	String	testOrLive		Test Live List		M
2	4	Boolean	returnCopy				O
2	5	NV	contactData				O
3	1	String	contactName	30			O
3	2	String	contactPhoneNumber	20			O
3	3	String	contactEmailAddress	80			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			CM(2)
2	9	String	regulatoryAgency		Regulatory Agency List		M
2	10	NV	registrant				M
3	1	String	entityName	150			M
3	2	String	previousEntityname	150			O(2)
3	3	String	finsNumber	6			M
3	4	NV	principalOfficeAddress				M

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
4	1	String	street1	40			M
4	2	String	street2	40			O
4	3	String	city	30			M
4	4	String	stateOrCountryCode		State Code List		M
4	5	String	stateOrCountry	50			NA
4	6	String	zipCode	10			O
3	5	Boolean	differentMailingAddress				M
3	6	NV	mailingAddress				CM(3)
4	1	String	street1	40			CM(1)
4	2	String	street2	40			O
4	3	String	city	30			CM(1)
4	4	String	stateOrCountryCode		State Code List		CM(1)
4	5	String	stateOrCountry	50			NA
4	6	String	zipCode	10			O
3	7	String	telephoneNumber	20			M
3	8	Boolean	conductBusinessInOtherLocations		boolean		M
3	9	NV	otherBusinessLocation			Unlimited	CM(4)
4	1	String	street1	40			CM(1)
4	2	String	street2	40			O
4	3	String	city	30			CM(1)
4	4	String	stateOrCountryCode		State Code List		CM(1)
4	5	String	stateOrCountry	50			NA
4	6	String	zipCode	10			O
3	10	Boolean	selfTransferAgent		boolean		M
3	11	Boolean	engagedServiceCompany		boolean		M
3	12	NV	serviceCompany			Unlimited	CM(5)

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
4	1	String	entityName	150			CM(1)
4	2	String	fileNumber	14			CM(1)
4	3	NV	serviceCompanyAddress				CM(1)
5	1	String	street1	40			CM(1)
5	2	String	street2	40			O
5	3	String	city	30			CM(1)
5	4	String	stateOrCountryCode		State Code List		CM(1)
5	5	String	stateOrCountry	50			NA
5	6	String	zipCode	10			O
3	13	Boolean	engagedAsServiceCompany		boolean		M
3	14	NV	asServiceCompany			Unlimited	CM(6)
4	1	String	entityName	150			CM(1)
4	2	String	fileNumber	14			CM(1)
4	3	NV	asServiceCompanyAddress				CM(1)
5	1	String	street1	40			CM(1)
5	2	String	street2	40			O
5	3	String	city	30			CM(1)
5	4	String	stateOrCountryCode		State Code List		CM(1)
5	5	String	stateOrCountry	50			NA
5	6	String	zipCode	10			O
3	15	String	registrantType		Registrant List		M
3	16	String	registrantTypeDescription	30			CM(7)
3	17	NV	corporationPartnershipData			Unlimited	CM(8)
4	1	String	entityName	150			CM(1)
4	2	Date	relationshipStartDate		date		CM(1)
4	3	String	titleOrStatus	40			CM(1)

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
4	4	String	ownershipCode		Ownership Code List		CM(1)
4	5	Boolean	controlPerson		boolean		CM(1)
4	6	Date	relationshipEndDate		date		O(2)
3	18	NV	soleProprietorshipOtherData			Unlimited	CM(9)
4	1	String	entityName	150			CM(1)
4	2	Date	relationshipStartDate		date		CM(1)
4	3	String	titleOrStatus	40			CM(1)
4	4	String	authorityDescription	40			CM(1)
4	5	Date	relationshipEndDate		date		O(2)
2	11	NV	otherControlManagement				M
3	1	Boolean	otherEntity		boolean		O(3)
3	2	NV	otherControlManagementDetails			Unlimited	CM(10)
4	1	String	entityName	150			CM(1)
4	2	String	agreementDescription	4000			CM(1)
2	12	NV	otherControlFinance				M
3	1	Boolean	otherEntity		boolean		O(3)
3	2	NV	otherControlFinanceDetails			Unlimited	CM(10)
4	1	String	entityName	150			CM(1)
4	2	String	agreementDescription	4000			CM(1)
2	13	NV	felonyOrMisdemeanor				M
3	1	Boolean	involved		boolean		O(3)
3	2	NV	felonyOrMisdemeanorDetails			Unlimited	CM(11)
4	1	String	entityName	150			CM(1)
4	2	String	actionTitle	80			CM(1)
4	3	Date	actionDate		date		CM(1)
4	4	String	courtOrBodyNameAndLocation	80			CM(1)

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
4	5	String	actionDescription	4000			CM(1)
4	6	String	dispositionOfProceeding	255			CM(1)
2	14	NV	otherFelony				M
3	1	Boolean	involved		boolean		O(3)
3	2	NV	otherFelonyDetails			Unlimited	CM(11)
4	1	String	entityName	150			CM(1)
4	2	String	actionTitle	80			CM(1)
4	3	Date	actionDate		date		CM(1)
4	4	String	courtOrBodyNameAndLocation	80			CM(1)
4	5	String	actionDescription	4000			CM(1)
4	6	String	dispositionOfProceeding	255			CM(1)
2	15	NV	enjoinedInvestmentRelatedActivity				M
3	1	Boolean	involved		boolean		O(3)
3	2	NV	enjoinedInvestmentRelatedActivityDetails			Unlimited	CM(11)
4	1	String	entityName	150			CM(1)
4	2	String	actionTitle	80			CM(1)
4	3	Date	actionDate		date		CM(1)
4	4	String	courtOrBodyNameAndLocation	80			CM(1)
4	5	String	actionDescription	4000			CM(1)
4	6	String	dispositionOfProceeding	255			CM(1)
2	16	NV	violationOfInvestmentRelatedRegulation				M
3	1	Boolean	involved		boolean		O(3)
3	2	NV	violationOfInvestmentRelatedRegulationDetails			Unlimited	CM(11)
4	1	String	entityName	150			CM(1)
4	2	String	actionTitle	80			CM(1)
4	3	Date	actionDate		date		CM(1)

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
4	4	String	courtOrBodyNameAndLocation	80			CM(1)
4	5	String	actionDescription	4000			CM(1)
4	6	String	dispositionOfProceeding	255			CM(1)
2	17	NV	falseStatementOrOmission				M
3	1	Boolean	involved		boolean		O(3)
3	2	NV	falseStatementOrOmissionDetails			Unlimited	CM(11)
4	1	String	entityName	150			CM(1)
4	2	String	actionTitle	80			CM(1)
4	3	Date	actionDate		date		CM(1)
4	4	String	courtOrBodyNameAndLocation	80			CM(1)
4	5	String	actionDescription	4000			CM(1)
4	6	String	dispositionOfProceeding	255			CM(1)
2	18	NV	violationOfRegulations				M
3	1	Boolean	involved		boolean		O(3)
3	2	NV	violationOfRegulationsDetails			Unlimited	CM(11)
4	1	String	entityName	150			CM(1)
4	2	String	actionTitle	80			CM(1)
4	3	Date	actionDate		date		CM(1)
4	4	String	courtOrBodyNameAndLocation	80			CM(1)
4	5	String	actionDescription	4000			CM(1)
4	6	String	dispositionOfProceeding	255			CM(1)
2	19	NV	authorizationDeniedOrSuspended				M
3	1	Boolean	involved		boolean		O(3)
3	2	NV	authorizationDeniedOrSuspendedDetails			Unlimited	CM(11)
4	1	String	entityName	150			CM(1)
4	2	String	actionTitle	80			CM(1)

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
4	3	Date	actionDate		date		CM(1)
4	4	String	courtOrBodyNameAndLocation	80			CM(1)
4	5	String	actionDescription	4000			CM(1)
4	6	String	dispositionOfProceeding	255			CM(1)
2	20	NV	registrationDeniedOrSuspended				M
3	1	Boolean	involved		boolean		O(3)
3	2	NV	registrationDeniedOrSuspendedDetails			Unlimited	CM(11)
4	1	String	entityName	150			CM(1)
4	2	String	actionTitle	80			CM(1)
4	3	Date	actionDate		date		CM(1)
4	4	String	courtOrBodyNameAndLocation	80			CM(1)
4	5	String	actionDescription	4000			CM(1)
4	6	String	dispositionOfProceeding	255			CM(1)
2	21	NV	federalOrStateRegulatoryAgency				M
3	1	NV	fsrFalseStatementOrOmission				M
4	1	Boolean	involved		boolean		O(3)
4	2	NV	fsrFalseStatementOrOmissionDetails			Unlimited	CM(11)
5	1	String	entityName	150			CM(1)
5	2	String	actionTitle	80			CM(1)
5	3	Date	actionDate		date		CM(1)
5	4	String	courtOrBodyNameAndLocation	80			CM(1)
5	5	String	actionDescription	4000			CM(1)
5	6	String	dispositionOfProceeding	255			CM(1)
3	2	NV	fsrViolationOfInvestmentRelatedRegulation				M
4	1	Boolean	involved		boolean		O(3)

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
4	2	NV	fsrViolationOfInvestmentRelatedRegulationDetails			Unlimited	CM(11)
5	1	String	entityName	150			CM(1)
5	2	String	actionTitle	80			CM(1)
5	3	Date	actionDate		date		CM(1)
5	4	String	courtOrBodyNameAndLocation	80			CM(1)
5	5	String	actionDescription	4000			CM(1)
5	6	String	dispositionOfProceeding	255			CM(1)
3	3	NV	fsrAuthorizationDeniedOrSuspended				M
4	1	Boolean	involved		boolean		O(3)
4	2	NV	fsrAuthorizationDeniedOrSuspendedDetails			Unlimited	CM(11)
5	1	String	entityName	150			CM(1)
5	2	String	actionTitle	80			CM(1)
5	3	Date	actionDate		date		CM(1)
5	4	String	courtOrBodyNameAndLocation	80			CM(1)
5	5	String	actionDescription	4000			CM(1)
5	6	String	dispositionOfProceeding	255			CM(1)
3	4	NV	fsrFoundOrderAgainstApplicant				M
4	1	Boolean	involved		boolean		O(3)
4	2	NV	fsrFoundOrderAgainstApplicantDetails			Unlimited	CM(11)
5	1	String	entityName	150			CM(1)
5	2	String	actionTitle	80			CM(1)
5	3	Date	actionDate		date		CM(1)
5	4	String	courtOrBodyNameAndLocation	80			CM(1)
5	5	String	actionDescription	4000			CM(1)
5	6	String	dispositionOfProceeding	255			CM(1)

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
3	5	NV	fsrRegistrationDeniedOrSuspended				M
4	1	Boolean	involved		boolean		O(3)
4	2	NV	fsrRegistrationDeniedOrSuspendedDetails			Unlimited	CM(11)
5	1	String	entityName	150			CM(1)
5	2	String	actionTitle	80			CM(1)
5	3	Date	actionDate		date		CM(1)
5	4	String	courtOrBodyNameAndLocation	80			CM(1)
5	5	String	actionDescription	4000			CM(1)
5	6	String	dispositionOfProceeding	255			CM(1)
3	6	NV	fsrRevokedSuspendedLicense				M
4	1	Boolean	involved		boolean		O(3)
4	2	NV	fsrRevokedSuspendedLicenseDetails			Unlimited	CM(11)
5	1	String	entityName	150			CM(1)
5	2	String	actionTitle	80			CM(1)
5	3	Date	actionDate		date		CM(1)
5	4	String	courtOrBodyNameAndLocation	80			CM(1)
5	5	String	actionDescription	4000			CM(1)
5	6	String	dispositionOfProceeding	255			CM(1)
2	22	NV	selfRegulatoryAgency				M
3	1	NV	sraFalseStatementOrOmission				M
4	1	Boolean	involved		boolean		O(3)
4	2	NV	sraFalseStatementOrOmissionDetails			Unlimited	CM(11)
5	1	String	entityName	150			CM(1)
5	2	String	actionTitle	80			CM(1)
5	3	Date	actionDate		date		CM(1)
5	4	String	courtOrBodyNameAndLocation	80			CM(1)

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
5	5	String	actionDescription	4000			CM(1)
5	6	String	dispositionOfProceeding	255			CM(1)
3	2	NV	sraViolationOfRules				M
4	1	Boolean	involved		boolean		O(3)
4	2	NV	sraViolationOfRulesDetails			Unlimited	CM(11)
5	1	String	entityName	150			CM(1)
5	2	String	actionTitle	80			CM(1)
5	3	Date	actionDate		date		CM(1)
5	4	String	courtOrBodyNameAndLocation	80			CM(1)
5	5	String	actionDescription	4000			CM(1)
5	6	String	dispositionOfProceeding	255			CM(1)
3	3	NV	sraAuthorizationDeniedOrSuspended				M
4	1	Boolean	involved		boolean		O(3)
4	2	NV	sraAuthorizationDeniedOrSuspendedDetails			Unlimited	CM(11)
5	1	String	entityName	150			CM(1)
5	2	String	actionTitle	80			CM(1)
5	3	Date	actionDate		date		CM(1)
5	4	String	courtOrBodyNameAndLocation	80			CM(1)
5	5	String	actionDescription	4000			CM(1)
5	6	String	dispositionOfProceeding	255			CM(1)
3	4	NV	sraRevokedSuspendedLicense				M
4	1	Boolean	involved		boolean		O(3)
4	2	NV	sraRevokedSuspendedLicenseDetails			Unlimited	CM(11)
5	1	String	entityName	150			CM(1)
5	2	String	actionTitle	80			CM(1)
5	3	Date	actionDate		date		CM(1)

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
5	4	String	courtOrBodyNameAndLocation	80			CM(1)
5	5	String	actionDescription	4000			CM(1)
5	6	String	dispositionOfProceeding	255			CM(1)
2	23	NV	foreignAgency				M
3	1	Boolean	involved		boolean		O(3)
3	2	NV	foreignAgencyDetails			Unlimited	CM(11)
4	1	String	entityName	150			CM(1)
4	2	String	actionTitle	80			CM(1)
4	3	Date	actionDate		date		CM(1)
4	4	String	courtOrBodyNameAndLocation	80			CM(1)
4	5	String	actionDescription	4000			CM(1)
4	6	String	dispositionOfProceeding	255			CM(1)
2	24	NV	subjectOfProceedings				M
3	1	Boolean	involved		boolean		O(3)
3	2	NV	subjectOfProceedingsDetails			Unlimited	CM(11)
4	1	String	entityName	150			CM(1)
4	2	String	actionTitle	80			CM(1)
4	3	Date	actionDate		date		CM(1)
4	4	String	courtOrBodyNameAndLocation	80			CM(1)
4	5	String	actionDescription	4000			CM(1)
4	6	String	dispositionOfProceeding	255			CM(1)
2	25	NV	revokedBond				M
3	1	Boolean	involved		boolean		O(3)
3	2	NV	revokedBondDetails			Unlimited	CM(11)
4	1	String	entityName	150			CM(1)
4	2	String	actionTitle	80			CM(1)

Level	Order	Data Type	Element Name	Max Length	Data Value Constraint	Max Occur	Applicability of Element
4	3	Date	actionDate		date		CM(1)
4	4	String	courtOrBodyNameAndLocation	80			CM(1)
4	5	String	actionDescription	4000			CM(1)
4	6	String	dispositionOfProceeding	255			CM(1)
2	26	NV	unsatisfiedJudgementsOrLiens				M
3	1	Boolean	involved		boolean		O(3)
3	2	NV	unsatisfiedJudgementOrLiens			Unlimited	CM(11)
4	1	String	entityName	150			CM(1)
4	2	String	actionTitle	80			CM(1)
4	3	Date	actionDate		date		CM(1)
4	4	String	courtOrBodyNameAndLocation	80			CM(1)
4	5	String	actionDescription	4000			CM(1)
4	6	String	dispositionOfProceeding	255			CM(1)
2	27	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	28	NV	edgarDocument			610	O
3	1	string	documentName	32			CM(1)
3	2	string	documentType	20	Document Type List		CM(1)
3	3	string	documentDescription	255			O
3	4	string	documentMimeBlock	unlimited			CM(1)

Table 3-3: Form TA-1 Schema Definitions

3.4 Data Value Constraints

This section describes the data value constraints for applicable elements in Table 3-3: Form TA-1 Schema Definitions.

3.4.1 Submission Type List

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

Value for Submission Type and Primary Document Type
TA-1
TA-1/A

Table 3-4: Submission Type List Values

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.

Value for Supporting Documents
COVER
CORRESP
GRAPHIC

Table 3-5: Supporting Document Type List Values

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 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.

3.4.4 Test Live List

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

Value
LIVE
TEST

Table 3-6: Test or Live List Values

3.4.5 Regulatory Agency List

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

Value
SEC

Table 3-7: Regulatory Agency List Values

3.4.6 Registrant List

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

Value
Corporation
Partnership
Sole Proprietorship
Other
Not Applicable

Table 3-8: Registrant List Values

3.4.7 Ownership Code List

Table 3-9: Ownership Code List Values lists the valid values for the <ownershipCode> element.

Value
NA
A
B
C
D
E

Table 3-9: Ownership Code List Values

The following are descriptions for the ownership codes:

NA = 0 – 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%

4. BASIC SUBMISSION CONSTRUCTION

4.1   General Formatting of XML Files

The following rules apply to the submission file of an XML-format TA-1 submission:

1. The filename must end with an ".xml" extension.

2. The file cannot be compressed in any fashion.

3. We strongly recommend you format the submission as shown in the provided sample files. This makes the raw XML files easier to view in a text editor. The submission of ASCII XML files with no line breaks, while legal XML, is strongly discouraged. XML filings are required to be posted on public websites. While usually formatted via style sheets, the raw XML is frequently available for inspection and should be readable by a person. A single line XML file is not viewer-friendly and should be avoided.

4. The <?xml version="1.0"?> declaration line is optional; however, if it is included it must be the first line in the file. Any text entered before this line, even white space, will cause a SUSPENSE error. The version value must be "1.0." Any other value for version will cause a SUSPENSE error.

5. For an XML element with a data value, keep the begin tag, data value, and end tag on the same line of text. Otherwise, you could get a schema violation error. As an example, for a filer ID value which cannot be longer than 10 characters, this specification is correct:

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

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

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

4.2 XML Submission File Rules

The following rules are specific to the submission file:

1. The order of any <notificationEmailAddress> element in the <notificationAddresses> element block does not matter. EDGAR will generate a WARNING for any duplicate values in the <notificationEmailAddress> element.

2. The submission file must conform to the formTA-1Submission.xsd XML schema file. Any violation of this schema will result in the suspension of the filing.

4.2.1 Primary Document

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

1. The <schemaVersion> element should not be included. If you do provide a value for this element, EDGAR will generate a WARNING and discard the value and replace it with the correct value.

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.

4.2.2 Supporting Documents

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

1. The submission file may also contain additional supporting documents. The additional support documents are specified using the <edgarDocument> element block. The order of the <edgarDocument> specifications does not matter, e.g., CORRESP documents may appear before the COVER document, and vice versa.

2. Allowable file extensions are .txt, .htm, .jpg, and .gif.

   Note: The two Form TA-1 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: Supporting Document Maximum Allowed.

Document Type	Maximum Allowed
CORRESP	100
COVER	10
GRAPHIC	500

Table 4-1: Supporting Document Maximum Allowed

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 must 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>
        PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PSAgIGNvdmVyIGxldHR1
        ciAgID09PT09PT09PT09PT09PT09PT09PT09PT0NCg0KVGhpcyBp
        cyBhIHByaXZhdGUgY292ZXIgbGV0dGVyIHRoYXQgZG9lcyBub3QgY29udGFp
        biBhbnkgcmVkbGluZQ0KdGFncy4gVGhpcyBpcyBzdHJpY3RseSBhIHRlc3Qu
        DQoNCj09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09
        PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09DQo=
    </documentMimeBlock>
</edgarDocument>
```

5. 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-1 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.

Error Condition	Severity
Elements not in sequence prescribed in Table 3-3.	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 (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
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

Table 5-1: EDGAR Processing Errors and Severity

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. EXAMPLE FORM TA-1 SUBMISSION FILES

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

Submission Type	Description	Submission File
TA-1	Submission with no enclosed documents.	TA-1_1.xml
TA-1/A	Amendment submission with no enclosed documents.	TA-1A.xml
TA-1	Submission with enclosed documents.	TA-1_2.xml

Table 6-1: Form TA-1 Example Submission Files

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.

APPENDICES

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.

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
OH	OHIO
OK	OKLAHOMA
OR	OREGON

Code	State or Country Name
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
C6	BAHRAIN
C7	BANGLADESH
C8	BARBADOS

Code	State or Country Name
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
2F	EAST TIMOR
H1	ECUADOR
H2	EGYPT

Code	State or Country Name
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
L6	ITALY
L8	JAMAICA
M0	JAPAN

Code	State or Country Name
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
P6	NEPAL
P7	NETHERLANDS
P8	NETHERLANDS ANTILLES

Code	State or Country Name
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
2A	SLOVENIA
D7	SOLOMON ISLANDS
U1	SOMALIA

Code	State or Country Name
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
Y5	ZIMBABWE
XX	UNKNOWN

Table A-1: State or Country Code Value List

APPENDIX B.   MAPPING OF FORM TA-1 XML ELEMENTS TO PRINTED FORM

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.

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)
stateOrCountry	

Element Name	Printed Form TA-1
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)

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)

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	

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)

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	

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)

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), 12(c)
documentDescription	12(d)
documentMimeBlock	12(e)

Table B-1: Mapping for Form TA-1 XML Elements To Printed Form