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# General Information

RECOMMENDING THAT ALL MEMBER UNCLAIMED PROPERTY PROGRAMS ADOPT ADDITIONAL NAUPA CODES TO ADDRESS INDIVIDUAL RETIREMENT ACCOUNTS, HEALTH SAVINGS ACCOUNTS AND EDUCATIONAL SAVINGS ACCOUNTS

**WHEREAS**, In 2002, the National Association of Unclaimed Property Administrators (NAUPA) adopted a revised set of unclaimed property type codes for its NAUPA Standard Electronic File Format (“NAUPA II Standard”) for reporting purposes, and

**WHEREAS**, since that time, certain new types of property have been developed and/or enhanced, related to individual retirement accounts, health savings accounts and educational savings accounts, and

**WHEREAS**, the current Standard Electronic File Format (“NAUPA II Standard”) does not specifically address these property types, and

**WHEREAS**, after extensive study and consultation with the NAUPA membership, Corporate Affiliates and other stakeholders in the unclaimed property tax-advantaged assets community through the Uniformity and Standardization Committee, and

**WHEREAS**, the addition of these codes will benefit holders as well as unclaimed property programs in clarifying reporting standards, and

**WHEREAS**, study and consideration will be continued by the Uniformity and Standardization Committee to formulate guidelines regarding the use and implications of these codes.

Click any of the following topics for information:

- [Reporting Media](#)
- [Standards](#)
- [Record Type Descriptions](#)
- [Multiple Holder Records](#)

## Reporting Media

Holders may send their holder reports using any of the following media:

- 1.44M Floppy Diskette
- CD-ROM
- Email Attachment (**only where approved** - contact the reporting state prior to sending for details.)
- FTP (**only where approved** - contact the reporting state prior to sending for details.)
- Tape (**only where approved** - contact the reporting state prior to sending for details.)

## Standards

Holders need to conform to the following standards:

- Diskettes must be IBM PC/AT compatible 1.44MB 3 1/2" floppy disks.
- The file must be in non-delimited ASCII format with no imbedded control characters or hexadecimal values, etc.
- Each record will be separated by a Carriage-Return and Line-Feed (CR/LF).
- All numeric fields (type code N) must be right-justified, zero filled, with decimal points assumed. No decimal points are actually entered.
- All character fields (type code C) must be left-justified, space filled.
- The file will be the only file on the diskette and will be in the root directory. (See section on multiple holder reports for reporting more than one holder on a single diskette.)
- All diskettes must include an external label with the preparer's name and telephone number. Paper printouts of the file may be sent to assist the information-processing staff in correcting minor errors, but are not required.

Contact your specific reporting state for more information about reporting standards.

## Record Type Descriptions

The NAUPA standard for reporting unclaimed property is based upon seven record types:

- (1) Holder Records
- (2) Property Records
- (3) Property Additional Owners
- (4) Reserved**
- (5) Securities Additional Information
- (6) Tangible Property Information
- (7) Reserved**
- (8) Reserved**
- (9) Summary Information

The records are based upon a 625-byte record layout developed by NAUPA. The first byte of each record contains a TR-CODE that denotes the type of record, and the subsequent 624 bytes are used to store the fields for that particular record. The TR-CODE will be a number between 1 and 9. This number will indicate the type of record as indicated below:

If the TR-CODE equals:

- **1** - then it is a **HOLDER** record.
- **2** - then it is a **PROPERTY** record.
- **3** - then it is a **PROPADD** record.
- **5** - then it is a **SECURITY** record.
- **6** - then it is a **TANGIBLE** record.
- **9** - then it is a **SUMINFO** record.

TR-CODES **4,7**, and **8** are reserved for future use.

Holders using the NAUPA standard must use the file layouts as shown. The fields are comprehensive in nature, meaning some fields are not used by all states and some fields may only be used by one state.

Each state will load the fields that it needs in their respective states. In the **Mandatory - Required - Optional** column of each record type layout, it will state if the field is mandatory, required, or optional.

If the field is marked:

- **"mandatory" or "M"**, information must be supplied in order to process the file correctly or the file will be rejected.
- **"required" or "R"**, you must supply the information if you know it, i.e., the information is usually required by law or regulation.
- **"optional" or "O"**, the information is desired and will be used if supplied.

## Multiple Holder Records

Since the PROPERTY, PROPADD, SECURITIES, TANGIBLE and SUMINFO do not contain fields to link them with a certain holder record, using a single file for multiple Holder Reports requires some special handling. If multiple Holder Reports are put on a single medium, Holders **MUST** follow the instructions below:

Multiple Holder Reports may be included in a single diskette using one of the following options:

**Option 1**- Each Holder Report is located in a separate file in the root directory. The file begins with a HOLDER record, and ends with a SUMINFO record. Only one HOLDER and one SUMINFO record exists in the file.

**Option 2** - All Holder Reports are in the same file in the root directory. The HOLDER record must be the first record in the file, and the SUMINFO record must be the last record in each Holder Report. All PROPERTY, PROPADD, SECURITY and TANGIBLE records located between the HOLDER and SUMINFO records will be assumed to belong to that HOLDER record. The HOLDER record for the second Holder Report should be the first record after the SUMINFO record for the previous Holder Report. The same criteria will hold true for subsequent Holder Reports.

# Field Definitions / Specifications

The following records are defined and specified by NAUPA:

- [HOLDER Record](#)
- [PROPERTY Record](#)
- [PROPADD Record](#)
- [SECURITIES Record](#)
- [TANGIBLE Record](#)
- [SUMINFO Record](#)

# HOLDER Record

There will always be at least one HOLDER record with each report. The information in the HOLDER record relates to the institution reporting the property. All subsequent PROPERTY, PROPADD, SECURITY, TANGIBLE and the SUMINFO records are attributed to this holder's report.

Field #	Field ID	Description
1	TR-CODE	This field must contain "1" to denote that the record is a HOLDER record.
2	HOLDER-TAXID	FEDERAL EMPLOYER IDENTIFICATION NUMBER (FEIN) - Enter the nine-digit tax ID number assigned to you by the Federal Government. If you are not familiar with your tax ID number, contact your payroll, accounting, or tax department. Do not include any hyphens in the FEIN number.
3	HOLDER-TAXID-EXT	If any other departments or branches of your organization file unclaimed property reports using the same tax ID number listed on your report, please contact the state to receive a FEIN Suffix Number. The suffix will be used to direct questions to the correct reporting department/branch. If your business files only one report, the default is "0001".
4	HOLDER-RPT-YEAR	Enter the four-digit year for which the property is being reported. <i>Example: For states for which the report period ends June 30, 2000, the holder report year would be "2000". Insurance Companies: For states for which the report period ends December 31, 2000, the holder report year would be "2000".</i>
5	HOLDER-RPT-TYPE	<p>a) Advertising Report: This field should be populated with "A" to denote that this is an advertising report meaning no money or property is being remitted at this time. This is for states on a two-cycle reporting schedule. Please contact your reporting state before submitting an advertising report.</p> <p>b) Remittance Report: This field should be populated with "R" to denote that this is an remittance report, i.e., money and/or property are being remitted at this time.</p> <p>c) Test Report: This field should be populated with "T" to denote that this is a test file. By indicating that this is a test file, the data should not be considered an actual report. This permits the submission of files to be tested by the states before actual submission by the holder of an actual report.</p>
6	HOLDER-RPT-NUMBER	If this is the first report filed by the holder for the report year, this should be "01." If the holder (under the same tax identification number and extension) files multiple reports during the year, this number should be increased by 1 for each additional report.
7	HOLDER-RPT-FORMAT	This field should contain either "R" for Revised NAUPA format. No other values are acceptable.
8	HOLDER-SIC-CODE	This is the four-digit Standard Industrial Classification code that indicates the primary business activity of the reporting company.
9	HOLDER-INCORPORATED-STATE	Enter the two-character postal abbreviation of the state in which the company is incorporated. Savings and loan associations, banks, and credit unions should enter the state in which they were chartered.

Field #	Field ID	Description
	HOLDER-INCORPORATED-DATE	Enter the date on which the company was incorporated or licensed to do business. Savings and loan associations, banks, and credit unions should enter the date their organization was chartered.
10(a)	HOLDER-INC-DATE-CCYY	"CC" equals the 2-digit century and "YY" equals the 2-digit year.
10(b)	HOLDER-INC-DATE-MM	"MM" equals the 2-digit numerical month.
10(c)	HOLDER-INC-DATE-DD	"DD" equals the 2-digit day.
11	HOLDER-NAME	Enter the name of the company or institution for which you are reporting. Punctuation should never be used under any circumstances (periods, commas, apostrophes, etc.) If the name of the company starts with the word "the," place "the" at the end. For example: "The Smith Company" should read "Smith Company The". Do not abbreviate the first word of the company name, e.g., American vs. Amer. National vs. Natl. Also, do not use numeric values in the holder name field unless absolutely necessary. The word "first" should never be abbreviated as "1st." Exceptions can be made when a number is a part of a company logo or registered trademark such as A1 Inc or 84 Lumber. Company names containing initials should have spaces between them, e.g., J J Reynolds vs. JJ Reynolds.
12	HOLDER-CITY	Enter the name of the city where the corporate headquarters is located or the primary place of business is located for the tax ID noted above.
13	HOLDER-COUNTY	Enter the name of the county where the corporate headquarters is located or the primary place of business is located for the tax ID noted above.
14	HOLDER-STATE	Enter the name of the state where the corporate headquarters is located or primary place of business is located for the tax ID noted above. Enter the valid two-character postal abbreviation of the holder's state.
	HOLDER-CONTACT1-	Enter the name, address, phone number, and phone extension (if applicable), of the person responsible for the report. This person should also be able to answer questions concerning the contents of the report, i.e., the person who created the report. This person will be contacted by the states concerning questions about the report.
15(a)	HOLDER-CONTACT1-NAME	Enter the report contact person's name in the order of first, middle, and last.
15(b)	HOLDER-CONTACT1-ADDR1	
15(c)	HOLDER-CONTACT1-ADDR2	
15(d)	HOLDER-CONTACT1-ADDR3	
15(e)	HOLDER-CONTACT1-CITY	Enter the city. Do not use commas. If the address is outside the United States, list the province, etc. here.
15(f)	HOLDER-CONTACT1-STATE	Enter the two-character state postal abbreviation.
15(g)	HOLDER-CONTACT1-ZIP	Enter the 5- or 9-character zip code. If you use only the first five positions, space fill the remaining four positions, i.e., do NOT use zeros to fill the remaining positions. Do not include any hyphens in the zip code.
15(h)	HOLDER-CONTACT1-COUNTRY	Enter the 3-letter country abbreviation, e.g., USA.
15(i)(1)	HOLDER-CONTACT1-TEL-AC	Enter the area code.



Field #	Field ID	Description
15(i)(2)	HOLDER-CONTACT1-TEL-NBR	Enter the 7-digit telephone number.
15(i)(3)	HOLDER-CONTACT1-TEL-EXTENSION	Enter the telephone extension. Space fill if not applicable. Do NOT zero fill.
15(j)	HOLDER-CONTACT1-EMAIL	Enter the email address for Contact 1.
	HOLDER-CONTACT2-	Enter the name, address, phone number and extension (if applicable), of the person responsible for claims. This person will be contacted by the states or potential owners concerning questions about the claims, and the states will also refer owners to this person during the advertising/ notification process.
16(a)	HOLDER-CONTACT2-NAME	Enter the claim contact person's name, in the order of first, middle, and last.
16(b)	HOLDER-CONTACT2-ADDR1	
16(c)	HOLDER-CONTACT2-ADDR2	
16(d)	HOLDER-CONTACT2-ADDR3	
16(e)	HOLDER-CONTACT2-CITY	Enter the city. Do not use commas. If the address is outside the United States, list the province, etc. here.
16(f)	HOLDER-CONTACT2-STATE	Enter the 2-character state postal abbreviation.
16(g)	HOLDER-CONTACT2-ZIP	Enter the 5- or 9-character zip code. If you use only the first five positions, space fill the remaining four positions, i.e., do NOT use zeros to fill the remaining positions. Do not include any hyphens in the zip code.
16(h)	HOLDER-CONTACT2-COUNTRY	Enter the 3-letter country abbreviation, e.g., USA.
16(i)(1)	HOLDER-CONTACT2-TEL-AC	Enter the area code.
16(i)(2)	HOLDER-CONTACT2-TEL-NBR	Enter the 7-digit telephone number.
16(i)(3)	HOLDER-CONTACT2-TEL-EXTENSION	Enter the telephone extension. Space fill if not applicable. Do NOT zero fill.
16(j)	HOLDER-CONTACT2-EMAIL	Enter the email address for Contact 2.
17(1)	HOLDER-FAX-AC	Enter the area code.
17(2)	HOLDER-FAX-NBR	Enter the 7-digit fax number.
18	HOLDER-NAICS CODE	Enter the NAICS code. A listing of acceptable values can be found at <a href="http://www.census.gov/epcd/www/naics.html">http://www.census.gov/epcd/www/naics.html</a> .
19	FILLER	Space fill.

# PROPERTY Record

There is one PROPERTY record for each piece of property. The PROPERTY record contains information about the piece of property and about the Primary Property Owner (if known). Each piece of property will have a separate PROPERTY record. If an owner has multiple pieces of property, there will be a separate PROPERTY record for each piece of property.

Field #	Field ID	Description
1	TR-CODE	This field must contain "2" to denote that the record is a PROPERTY record.
2	PROP-SEQUENCE-NUMBER	The sequence number for each record should be unique. The first property record for a holder should be "000001" for the PROP-SEQUENCE-NUMBER, and the sequence number should be incremented by 1 as other property records are added. If the Holder Report includes an AGGREGATE record, then the AGGREGATE record should be the first property record within a property type. The data in this field should be right aligned and zero filled.
3	PROP-OWNER-TYPE	Enter "P" to denote primary owner information.
4	PROP-NAME-ID	Enter "C" to identify the name on this record as being a business name. Otherwise, fill in blanks if this is an individual's name on this record.
5	PROP-OWNER-NAME-LAST	<p>Enter the owner's last name or the company name if it is a business.</p> <p>If the owner is a business, enter the business name exactly as adopted, except where the first word is "The." In this case, "The" should be placed at the end. For example: "The Smith Company" should be entered as "Smith Company The." Punctuation should never be used under any circumstances (periods, commas, apostrophes, etc.) Do not abbreviate the first word of the company name, e.g., American vs. Amer, National vs. Natl. Also, do not use numeric values in the name field unless absolutely necessary. The word "first" should never be abbreviated as "1st." Exceptions can be made when a number is a part of a company logo or registered trademark such as A1 Inc or 84 Lumber. Company names containing initials should have spaces between them, e.g., J J Reynolds vs. JJ Reynolds.</p> <p>If the owner record is an aggregate, enter in this field "AGGREGATE." If the owner/owners are unknown, enter "UNKNOWN." Contact the reporting state for the Aggregate amount limit.</p>
6	PROP-OWNER-NAME-FIRST	Enter the owner's first name.
7	PROP-OWNER-NAME-MIDDLE	Enter the owner's middle name.
8	PROP-OWNER-NAME-PREFIX	Enter the owner's prefix such as MM (for Mr. and Mrs.).
9	PROP-OWNER-NAME-SUFFIX	Enter the owner's suffix such as Jr, Sr, III.
10	PROP-OWNER-NAME-TITLE	Enter the owner's title such as Dr, Pvt, Rev.
	PROP-OWNER-ADDRESS	Enter the owner's last-known address. You must list the last-known address even if the mail has been returned by the post office. When establishing whether the claimant is the rightful owner, confirmation of this address is very important. If the owner's street address is unknown, space fill. DO NOT fill with "UNKNOWN" or "ADDRESS UNKNOWN."

Field #	Field ID	Description
11(a)	PROP-OWNER-ADDRESS1	
11(b)	PROP-OWNER-ADDRESS2	
11(c)	PROP-OWNER-ADDRESS3	
12	PROP-OWNER-CITY	Enter the city of the last-known address of the owner. If the owner's last-known city is not in the United States, list the province, etc. If the owner's city is unknown, space fill. DO NOT fill with "unknown" or "city unknown."
13	PROP-OWNER-COUNTY	Enter the county name of the owner's last-known address, or the holder's branch location, or principal place of business in the reporting state. If the county name is unknown, space fill.
14	PROP-OWNER-STATE	Enter the standard two-character postal abbreviation of the owner's state of last-known address. If the owner's last-known address is not in the United States, blank fill.
15	PROP-OWNER-ZIP	Enter the owner's five or nine character zip code. If five digits are used, blank fill the remaining four digits. Do not include any hyphens in the zip code.
16	PROP-OWNER-COUNTRY	Enter the country of the last-known address of the owner.
17	PROP-OWNER-TAXID	Enter the owner's social security number (SSN) or the company's federal employer identification number (FEIN). When establishing ownership, the SSN/FEIN is very important. This number will not be released as public information but will be used for identification purposes. Do not include any hyphens in the FEIN or SSN.
18	PROP-OWNER-TAXID-EXT	Enter the owner's SSN or FEIN extension, if applicable.
	PROP-OWNER-DATE-OF-BIRTH	Enter the owner's date of birth.
19(a)	PROP-OWNER-DOB-CCYY	"CC" equals the 2-digit century and "YY" equals the 2-digit year.
19(b)	PROP-OWNER-DOB-MM	"MM" equals the 2-digit numerical month.
19(c)	PROP-OWNER-DOB-DD	"DD" equals the 2-digit day.
	PROP-STARTING-TRANSACTION-DATE	<p><b>This field is required.</b> The PROP-STARTING-TRANSACTION-DATE (also known as the date of last transaction, or last activity date) is the date on which the last deposit or withdrawal occurred, the date the mail was returned or the date on which the property became payable, redeemable, dormant, or returnable (e.g., issue date of a check).</p> <p>If you are reporting property with periodic payments such as dividends, oil and gas royalties, or commission checks, enter the beginning date on which the amounts were payable. Total all amounts due the owner during the applicable time period and list the payments as one account on the owner record.</p>
20(a)	PROP-ST-TRANS-DATE-CCYY	"CC" equals the 2-digit century and "YY" equals the 2-digit year. If your records reflect a month and/or year only, enter the available information and use "01"s for the unknown data (e.g., 20000601 or 20000101.)
20(b)	PROP-ST-TRANS-DATE-MM	"MM" equals the 2-digit numerical month. If your records reflect a month and/or year only, enter the available information and use "01"s for the unknown data (e.g., 20000601 or 20000101.)

Field #	Field ID	Description
20(c)	PROP-ST-TRANS-DATE-DD	"DD" equals the 2-digit day.
	PROP-ENDING-TRANSACTION-DATE	<p>If you are reporting property with periodic payments such as dividends, oil and gas royalties, or commission checks, enter the ending date of the payments in the PROP-ENDING-TRANSACTION-DATE field. Total all amounts due the owner during the applicable time period and list the payments as one account on the owner record.</p> <p>Enter in this field the date of the last periodic payment. This field is only used if the property reported is from periodic payments.</p>
21(a)	PROP-EN-TRANS-DATE-CCYY	"CC" equals the 2-digit century and "YY" equals the 2-digit year. If your records reflect a month and/or year only, enter the available information and use "01"s for the unknown data (e.g., 20000601 or 20000101.)
21(b)	PROP-EN-TRANS-DATE-MM	"MM" equals the 2-digit numerical month. If your records reflect a month and/or year only, enter the available information and use "01"s for the unknown data (e.g., 20000601 or 20000101.)
21(c)	PROP-EN-TRANS-DATE-DD	"DD" equals the 2-digit day.
22	PROP-PROPERTY-TYPE	The property type code distinguishes one property type from another. All codes are four characters. Refer to the Appendix for the appropriate code.
23	PROP-AMOUNT-REPORTED	<p>Enter the amount due the owner before any deductions, such as taxes, were subtracted. The amount reported is a 10-digit, zero fill field with two decimal places assumed. The decimal point is not actually entered.</p> <p><i>Examples: \$253 = 0000025300, \$253.73 = 0000025373</i></p>
24	PROP-DEDUCTION-TYPE	Enter the code which describes the reason for the deduction in the gross amount due the owner. Refer to the Appendix for deduction codes.
25	PROP-DEDUCTION-AMOUNT	<p>Enter the amount of the deduction to be subtracted from the gross amount due the owner. The amount deducted is a 10-digit, zero fill field with two decimal places assumed. The decimal point is not actually entered. DO NOT enter as a negative. <i>Examples: \$253 = 0000025300, \$253.73 = 0000025373</i></p>
26	PROP-AMOUNT-ADVERTISED	<p>Enter the total amount due the owner after the deductions, i.e., PROP-AMOUNT-REPORTED minus PROP-DEDUCTION-AMOUNT. The amount advertised is a 10-digit, zero fill field with two decimal places assumed. The decimal point is not actually entered. <i>Examples: \$253 = 0000025300, \$253.73 = 0000025373</i></p>
27	PROP-ADDITION-TYPE	<p>Enter the two-character code which describes the reason for the additional amount/shares reported due the owner, i.e., to be added to the original reported due the owner. Refer to the Appendix for the addition codes.</p> <p><b>Note:</b> <i>This field is being used for both money and securities being reported. If there is an increase in the original amount, whether in securities or money, this field should be populated.</i></p>
28	PROP-ADDITION-AMOUNT	<p>Enter the amount of any additions, e.g., interest or dividends, to be added to the original reported due the owner. This line may also be used to correct the reported amount if there was any error on the initial reported amount. The added amount is a 10-digit, zero fill field with two decimal places assumed. The decimal point is not actually entered. <i>Examples: \$253 = 0000025300, \$253.73 = 0000025373</i></p>

Field #	Field ID	Description
29	PROP-DELETION-TYPE	<p>Enter the 2-character code which describes the reason as to the amount shares, or safekeeping items that are being deleted. Refer to the Appendix for deletion codes.</p> <p><b>Note:</b> <i>This field is being used for money, securities, and safekeeping items being reported. If there is a complete removal of the original amount, shares, or items, this field should be populated.</i></p>
30	PROP-DELETION-AMOUNT	<p>If the property has been claimed by the owner, or the account has been reactivated, or the owner's property was reported in error, enter the amount that was originally advertised, i.e., PROP-AMOUNT-ADVERTISED. The amount reported is a 10-digit, zero fill field with two decimal places assumed. The decimal point is not actually entered. DO NOT enter as a negative. <i>Examples: \$253 = 0000025300, \$253.73 = 0000025373</i></p>
31	PROP-AMOUNT-REMITTED	<p>Enter the net amount due each owner after additions or deletions have been calculated. The remitted amount should equal PROP-AMOUNT-ADVERTISED plus PROP-ADDITION-AMOUNT less PROP-DELETION-AMOUNT. The amount entered is the amount to be paid to the state. (DO NOT list a negative amount. Owners with negative amounts should be listed as zero.) <i>Examples: \$253 = 0000025300, \$253.73 = 0000025373</i></p>
32	PROP-INTEREST-FLAG	<p>If the property is interest-bearing, the PROP-INTEREST-FLAG should be "Y." Otherwise, the FLAG will indicate "N."</p>
33	PROP-INTEREST-RATE	<p>If the PROP-INTEREST-FLAG indicator is set to "Y," this field should be populated with the current interest rate being earned on this account. The interest rate is a seven digit, zero filled field, with four decimal places assumed. The decimal is not actually entered. <i>Examples: 5.00% would be entered as 0050000, 10.25% would be entered as 0102500, 2.375% would be entered as 0023750.</i></p> <p><b>Note:</b> <i>Questions concerning the interest fields should be directed to the reporting state.</i></p>
34	PROP-STOCK-ISSUE-NAME	<p>Enter the name of the security issue which is due the owner. DO NOT enter more than one issue per owner record. (For example, brokers must provide one property record for each issue held in an owner's account.) If this is a redemption, this field should contain the name of successor. Make sure to indicate the type of stock if it is other than common.</p> <p>If the issue name is longer than the allowed field, please use the SECURITIES record type to include the entire security name.</p> <p><i>When reporting stock where the owner has different issues and these issues will be due the owner, there should be a property record for each issue that will be due that owner. For example: Paul Smith had an account with XYZ broker. In the account, Mr. Smith owned 12 shares of ABC Office Supply Common, 4 shares of ABC Office Supply \$2.75 Preferred, and 20 shares of Afterschool Snack Company Common. There should be three property records for Mr. Smith.</i></p>
35	PROP-STOCK-CUSIP	<p>Enter the CUSIP number of the security issue named in number 34 above which is due the owner, i.e., this is what you will be remitting to the state.</p>
36	PROP-NUMBER-OF-SHARES	<p>Enter the number of shares which is due the owner, i.e., this is the total number of shares due the owner for this issue. The number of shares is a 12-digit field with four decimal places assumed. The decimal point is not actually entered. <i>Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334</i></p>

Field #	Field ID	Description
37	PROP-ADD-SHARES	<p>Enter the number of shares which have been added since the original (advertising) report, i.e., this is the amount that will be added to the total number of shares originally reported for the owner of this issue. The number of shares is a 12-digit field with four decimal places assumed. The decimal point is not actually entered. <i>Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334</i></p> <p><b>Note:</b> If this field is greater than zero, you must use the corresponding field number 27 PROP-ADDITION-TYPE. An example of when to use this field is when a stock split or stock dividend occurs before the property is remitted.</p>
38	PROP-DEL-SHARES	<p>Enter the number of shares which have been deleted since the original (advertising) report, i.e., this is the amount that will be subtracted from the total number of shares due the owner of this issue. The number of shares is a 12-digit field with four decimal places assumed. The decimal point is not actually entered. <i>Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334</i></p> <p><b>Note:</b> If this field is greater than zero, you must populate the corresponding field number 29 PROP-DELETION-TYPE. An example of when to use this field is when a reverse stock split or cash merger occurs before the property is remitted.</p>
39	PROP-REM-SHARES	<p>Enter the number of shares which is being remitted for the owner, i.e., the total number of shares remitted for the owner for this issue. The number of shares is a 12-digit field with four decimal places assumed. The decimal point is not actually entered. <i>Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334</i></p>
40	PROP-UNEXCHANGED-ISSUE-NAME	<p>Enter the name of the security issue which is still in the possession of the owner.</p>
41	PROP-UNEXCHANGED-CUSIP	<p>Enter the CUSIP number of the security issue which is still in the possession of the owner.</p>
42	PROP-UNEXCHANGED-SHARES	<p>Enter the number of shares which are still in the possession of the owner. The number of shares is a 12-digit field with four decimal places assumed. The decimal point is not actually entered. <i>Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334</i></p>
43	PROP-ACCT-NUMBER	<p>Always enter the insurance policy or account number in this field. Substitute the owner number if reporting mineral proceeds. Substitute the box number if reporting safe deposit box contents. Substitute the GF number if an escrow account.</p>
44	PROP-CHECK-NUMBER	<p>Provide the check number if reporting cashier's checks or any other outstanding checks.</p>
45	PROP-DESCRIPTION	<p>Any additional information that will assist in identifying the owner of the property should be listed in the property description field. Information (such as the purchaser of a cashier's check, lease name of a mineral interest, or beneficiary to an insurance policy) should be listed in the property description. If you are reporting insurance-related property, please specify "L" for life insurance, "PC" for property and casualty insurance, or "AH" for accident and health insurance.</p> <p>If you are reporting an aggregate amount, list the number of properties which were combined for the aggregate entry, e.g., 15-AC01, 10-AC02, 45-CK01.</p>

Field #	Field ID	Description
46	PROP-RELATIONSHIP-CODE	<b>This field must be populated.</b> The PROP-RELATIONSHIP-CODE indicates w ho must claim the property. Refer to the Appendix for relationship codes.
47	PROP-OWNER-TYPE-CODE	<b>This field must be populated.</b> The PROP-OWNER-TYPE-CODE indicates the type of ow ner. Refer to the Appendix for Ow ner codes.
48	FILLER	Space fill.

## PROPADD Record

The PROPADD record contains information about additional owners of property recorded in the PROPERTY record. If there is more than one owner of a piece of property, each additional owner for the property will have a PROPADD record. PROPADD records must be contained within the same HOLDER / SUMINFO record set.

Field #	Field ID	Description
1	TR-CODE	This field must contain "3" to denote that the record is a PROPADD record.
2	PADD-SEQUENCE-NUMBER	This field will contain the same PROP-SEQUENCE-NUMBER from the primary PROPERTY record.
3	PADD-OWNER-TYPE	This field should contain "A" to denote additional owner information.
4	PADD-OWNER-NAME-LAST	Enter the additional owner's last name or the company name if it is a business.  If the additional owner is a business, enter the business name exactly as adopted, except where the first word is "The." In this case, "The" should be placed at the end. For example: "The Smith Company," should be entered as "Smith Company The." Punctuation should never be used under any circumstance (periods, commas, apostrophes, etc.). Do not abbreviate the first word of the company name, e.g., American vs. Amer, National vs. Natl. Also, do not use numeric values in the name field unless absolutely necessary. The word "first" should never be abbreviated as "1st." Exceptions can be made when a number is a part of a company logo or registered trademark such as A1 Inc or 84 Lumber. Company names containing initials should have spaces between them, e.g., J J Reynolds vs. JJ Reynolds.
5	PADD-OWNER-NAME-FIRST	Enter the owner's first name.
6	PADD-OWNER-NAME-MIDDLE	Enter the owner's middle name.
7	PADD-OWNER-NAME-PREFIX	Enter the owner's prefix such as MM (for Mr. and Mrs.).
8	PADD-OWNER-NAME-SUFFIX	Enter the owner's suffix such as Jr, Sr, III.
9	PADD-OWNER-NAME-TITLE	Enter the owner's title such as Dr, Pvt, Rev.
	PADD-OWNER-	Enter the owner's last-known address. You must list the last-known address even if the mail has been returned by the post office. When establishing whether the claimant is the rightful owner, confirmation of this address is very important.
10(a)	PADD-OWNER-ADDRESS1	
10(b)	PADD-OWNER-ADDRESS2	
10(c)	PADD-OWNER-ADDRESS3	
11	PADD-OWNER-CITY	Enter the city of the last-known address of the owner. If the owner's last-known city is not in the United States, list the province, etc.
12	PADD-OWNER-COUNTY	Enter the county name of the owner's last-known address, or the holder's branch location, or principal place of business in the reporting state. If the county name is unknown, space fill.



Field #	Field ID	Description
13	PADD-OWNER-STATE	Enter the standard 2-character postal abbreviation of the owner's state of last-known address. If the owner's last-known address is not in the United States, fill with blanks.
14	PADD-OWNER-ZIP	Enter the owner's 5- or 9-digit zip code. Do not include any hyphens.
15	PADD-OWNER-COUNTRY	Enter the country of the last-known address of the owner.
16	PADD-OWNER-TAXID	Enter the owner's social security number (SSN) or the company's federal employer identification number (FEIN). When establishing ownership, the SSN/FEIN is very important. This number will not be released as public information but will be used for identification purposes. Do not include any hyphens.
17	PADD-OWNER-TAXID-EXT	Enter the owner's SSN or FEIN extension, if applicable. Do not include any hyphens.
	PADD-OWNER-DATE-OF-BIRTH	Enter the owner's date of birth.
18(a)	PADD-OWNER-DOB-CCYY	"CC" equals the 2-digit century and "YY" equals the 2-digit year.
18(b)	PADD-OWNER-DOB-MM	"MM" equals the 2-digit numerical month.
18(c)	PADD-OWNER-DOB-DD	"DD" equals the 2-digit day.
19	PADD-RELATIONSHIP-CODE	<b>This field must be populated.</b> The PADD-RELATIONSHIP-CODE indicates who must claim the property. Refer to the Appendix for relationship codes.
20	PADD-SEQ-NUMBER	Incremented by 1 for each additional owner of the property denoted by the PADD-SEQUENCE-NUMBER. Example, a piece of property has two owners in addition to the primary owner. The record for the first additional owner has a PADD-SEQ-NUMBER of "001." The record for the second additional owner has a PADD-SEQ-NUMBER of "002."
21	PADD-OWNER-TYPE-CODE	This field must be populated. The PADD-OWNER-TYPE-CODE indicates the type of owner. Refer to the Appendix for Owner codes.
22	PADD-NAME-ID	Enter "C" to identify the name on this record as being a business name. Otherwise, fill in blanks if this is an individual's name on this record.
23	FILLER	Space fill.

## SECURITIES Record

If other securities related information exists, there will be one SECURITIES record included after each PROPERTY record.

Field #	Field ID	Description
1	TR-CODE	This field must contain "5" to denote that the record is a SECURITIES record.
2	PROP-SEQUENCE-NUMBER	This field will contain the same PROP-SEQUENCE-NUMBER from the primary PROPERTY record.
3	SECR-SUBISSUE-NAME	Enter the Security Sub-Issue Name.
4	SECR-ORIGINAL-SHRS-HELD	This field contains the original shares held by the owner at the time of last activity on the account. This number is used to help determine the proof required for the claimant.
5	SECR-ORIGINAL-REG-NAME	This field records the owner name EXACTLY as shown on the certificate or registration.
6	SECR-DELIVERY-METHOD	This field contains the method used to deliver securities to the State. Valid values are DTC, Physical, Account, and UNT.
7	SECR-CERTIFICATE	This field contains the original certificate number of underlying or unexchanged or RPO'd shares.
8	SECR-SYMBOL	Enter the Symbol if the security is traded on a stock exchange.
9	SECR-DEPOSIT-ACCOUNT	Enter the Account Number the Security is deposited to, if applicable.
10	SECR-MUTL-FAMILY	If the Security is a Mutual Fund, enter the Fund Family Name.
11	FILLER	Space fill.

# TANGIBLE Record

If tangible property information exists, there will be one or more TANGIBLE records included after each PROPERTY record.

Field #	Field ID	Description
1	TR-CODE	This field must contain "6" to denote that the record is a TANGIBLE type property record.
2	PROP-SEQUENCE-NUMBER	This field will contain the same PROP-SEQUENCE-NUMBER from the primary PROPERTY record.
3	TANG-SEQUENCE-NUMBER	Incremented by 1 for each additional piece of tangible property denoted by the TANG-SEQUENCE-NUMBER. For example, an individual property has two pieces of tangible property. The record for the first piece of tangible property has a TANG-SEQUENCE-NUMBER of "001." The record for the second piece of tangible property has a TANG-SEQUENCE-NUMBER of "002."
4	TANG-BOX-NUMBER	The Box Number of the Safe Deposit Box, collateral receipt number if load collateral, or other identifying number for any other type of tangible property.
5	TANG-DESCRIPTION	The description of the tangible property identified by each TANG-SEQUENCE-NUMBER.
6	TANG-UNPAID-RENT	The amount of unpaid rent or storage fees due by the owner at the time the box was opened.
7	TANG-DRILLING-FEES	Charges incurred to drill or open a Safe Deposit Box, unpaid loan balance if loan collateral.
	TANG-OPENED-DATE	The date the Safe Deposit box was opened.
8(a)	TANG-OPENED-DATE-CCYY	"CC" equals the 2-digit century and "YY" equals the 2-digit year.
8(b)	TANG-OPENED-DATE-MM	"MM" equals the 2-digit numerical month.
8(c)	TANG-OPENED-DATE-DD	"DD" equals the 2-digit day.
9	TANG-OPENED-BY	Enter the person who opened the safe deposit box.
	TANG-EXPIRED-DATE	Enter the date the safe deposit box lease expired.
10(a)	TANG-EXPIRED-DATE-CCYY	"CC" equals the 2-digit century and "YY" equals the 2-digit year.
10(b)	TANG-EXPIRED-DATE-MM	"MM" equals the 2-digit numerical month.
10(c)	TANG-EXPIRED-DATE-DD	"DD" equals the 2-digit day.
11	TANG-CATEGORY-TYPE-CODE	Contact each state for valid code listings.
12	FILLER	Space fill.

## SUMINFO Record

There will be one SUMINFO record included at the end of each holder report record set. It will contain summary information that will be used for balancing purposes and to verify completeness of records reported.

Field #	Field ID	Description
1	TR-CODE	This field must contain "9" to denote that the record is a SUMINFO record.
2	SUMM-NBR-OF-RECORDS	This field should contain the total of number records reported including the HOLDER, PROPERTY, PROPADD and SUMINFO records. The number of records is a 6-digit field. The quantity recorded is always a whole number, i.e., no decimal positions. The minimum amount of records is two, HOLDER and SUMINFO records. A 2-record file represents a negative (none) report, i.e., no owners reported.  <b>Note:</b> It is the position of ACS Wagers that the SUMM-NBR-OF-RECORDS field should contain the count of all records contained in the file, including the SECURITIES and TANGIBLE Record Types.
3	SUMM-NBR-OF-PROPERTIES	This field should contain the total number of PROPERTY records. The number of property records is a 6-digit field. The quantity recorded is always a whole number, i.e., no decimal positions.
4	SUMM-AMOUNT-REPORTED	This field should be the sum of the amount in the PROP-AMOUNT-REPORTED field on each PROPERTY record. The amount reported is a 12-digit field with two decimal places assumed. The decimal point is not actually entered. <i>Example: \$1,150,125.26 = 000115012526</i>
5	SUMM-DEDUCTION-AMOUNT	This field should be the sum of the amount in the PROP-DEDUCTION-AMOUNT field on each PROPERTY record. The deducted amount is a 12-digit field with two decimal places assumed. The decimal point is not actually entered. DO NOT enter as a negative. <i>Example: \$1,150,125.26 = 000115012526</i>
6	SUMM-AMOUNT-ADVERTISED	This field should be the sum of the amount in the PROP-AMOUNT-ADVERTISED field on each PROPERTY record. The advertised amount is a 12-digit field with two decimal places assumed. The decimal point is not actually entered. <i>Example: \$1,150,125.26 = 000115012526</i>
7	SUMM-ADDITION-AMOUNT	This field should be the sum of the amount in the PROP-ADDITION-AMOUNT field on each PROPERTY record. The added amount is a 12-digit field with two decimal places assumed. The decimal point is not actually entered. <i>Example: \$1,150,125.26 = 000115012526</i>
8	SUMM-DELETION-AMOUNT	This field should be the sum of the amount in the PROP-DELETION-AMOUNT field on each PROPERTY record. The deleted amount is a 12-digit field with two decimal places assumed. The decimal point is not actually entered. DO NOT enter as a negative. <i>Example: \$1,150,125.26 = 000115012526</i>
9	SUMM-AMOUNT-REMITTED	This field should be the sum of the amount in the PROP-AMOUNT-REMITTED field on each PROPERTY record. The amount remitted is a 12-digit field with two decimal places assumed. The decimal point is not actually entered. <i>Example: \$1,150,125.26 = 000115012526</i>
10	SUMM-NBR-OF-SHARES	This field should be the sum of the amount in the PROP-NUMBER-OF-SHARES field on each PROPERTY record. The number of shares is a 14-digit field with four decimal places assumed. The decimal point is not actually entered. <i>Example: 124256.5984 = 00001242565984</i>

Field #	Field ID	Description
11	SUMM-SHARES-ADD	This field should be the sum of the amount in the PROP-ADD-SHARES field on each PROPERTY record. The number of shares is a 14-digit field with four decimal places assumed. The decimal point is not actually entered. <i>Example: 124256.5984 = 00001242565984</i>
12	SUMM-SHARES-DEL	This field should be the sum of the amount in the PROP-DEL-SHARES field on each PROPERTY record. The number of shares is a 14-digit field with four decimal places assumed. The decimal point is not actually entered. <i>Example: 124256.5984 = 00001242565984</i>
13	SUMM-SHARES-REMITTED	This field should be the sum of the amount in the PROP-REM-SHARES field on each PROPERTY record. The number of shares is a 14-digit field with four decimal places assumed. The decimal point is not actually entered. <i>Example: 124256.5984 = 00001242565984</i>
14	SUMM-NEGATIVE-REPORT	If the report is a Negative report (No cash or shares to report for the reporting period), this field should contain "Y". If this field contains "Y", only the HOLDER (type 1) and the SUMINFO (type 9) records should be included.
15	SUMM-SOFTWARE-VERSION	Enter the version number of the software that created the NAUPA file.
16	SUMM-CREATOR	Enter the company that wrote the software that created the file.
17	SUMM-CREATOR-CONTACT	Enter the name and contact information for the file creator.
18	FILLER	Space fill

# Appendixes

The following codes and record formats are defined and specified by NAUPA:

- [Codes](#)
- [Holder Record Format](#)
- [Property Record Format](#)
- [Additional Owner Record Format](#)
- [Securities Info Record Format](#)
- [Tangible Property Record Format](#)
- [Summary Record Format](#)

## Codes

The following tables represent the NAUPA standard information. Individual States may require different codes. Please contact the states you report to for current information.

Jump to: [Deduction and Withholding](#) [Addition](#) [Paid or Deletion](#) [Relationship](#) [Property Type](#) [Owner Type](#) [Security Delivery](#) [Country](#) [NAICS](#)

Deduction and Withholding Codes	
DW	Dividends Withheld or Discontinued
IW	Interest Withheld or Discontinued
MC	Mailing Cost
SW	Service Charge
TW	Income Tax Withheld
ZZ	Deduction Code Not Identified Above

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Addition Codes	
DR	Reported in Error on Advertising Report
DV	Dividends Earned
IN	Interest Earned
ME	Additional Royalty or other Mineral Interest Payments
SP	Stock Split
ZZ	Addition Code Not Identified Above

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Paid or Deletion Codes	
ER	Erroneously Reported
RO	Returned to Owner
RS	Reverse Stock Split
ZZ	Deletion Code not Identified Above

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Relationship Codes			
AD	Administrator	GR	Guardian For
AF	Attorney For	IN	Insured
AG	Agent For	JC	Joint Tenants in Common
AN	And	JT	Joint Tenants with Rights of Survivorship
AO	And / Or	OR	Or
BF	Beneficiary	PA	Payee
CC	Co-Conservator	PO	Power of Attorney
CF	Custodian For	RE	Remitter
CN	Conservator	SO	Sole Owner
EX	Executor or Executrix	TE	As Trustee For
FB	For Benefit of	UG	Uniform Gift to Minors Act (UGMA)

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Property Type Codes - (codes in bold are to be adopted effective 12/08/2010)			
AC01	Checking Accounts	MI05	Working Interest
AC02	Savings Accounts	MI06	Bonuses
AC03	Mature CD or Save Cert	MI07	Delay Rentals
AC04	Christmas Club Funds	MI08	Shut-in Royalties
AC05	Money on deposit to secure fund	MI09	Minimum Royalties
AC06	Security Deposit	MI99	Aggregate Mineral Proceeds
AC07	Unidentified Deposit	MS01	Wages, Payroll, Salary
AC08	Suspense Accounts	MS02	Commissions
AC99	Aggregate Account Balances	MS03	Workers Compensation Benefits
CK01	Cashier's Checks	MS04	Payments For Goods & Services

Property Type Codes - (codes in bold are to be adopted effective 12/08/2010)			
CK02	Certified Checks	MS05	Customer Overpayments
CK03	Registered Checks	MS06	Unidentified Remittances
CK04	Treasurer's Checks	MS07	Unrefunded Overcharges
CK05	Drafts	MS08	Accounts Payable
CK06	Warrants	MS09	Credit Balance -- Accounts Receivable
CK07	Money Orders	MS10	Discounts Due
CK08	Traveler's Checks	MS11	Refunds Due
CK09	Foreign Exchange Checks	MS12	Unredeemed Gift Certificates
CK10	Expense Checks	MS13	Unclaimed Loan Collateral
CK11	Pension Checks	MS14	Pension & Profit Sharing
CK12	Credit Checks or Memos	MS15	Dissolution or Liquidation
CK13	Vendor Checks	MS16	Miscellaneous Outstanding Checks
CK14	Checks Written off to Income	MS17	Miscellaneous Intangible Property
CK15	Other Outstanding Official Checks	MS18	Suspense Liabilities
CK16	CD Interest Checks	MS99	Aggregate Misc Property
CK99	Aggregate Uncashed Checks	SC01	Dividends
<b>CS01</b>	<b>Educational Savings Accounts - Cash</b>	SC02	Interest (Bond Coupons)
<b>CS02</b>	<b>Educational Savings Accounts - Mutual Funds</b>	SC03	Principal Payments
<b>CS03</b>	<b>Educational Savings Accounts - Securities</b>	SC04	Equity Payments
<b>CS04</b>	<b>Reserved for Educational Savings Accounts (Code reserved for future use)</b>	SC05	Profits
CT01	Escrow Funds	SC06	Funds Paid to Purchase Shares
CT02	Condemnation Awards	SC07	Funds for Stocks & Bonds
CT03	Missing Heir's Funds	SC08	Shares of Stock (Returned by Post Office)
CT04	Suspense Accounts	SC09	Cash for Fraction Shares
CT05	Other Court Deposits	SC10	Unexchanged Stock of Successor Corp
CT99	Aggregate Court Deposit	SC11	Other Cert of Ownership
<b>HS01</b>	<b>Health Savings Account</b>	SC12	Underlying Shares or other Outstanding Certificates
<b>HS02</b>	<b>Health Savings Account Investment</b>	SC13	Funds for Liquidation / Redemption of Un-surrendered Stock or Bonds
<b>HS03</b>	<b>Reserved for Health Savings Account (Code reserved for future use)</b>	SC14	Debentures
IN01	Individual Policy Benefits or Claim Payments	SC15	U S Govt Securities



Property Type Codes - (codes in bold are to be adopted effective 12/08/2010)			
IN02	Group Policy Benefits or Claim Payments	SC16	Mutual Fund Shares
IN03	Proceeds Due Beneficiaries	SC17	Warrant (Rights)
IN04	Proceeds from Matured Policies, Endowments or Annuities	SC18	Mature Bond Principal
IN05	Premium Refunds	SC19	Dividend Reinvestment Plans
IN06	Unidentified Remittances	SC20	Credit Balances
IN07	Other Amounts Due Under Policy Terms	SC99	Aggregate Security Related Cash
IN08	Agent Credit Balances	SD01	SD Box Contents
IN99	Aggregate Insurance Property	SD02	Other Safekeeping
<b>IR01</b>	<b>Traditional IRA - Cash</b>	SD03	Other Tangible Property
<b>IR02</b>	<b>Traditional IRA - Mutual Funds</b>	TR01	Paying Agent Account
<b>IR03</b>	<b>Traditional IRA - Securities</b>	TR02	Undelivered or Uncashed Dividends
<b>IR04</b>	<b>Reserved for Traditional IRA, SEP IRA, SARSEP IRA, and SIMPLE IRA (Code reserved for future use)</b>	TR03	Funds held in Fiduciary Capacity
<b>IR05</b>	<b>Roth IRA - Cash</b>	TR04	Escrow Accounts
<b>IR06</b>	<b>Roth IRA - Mutual Funds</b>	TR05	Trust Vouchers
<b>IR07</b>	<b>Roth IRA - Securities</b>	TR99	Aggregate Trust Property
<b>IR08</b>	<b>Reserved for Roth IRA (Code reserved for future use)</b>	UT01	Utility Deposits
<b>IR09</b>	<b>IRA Other - Reserved 1 (Code reserved for future IRA use)</b>	UT02	Membership Fees
<b>IR10</b>	<b>IRA Other - Reserved 2 (Code reserved for future IRA use)</b>	UT03	Refunds or Rebates
MI01	Net Revenue Interest	UT04	Capital Credit Distributions
MI02	Royalties	UT99	Aggregate Utilities
MI03	Overriding Royalties	ZZZZ	Properties Not Identified Above
MI04	Production Payments		

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Owner Type Codes	
AG	Aggregate Owner
OT	All Owners except Aggregate or Unknown
UN	Unknown Owner (no name available)

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Security Delivery Codes	
ACCOUNT	Registration of Account Only
DTC	Direct Transfer
PHYSICAL	Physical Certificate Delivery
UNT	Securities Not Transferable

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Country Codes
Available at <a href="http://www.un.org/Depts/unsd/methods/m49alpha.htm">http://www.un.org/Depts/unsd/methods/m49alpha.htm</a>

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NAICS Codes
Available at <a href="http://www.census.gov/epcd/www/naics.html">http://www.census.gov/epcd/www/naics.html</a>

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# Holder Record Format

Field #	Field Name	# of Positions	From-Thru	Type Class	Mandatory Required Optional	Acceptable Values (V) Comments / Edits
1	TR-CODE	1	1-1	N	M	(v) = "1"
2	HOLDER-TAXID	9	2-10	N	M	
3	HOLDER-TAXID-EXT	4	11-14	N	R	See Definitions
4	HOLDER-RPT-YEAR	4	15-18	C	M	
5	HOLDER-RPT-TYPE	1	19-19	C	M	A or R
6	HOLDER-RPT-NUMBER	2	20-21	C	M	(V) = 01-99
7	HOLDER-RPT-FORMAT	1	22-22	C	M	R
8	HOLDER-SIC-CODE	4	23-26	N	R	(V) = 0111-9999
9	HOLDER-INCORPORATED-STATE	2	27-28	C	R	Appendix
10(a)	HOLDER-INC-DATE-CCYY	4	29-32	N	R	(V) = 1000-9999
10(b)	HOLDER-INC-DATE-MM	2	33-34	N	R	(V) = 01-12
10(c)	HOLDER-INC-DATE-DD	2	35-36	N	R	(V) = 01-31
11	HOLDER-NAME	40	37-76	C	M	(V) = A-Z/0-9/Space/&
12	HOLDER-CITY	30	77-106	C	R	(V) = A-Z/0-9/Space
13	HOLDER-COUNTY	20	107-126	C	R	(V) = A-Z
14	HOLDER-STATE	2	127-128	C	R	Appendix
15(a)	HOLDER-CONTACT1-NAME	40	129-168	C	M	
15(b)	HOLDER-CONTACT1-ADDR1	30	169-198	C	M	
15(c)	HOLDER-CONTACT1-ADDR2	30	199-228	C	M	
15(d)	HOLDER-CONTACT1-ADDR3	30	229-258	C	M	
15(e)	HOLDER-CONTACT1-CITY	30	259-288	C	M	(V) = A-Z/0-9/Space
15(f)	HOLDER-CONTACT1-STATE	2	289-290	C	M	Appendix
15(g)	HOLDER-CONTACT1-ZIP	9	291-299	C	M	Left justify, Space fill

Field #	Field Name	# of Positions	From-Thru	Type Class	Mandatory Required Optional	Acceptable Values (V) Comments / Edits
15(h)	HOLDER-CONTACT1-COUNTRY	3	300-302	C	M	Appendix
15(i)(1)	HOLDER-CONTACT1-TEL-AC	3	303-305	N	M	
15(i)(2)	HOLDER-CONTACT1-TEL-NBR	7	306-312	N	M	
15(i)(3)	HOLDER-CONTACT1-TEL-EXTENSION	4	313-316	C	O	Space Fill
15(j)	HOLDER-CONTACT1-EMAIL	50	317-366	C	O	Space Fill
16(a)	HOLDER-CONTACT2-NAME	40	367-406	C	O	
16(b)	HOLDER-CONTACT2-ADDR1	30	407-436	C	O	
16(c)	HOLDER-CONTACT2-ADDR2	30	437-466	C	O	
16(d)	HOLDER-CONTACT2-ADDR3	30	467-496	C	O	
16(e)	HOLDER-CONTACT2-CITY	30	497-526	C	O	(V) = A-Z/0-9/Space
16(f)	HOLDER-CONTACT2-STATE	2	527-528	C	O	Appendix
16(g)	HOLDER-CONTACT2-ZIP	9	529-537	C	O	Left justify, Space fill
16(h)	HOLDER-CONTACT2-COUNTRY	3	538-540	C	O	Appendix
16(i)(1)	HOLDER-CONTACT2-TEL-AC	3	541-543	N	O	
16(i)(2)	HOLDER-CONTACT2-TEL-NBR	7	544-550	N	O	
16(i)(3)	HOLDER-CONTACT2-TEL-EXTENSION	4	551-554	C	O	Space fill
16(j)	HOLDER-CONTACT2-EMAIL	50	555-604	C	O	Space fill
17(1)	HOLDER-FAX-AC	3	605-607	N	O	
17(2)	HOLDER-FAX-NBR	7	608-614	N	O	
18	HOLDER-NAICS-CODE	6	615-620	C	R	
19	FILLER	5	621-625	C	M	Space fill

# Property Record Format

Field #	Field ID	# of Positions	From-Thru	Type Class	Mandatory Required Optional	Acceptable Values (V) Comments / Edits
1	TR-CODE	1	1-1	N	M	(V) = 2
2	PROP-SEQUENCE-NUMBER	6	2-7	N	M	(V) = 000001-999999
3	PROP-OWNER-TYPE	1	8-8	C	M	(V) = P
4	PROP-NAME-ID	1	9-9	C	M	(V) = C or space
5	PROP-OWNER-NAME-LAST	40	10-49	C	M	(V) = A-Z/0-9/Space/&
6	PROP-OWNER-NAME-FIRST	30	50-79	C	R	(V) = A-Z/0-9/Space/&
7	PROP-OWNER-NAME-MIDDLE	10	80-89	C	R	(V) = A-Z/0-9/Space/&
8	PROP-OWNER-NAME-PREFIX	10	90-99	C	R	(V) = A-Z/0-9/Space/&
9	PROP-OWNER-NAME-SUFFIX	10	100-109	C	R	(V) = A-Z/0-9/Space/&
10	PROP-OWNER-NAME-TITLE	6	110-115	C	R	(V) = A-Z/0-9/Space/&
11(a)	PROP-OWNER-ADDRESS1	30	116-145	C	R	(V) = A-Z/0-9/Space/&
11(b)	PROP-OWNER-ADDRESS2	30	146-175	C	R	(V) = A-Z/0-9/Space/&
11(c)	PROP-OWNER-ADDRESS3	30	176-205	C	R	(V) = A-Z/0-9/Space/&
12	PROP-OWNER-CITY	30	206-235	C	R	(V) = A-Z/0-9/Space
13	PROP-OWNER-COUNTY	20	236-255	C	O	
14	PROP-OWNER-STATE	2	256-257	C	R	Appendix
15	PROP-OWNER-ZIP	9	258-266	C	R	
16	PROP-OWNER-COUNTRY	3	267-269	C	R	Appendix
17	PROP-OWNER-TAXID	9	270-278	N	R	
18	PROP-OWNER-TAXID-EXT	2	279-280	C	O	
19(a)	PROP-OWNER-DOB-CCYY	4	281-284	N	O	(V) = 1000-9999
19(b)	PROP-OWNER-DOB-MM	2	285-286	N	O	(V) = 01-12
19(c)	PROP-OWNER-DOB-DD	2	287-288	N	O	(V) = 01-31
20(a)	PROP-ST-TRANS-DATE-CCYY	4	289-292	N	R	(V) = 1000-9999
20(b)	PROP-ST-TRANS-DATE-MM	2	293-294	N	R	(V) = 01-12
20(c)	PROP-ST-TRANS-DATE-DD	2	295-296	N	R	(V) = 01-31
21(a)	PROP-EN-TRANS-DATE-CCYY	4	297-300	N	O	(V) = 1000-9999
21(b)	PROP-EN-TRANS-DATE-MM	2	301-302	N	O	(V) = 01-12
21(c)	PROP-EN-TRANS-DATE-DD	2	303-304	N	O	(V) = 01-31

Field #	Field ID	# of Positions	From-Thru	Type Class	Mandatory Required Optional	Acceptable Values (V) Comments / Edits
22	PROP-PROPERTY-TYPE	4	305-308	C	R	Appendix
23	PROP-AMOUNT-REPORTED	10	309-318	N	M	
24	PROP-DEDUCTION-TYPE	2	319-320	C	M	If Deduction Amt > 0
25	PROP-DEDUCTION-AMOUNT	10	321-330	N	M	
26	PROP-AMOUNT-ADVERTISED	10	331-340	N	M	
27	PROP-ADDITION-TYPE	2	341-342	C	R	If Addition Amt > 0
28	PROP-ADDITION-AMOUNT	10	343-352	N	M	
29	PROP-DELETION-TYPE	2	353-354	C	R	If Deletion Amt > 0
30	PROP-DELETION-AMOUNT	10	355-364	N	M	
31	PROP-AMOUNT-REMITTED	10	365-374	N	M	If Cash
32	PROP-INTEREST-FLAG	1	375-375	C	M	If Interest Bearing
33	PROP-INTEREST-RATE	7	376-382	N	R	If Flag = "Y"
34	PROP-STOCK-ISSUE-NAME	25	383-407	C	R	If Security
35	PROP-STOCK-CUSIP	9	408-416	C	R	If Security
36	PROP-NUMBER-OF-SHARES	12	417-428	N	R	If Security
37	PROP-ADD-SHARES	12	429-440	N	R	If Security
38	PROP-DEL-SHARES	12	441-452	N	R	If Security
39	PROP-REM-SHARES	12	453-464	N	R	If Security
40	PROP-UNEXCHANGED-ISSUE-NAME	25	465-489	C	R	If Unexch
41	PROP-UNEXCHANGED-CUSIP	9	490-498	C	R	If Unexch
42	PROP-UNEXCHANGED-SHARES	12	499-510	N	R	If Unexch
43	PROP-ACCT-NUMBER	20	511-530	C	O	
44	PROP-CHECK-NUMBER	20	531-550	C	O	
45	PROP-DESCRIPTION	50	551-600	C	O	
46	PROP-RELATIONSHIP-CODE	2	601-602	C	M	Appendix
47	PROP-OWNER-TYPE-CODE	2	603-604	C	M	Appendix
48	FILLER	21	605-625	C	M	Space fill

## Additional Owner Record Format

Field #	Field ID	# of Positions	From-Thru	Type Class	Mandatory Required Optional	Acceptable Values (V) Comments / Edits
1	TR-CODE	1	1-1	N	M	(V) = 3
2	PADD-SEQUENCE-NUMBER	6	2-7	N	M	(V) = PROP-SEQUENCE-NO
3	PADD-OWNER-TYPE	1	8-8	C	M	(V) = A
4	PADD-OWNER-NAME-LAST	40	9-48	C	M	(V) = A-Z/0-9/Space/&
5	PADD-OWNER-NAME-FIRST	30	49-78	C	R	(V) = A-Z/0-9/Space/&
6	PADD-OWNER-NAME-MIDDLE	10	79-88	C	R	(V) = A-Z/0-9/Space/&
7	PADD-OWNER-NAME-PREFIX	10	89-98	C	R	(V) = A-Z/0-9/Space/&
8	PADD-OWNER-NAME-SUFFIX	10	99-108	C	R	(V) = A-Z/0-9/Space/&
9	PADD-OWNER-NAME-TITLE	6	109-114	C	R	(V) = A-Z/0-9/Space/&
10(a)	PADD-OWNER-ADDRESS1	30	115-144	C	R	(V) = A-Z/0-9/Space/&
10(b)	PADD-OWNER-ADDRESS2	30	145-174	C	R	(V) = A-Z/0-9/Space/&
10(c)	PADD-OWNER-ADDRESS3	30	174-204	C	R	(V) = A-Z/0-9/Space/&
11	PADD-OWNER-CITY	30	205-234	C	R	(V) = A-Z/0-9/Space
12	PADD-OWNER-COUNTY	20	235-254	C	O	
13	PADD-OWNER-STATE	2	255-256	C	R	Appendix
14	PADD-OWNER-ZIP	9	257-265	C	R	
15	PADD-OWNER-COUNTRY	3	266-268	C	R	Appendix
16	PADD-OWNER-TAXID	9	269-277	C	R	Space fill
17	PADD-OWNER-TAXID-EXT	2	278-279	C	R	Space fill
18(a)	PADD-OWNER-DOB-CCYY	4	280-283	N	O	(V) = 1000-9999
18(b)	PADD-OWNER-DOB-MM	2	284-285	N	O	(V) = 01-12
18(c)	PADD-OWNER-DOB-DD	2	286-287	N	O	(V) = 01-31
19	PADD-RELATIONSHIP-CODE	2	288-289	C	M	Appendix
20	PADD-SEQ-NUMBER	3	290-292	N	M	Initial (V) = 1, Increment by 1 for each owner on the same property
21	PADD-OWNER-TYPE-CODE	2	293-294	C	M	Appendix
22	PADD-NAME-ID	1	295-295	C	M	C or space
23	FILLER	330	296-625	C	M	Space fill

## Securities Info Record Format

Field #	Field ID	# of Positions	From-Thru	Type Class	Mandatory Required Optional	Acceptable Values (V) Comments / Edits
1	TR-CODE	1	1-1	N	M	(V) = 5
2	PROP-SEQUENCE-NUMBER	6	2-7	N	M	(V) = PROP-SEQUENCE-NO
3	SECR-SUBISSUE-NAME	150	8-157	C	O	
4	SECR-ORIGINAL-SHRS-HELD	12	158-169	N	O	
5	SECR-ORIGINAL-REG-NAME	70	170-239	C	O	Exact registration name
6	SECR-DELIVERY-METHOD	10	240-249	C	M	Appendix
7	SECR-CERTIFICATE	20	250-269	C	O	Original Certificate Number
8	SECR-SYMBOL	10	270-279	C	O	
9	SECR-DEPOSIT-ACCOUNT	20	280-299	C	O	
10	SECR-MUTL-FAMILY	50	300-349	C	O	
11	FILLER	276	350-625	C	M	Space fill



# Tangible Property Record Format

Field #	Field ID	# of Positions	From-Thru	Type Class	Mandatory Required Optional	Acceptable Values (V) Comments / Edits
1	TR-CODE	1	1-1	N	M	(V) = 6
2	PROP-SEQUENCE-NUMBER	6	2-7	N	M	(V) = PROP-SEQUENCE-NO
3	TANG-SEQUENCE-NUMBER	3	8-10	N	M	
4	TANG-BOX-NUMBER	25	11-35	N	M	
5	TANG-DESCRIPTION	125	36-160	N	M	
6	TANG-UNPAID-RENT	12	161-172	N	O	
7	TANG-DRILLING-FEES	12	173-184	N	O	
8(a)	TANG-OPENED-DATE-CCYY	4	185-188	N	M	
8(b)	TANG-OPENED-DATE-MM	2	189-190	N	M	
8(c)	TANG-OPENED-DATE-DD	2	191-192	N	M	
9	TANG-OPENED-BY	25	193-217	C	O	
10(a)	TANG-EXPIRED-DATE-CCYY	4	218-221	N	O	
10(b)	TANG-EXPIRED-DATE-MM	2	222-223	N	O	
10(c)	TANG-EXPIRED-DATE-DD	2	224-225	N	O	
11	TANG-CATEGORY-TYPE-CODE	4	226-229	C	R	
12	FILLER	396	230-625	C	M	Space fill

## Summary Record Format

Field #	Field ID	# of Positions	From-Thru	Type Class	Mandatory Required Optional	Acceptable Values (V) Comments / Edits
1	TR-CODE	1	1-1	N	M	(V) = 9
2	SUMM-NBR-OF-RECORDS	6	2-7	N	M	
3	SUMM-NBR-OF-PROPERTIES	6	8-13	N	M	
4	SUMM-A MOUNT-REPORTED	12	14-25	N	M	
5	SUMM-DEDUCTION-A MOUNT	12	26-37	N	M	
6	SUMM-A MOUNT-ADVERTISED	12	38-49	N	M	
7	SUMM-ADDITION-A MOUNT	12	50-61	N	M	
8	SUMM-DELETION-A MOUNT	12	62-73	N	M	
9	SUMM-A MOUNT-REMITTED	12	74-85	N	M	
10	SUMM-NBR-OF-SHARES	14	86-99	N	M	
11	SUMM-SHARES-ADD	14	100-113	N	M	
12	SUMM-SHARES-DEL	14	114-127	N	M	
13	SUMM-SHARES-REMITTED	14	128-141	N	M	
14	SUMM-NEGATIVE-REPORT	1	142-142	C	O	Y or space
15	SUMM-SOFTWARE-VERSION	20	143-162	C	M	
16	SUMM-CREATOR	20	163-182	C	M	
17	SUMM-CREATOR-CONTACT	70	183-252	C	M	
18	FILLER	373	253-625	C	M	Space fill