

**DIVISION OF LOTTERY  
COLLECTION AND DISBURSEMENT SERVICES RFP 2015**

**State of New Jersey  
Unclaimed Property Administration (UPA)**

**ELECTRONIC MEDIA REPORTING SPECIFICATIONS**

**I. ELECTRONIC MEDIA SPECIFICATIONS**

- The two options for filing your annual unclaimed property report is either by utilizing the State's Online Holder Reporting application or mailing in your electronic file (stored on a CD/DVD) with the required paperwork.
- The Electronic 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.
- If mailing in the electronic file it must be the only file on the CD or DVD and will be in the root directory. (See section on multiple holder reports for reporting more than one holder on a single CD or DVD).
- If mailing in the electronic file the storage media must have an external label with name, address of reporting organization and year.
- Paper printouts of the file are not required unless specifically requested.
- Record length - 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 (see next page).
- Do not use any punctuation (e.g. decimals, spaces).
- MAXIMUM NUMBER OF RECORDS PER FILE IS 99,999.

**NOTE:** New Jersey accepts NAUPA 2 standard format–Free Reporting Software is available through a link on the NJ Unclaimed Property website:

**HRS Pro (Holder Reporting System)**

This software assists Holders in the creation of a NAUPA format report. This software can be accessed directly at: [www.wagers.net](http://www.wagers.net)

**NOTE:** The UPA now has an Online Holder Reporting application to submit the annual

report and remit the unclaimed property funds. The HRS-Pro application provides a link to the NJ UPA Online Holder Reporting Application after the report file has been created in HRS-Pro.

## II. RECORD TYPE DESCRIPTIONS and TR-CODES

The NAUPA standard for reporting unclaimed property is based upon 6 record types:

<u>RECORD TYPE</u>	<u>TR-CODE</u>
1. Holder Records	1 – then it is a HOLDER record
2. Property Records	2 – then it is a PROPERTY record
3. Property Additional Owners	3 – then it is a PROPADD record
4. NOT IN USE IN NJ	
5. Securities Additional Information	5 – then it is a SECURITY record
6. Tangible Property Information	6 – then it is a TANGIBLE record
7. NOT IN USE IN NJ	
8. NOT IN USE IN NJ	
9. Summary Information	9 – then it is a SUMINFO record

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.

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 Reports

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 CD or DVD 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**

### **HOLDER Record - Field Definitions / Specifications**

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.

#### **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.

For example:

For states for which the report period ends June 30, 2013, the holder report year would be "2013".

Insurance Companies: For states for which the report period ends December 31, 2013, the holder report year would be "2013".

#### **5. HOLDER-RPT-TYPE**

a) Advertising Report: N/A in New Jersey

b) Remittance Report:

This field should be populated with "R" to denote that this is a remittance report, i.e., money and/or property are being remitted at this time.

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.

## 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 "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.

## 10. HOLDER-INCORPORATED-DATE

HOLDER-INC-DATE-CCYY (four-digit year)

HOLDER-INC-DATE-MM (two-digit month)

HOLDER-INC-DATE-DD (two-digit day)

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. "MM" equals the numerical month, "DD" equals the day, "CC" equals the century, and "YY" equals the year.

## 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.

## 15. 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.

- (a) NAME      Enter the report contact person's name in the order of first, middle, and last.
- (b) ADDR1
- (c) ADDR2
- (d) ADDR3
- (e) CITY      Enter the city. Do not use commas. If the address is outside the United States, list the province, etc. here.
- (f) STATE     Enter the two-character state postal abbreviation.
- (g) ZIP        Enter the five or nine character zip code. If you use only the first 5 positions, space fill the remaining 4 positions, i.e., do NOT use zeros to fill the remaining positions. Do not include any hyphens in the zip code.

(h) COUNTRY-Enter the three-letter country abbreviation, e.g., USA.

(i) TELEPHONE

(1) TEL-AC Enter the area code.

(2) TEL-NBR Enter the seven-digit telephone number.

(3) TEL-EXTENSION

Enter the telephone extension. Space fill if not applicable. Do NOT zero fill.

(j) EMAIL Enter the email address for Contact 1.

## 16. 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.

(a) NAME Enter the claim contact person's name, in the order of first, middle, and last.

(b) ADDR1

(c) ADDR2

(d) ADDR3

(e) CITY Enter the city. Do not use commas. If the address is outside the United States, list the province, etc. here.

(f) STATE Enter the two-character state postal abbreviation.

(g) ZIP Enter the five or nine character zip code. If you use only the first 5 positions, space fill the remaining 4 positions, i.e., do NOT use zeros to fill the remaining positions. Do not include any hyphens in the zip code.

(h) COUNTRY-Enter the 3-letter country abbreviation, e.g., USA.

(i) TELEPHONE

(1) TEL-AC Enter the area code.

(2) TEL-NBR Enter the seven-digit telephone number.

(3) TEL-EXTENSION Enter the telephone extension. Space fill if not applicable.  
Do NOT zero fill.

(j) EMAIL Enter the email address for Contact 2.

## 17. HOLDER-FAX

(1) TEL-AC

Enter the area code.

(2) TEL-NBR

Enter the seven-digit fax number.

## 18. NAICS CODE

Enter the NAICS code. A listing of acceptable values can be found at  
<http://www.census.gov/epcd/www/naics.html>.

19. FILLER Space fill.

## PROPERTY Record - Field Definitions / Specifications

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.

### 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**

Enter the owner's last name or the company name if it is a business.

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.

If the owner record is an aggregate, enter in this field "AGGREGATE." If the owner/owners are unknown, enter "UNKNOWN." The Aggregate amount limit is \$50.

**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 M/M (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.

**11. 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."

(a) ADDRESS1

(b) ADDRESS2

(c) 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 5 digits are used, blank fill the remaining 4 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.

## **19. PROP-OWNER-DATE-OF-BIRTH**

(a) PROP-OWNER-DOB-CCYY (four digit year)

(b) PROP-OWNER-DOB-MM (two digit month)

(c) PROP-OWNER-DOB-DD (two digit day)

Enter the owner's date of birth. "MM" equals the numerical month, "DD" equals the day, "CC" equals the century, and "YY" equals the year.

## 20. PROP-STARTING-TRANSACTION-DATE

(a) PROP-ST-TRANS-DATE-CCYY (four digit year)

(b) PROP-ST-TRANS-DATE-MM (two digit month)

(c) PROP-ST-TRANS-DATE-DD (two digit day)

**This field is required.** 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).

"MM" equals the numerical month, "DD" equals the day, "CC" equals the century, and "YY" equals the 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.)

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. 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.

## 21. PROP-ENDING-TRANSACTION-DATE

(a) PROP-EN-TRANS-DATE-CCYY (four digits)

(b) PROP-EN-TRANS-DATE-MM (two digits)

(c) PROP-EN-TRANS-DATE-DD (two digits)

Refer to number 20 above. Enter in this field the date of the last periodic payment. This field is only used if the property reported is from periodic payments.

## 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**

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.

Examples: \$253 = 0000025300, \$253.73 = 0000025373

**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**

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.

Examples: \$253 = 0000025300, \$253.73 = 0000025373

**26. PROP-AMOUNT-ADVERTISED**

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.

Examples: \$253 = 0000025300, \$253.73 = 0000025373

**27. PROP-ADDITION-TYPE**

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.

NOTE: 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.

**28. PROP-ADDITION-AMOUNT**

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.

Examples: \$253 = 0000025300, \$253.73 = 0000025373

**29. PROP-DELETION-TYPE**

Enter the two-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.

NOTE: 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.

**30. PROP-DELETION-AMOUNT**

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.

Examples: \$253 = 0000025300, \$253.73 = 0000025373

**31. PROP-AMOUNT-REMITTED**

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.)

Examples: \$253 = 0000025300, \$253.73 = 0000025373

**32. PROP-INTEREST-FLAG**

If the property is interest-bearing, the PROP-INTEREST-FLAG should be "Y." Otherwise, the FLAG will indicate "N."

**33. PROP-INTEREST-RATE**

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.

Examples: 5.00% would be entered as 0050000, 10.25% would be entered as 0102500, 2.375% would be entered as 0023750.

NOTE: Questions concerning the interest fields should be directed to the reporting state.

**34. PROP-STOCK-ISSUE-NAME**

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.

If the issue name is longer than the allowed field, please use the SECURITIES record type to include the entire security name.

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.

### **35. PROP-STOCK-CUSIP**

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.

### **36. PROP-NUMBER-OF-SHARES**

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.

Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334

### **37. PROP-ADD-SHARES**

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.

Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334

NOTE: 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.

### **38. PROP-DEL-SHARES**

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.

Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334

NOTE: 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.

### **39. PROP-REM-SHARES**

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.

Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334

### **40. PROP-UNEXCHANGED-ISSUE-NAME**

Enter the name of the security issue which is still in the possession of the owner.

### **41. PROP-UNEXCHANGED-CUSIP**

Enter the CUSIP number of the security issue which is still in the possession of the owner.

### **42. PROP-UNEXCHANGED-SHARES**

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.

Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334

### **43. PROP-ACCT-NUMBER**

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.

### **44. PROP-CHECK-NUMBER**

Provide the check number if reporting cashier's checks or any other outstanding checks.

### **45. PROP-DESCRIPTION**

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.

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. When all properties in an aggregate are the same property type code such as CK01, use CK01 not CK99 in the Property Type Code

LASTNAME ='AGGREGATE'

FIRSTNAME = # of items in aggregate

#### **46. PROP-RELATIONSHIP-CODE**

This field must be populated. The PROP-RELATIONSHIP-CODE indicates who must claim the property. Refer to the Relationship Code list for relationship codes.

#### **47. PROP-OWNER-TYPE-CODE**

This field must be populated. The PROP-OWNER-TYPE-CODE indicates the type of owner. Refer to the Owner-Type-Codes for Owner codes.

#### **48. FILLER**

Space fill.

### **PROPADD Record - Field Definitions / Specifications**

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.

#### **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 M/M (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.

#### **10. PADD-OWNER**

(a) ADDRESS1

(b) ADDRESS2

(c) ADDRESS3

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.

#### **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.

**13. PADD-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, fill with blanks.

**14. PADD-OWNER-ZIP**

Enter the owner's five or nine 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.

**18. PADD-OWNER-DATE-OF-BIRTH**

(a) PADD-OWNER-DOB-CCYY (four digit year)

(b) PADD-OWNER-DOB-MM (two digit month)

(c) PADD-OWNER-DOB-DD (two digit day)

Enter the owner's date of birth. "MM" equals the numerical month, "DD" equals the day, "CC" equals the century and "YY" equals the year.

**19. PADD-RELATIONSHIP-CODE**

This field must be populated. 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 Owner-Type-Code list 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 -Field Definitions / Specifications**

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

**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 - Field Definitions / Specifications**

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

**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.

**8. TANG-OPENED-DATE**

The date the Safe Deposit box was opened.

(a) TANG-OPENED-DATE-CCYY (four digit year)

(b) TANG-OPENED-DATE-MM (two digit month)

(c) TANG-OPENED-DATE-DD (two digit day)

**9. TANG-OPENED-BY**

Enter the person who opened the safe deposit box.

**10. TANG-EXPIRED-DATE**

Enter the date the safe deposit box lease expired.

(a) TANG-EXPIRED-DATE-CCYY (four digit year)

(b) TANG- EXPIRED-DATE-MM (two digit month)

(c) TANG- EXPIRED-DATE-DD (two digit day)

**11. TANG-CATEGORY-TYPE-CODE**

Contact each state for valid code listings.

## 12. FILLER

Space fill.

### SUMINFO Record - Field Definitions / Specifications

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.

#### 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 two record file represents a negative (none) report, i.e., no owners reported.

#### 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.

Example: \$1,150,125.26 = 000115012526

#### 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.

Example: \$1,150,125.26 = 000115012526

#### 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.

Example: \$1,150,125.26 = 000115012526

#### **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.

Example: \$1,150,125.26 = 000115012526

#### **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.

Example: \$1,150,125.26 = 000115012526

#### **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.

Example: \$1,150,125.26 = 000115012526

#### **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.

Example: 124256.5984 = 00001242565984

#### **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.

Example: 124256.5984 = 00001242565984

#### **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.

Example: 124256.5984 = 00001242565984

**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.

Example: 124256.5984 = 00001242565984

**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.

**NAUPA Standard Electronic File 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.

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

DV	Dividends Earned
DR	Reported in Error on Advertising Report
IN	Interest Earned
ME	Additional Royalty or other Mineral Interest Payments
SP	Stock Split
ZZ	Addition Code Not Identified Above
<b>Paid or Deletion Codes</b>	
RO	Returned to Owner
ER	Erroneously Reported
RS	Reverse Stock Split
ZZ	Deletion Code not Identified Above
<b>Relationship Codes</b>	
SO	Sole Owner
AD	Administrator
AF	Attorney For
AG	Agent For
AN	And
BF	Beneficiary
OR	Or
AO	And / Or
CC	Co-Conservator
CF	Custodian For
CN	Conservator
FB	For Benefit of
IN	Insured
TE	Trustee
EX	Executor or Executrix
JS	Joint Tenants with Rights of Survivorship
JC	Joint Tenants in Common
PA	Payee
PO	Power of Attorney
RE	Remitter
UG	Uniform Gift to Minors Act (UGMA)
GR	Guardian For
CP	Community Property



ES	Estate
EX	Executor or Executrix
HE	Heir
JT	Joint Tenants
TC	Tenants in Common
JE	Tenants in Entireties
PD	Payable on Death
OT	Other Relationship
UN	Unknown
UT	Uniform Transfer to Minor

<b>Owner Type Codes</b>	
OT	All Owners except Aggregate or Unknown
UN	Unknown Owner (no name available)
AG	Aggregate Owner
<b>Security Delivery Codes</b>	
DTC	Direct Transfer
PHYSICAL	Physical Certificate Delivery
ACCOUNT	Registration of Account Only
UNT	Securities Not Transferable
<b>Country Codes</b>	
Available at <a href="http://www.un.org/Depts/unsd/methods/m49alpha.htm">http://www.un.org/Depts/unsd/methods/m49alpha.htm</a>	
<b>NAICS Codes</b>	
Available at <a href="http://www.census.gov/epcd/www/naics.html">http://www.census.gov/epcd/www/naics.html</a>	

### NAUPA Standard Electronic File Format

#### HOLDER RECORD FORMAT

Field Number	Field Name	Number of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (V) Comments / Edits
1	TR-CODE	1	1	1	N	M	(V)="1"
2	HOLDER-TAX ID	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	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

EXHIBIT N

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
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			
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			
17(1)	HOLDER-FAX-AC	3	605	607		O	
17(2)	HOLDER-FAX-NBR	7	608	614		O	
18	HOLDER-NAICS-CODE	6	615	620	C	R	
19	Filler	5	621	625	C	M	Space fill

NAUPA Standard Electronic File Format

PROPERTY RECORD FORMAT

Field Number	Field Name	Number of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (V) Comments / Edits
1	TR-CODE	1	1	1	N	M	(V)=""
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-

## EXHIBIT N

							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
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			

**NAUPA Standard Electronic File Format**

**ADDITIONAL OWNER RECORD FORMAT**

Field Number	Field Name	Number of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (V) Comments / Edits
1	TR-CODE	1	1	1	N	M	(V)="3"
2	PROP-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	175	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-YY	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

**NAUPA Standard Electronic File Format**

**SECURITIES INFO RECORD FORMAT**

Field Number	Field Name	Number of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (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-SHS-HELD	12	158	169	N	O	
5	SECR-ORIGINAL-REG-NAME	70	170	239	C	O	Exact Registration Name
6	SECR-DELIVERY-MTHOD	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

**NAUPA Standard Electronic File Format**

**TANGIBLE PROPERTY RECORD FORMAT**

Field Number	Field Name	Number of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (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		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	C	O	
10(b)	TANG-EXPIRED-DATE-MM	2	222	223			
10(c)	TANG-EXPIRED-DATE-DD	2	224	225			
11	TANG-CATEGORY-TYPE-CODE	4	226	229	C	M	
12	FILLER	396	230	625	C	M	Space fill

**NAUPA Standard Electronic File Format**

**SUMMARY RECORD FORMAT**

Field Number	Field Name	Number of Positions	From	Through	Type Class	Mandatory Required Optional	Acceptable Value (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-AMOUNT-REPORTED	12	14	25	N	M	
5	SUMM-DEDUCTION-AMOUNT	12	26	37	N	M	
6	SUMM-AMOUNT-ADVERTISED	12	38	49	N	M	
7	SUMM-ADDITION-AMOUNT	12	50	61	N	M	
8	SUMM-DELETION-AMOUNT	12	62	73	N	M	
9	SUMM-AMOUNT-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	

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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