

General Information



In the 1990s, NAUPA approved a standard set of codes in a uniform format to make electronic reporting more uniform. Improvements were adopted at the NAUPA annual meeting in St. Louis, Missouri in July 2002 and became effective for the Fall 2003 reporting period. The format was further revised by the membership on December 8, 2010 to add codes for new types of property have been developed and/or enhanced since the original format was adopted, related to individual retirement accounts, health savings accounts and educational savings accounts. New Relationship and Ownership Codes with accompanying definitions were added and became effective on September 26, 2013.

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Reporting Media

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

- 1.44M Floppy Diskette (**only where approved** - contact the reporting state prior to sending for details.)
- 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 | 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. |

| Field # | Field ID | Description |
|---------|---------------------------|--|
| | | <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. |
| | 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. |

| Field # | Field ID | Description |
|----------|-------------------------------|---|
| 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. |
| 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 http://www.census.gov/epcd/www/naics.html . |
| 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. |

| Field # | Field ID | Description |
|---------|--------------------------|--|
| 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 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. |
| | 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." |
| 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. |

| Field # | Field ID | Description |
|---------|--------------------------------|---|
| | PROP-STARTING-TRANSACTION-DATE | <p>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).</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.) |
| 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 | 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. <i>Examples: \$253 = 0000025300, \$253.73 = 0000025373</i> |
| 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. <i>Examples: \$253 = 0000025300, \$253.73 = 0000025373</i> |
| 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. <i>Examples: \$253 = 0000025300, \$253.73 = 0000025373</i> |
| 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>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.</p> |
| 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. <i>Examples: \$253 = 0000025300, \$253.73 = 0000025373</i> |

| Field # | Field ID | Description |
|---------|-----------------------|---|
| 29 | PROP-DELETION-TYPE | 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. 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.) Example: \$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 |

| Field # | Field ID | Description |
|---------|-----------------------------|--|
| 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. <i>Examples: 543 = 000005430000, 543.73 = 000005437300, 1,543.7334 = 000015437334</i> |
| 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. |
| 46 | PROP-RELATIONSHIP-CODE | This field must be populated. The PROP-RELATIONSHIP-CODE indicates who must claim the property. Refer to the Appendix 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 Appendix for Owner 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 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. |

| Field # | Field ID | Description |
|---------|--------------------------|--|
| | 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. |
| 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 | 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 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. |

| Field # | Field ID | Description |
|---------|-------------------------|---|
| 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. Note: 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> |
| 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> |

| Field # | Field ID | Description |
|---------|-----------------------|---|
| 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](#)
[Ownership](#) [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 Revised Effective 09/26/2013

| Relationship Codes | | |
|--------------------|--------------------------------------|--|
| AD | Administrator | The person appointed by the court to handle the estate of someone who died without a will, with a will with no nominated executor, or the executor named in the will has died, has been removed from the case, or does not desire to serve. |
| AG | Agent For | A person who is authorized to act for another (the agent's principal) through employment, by contract or apparent authority. |
| AF | Attorney For | A person who has been qualified by a state or Federal court to provide legal services, including appearing in court, and is authorized to act for another. |
| AN | And (Unspecified Joint Relationship) | Unspecified joint relationship including 'AND'. |
| BF | Beneficiary | Any person or entity (like a charity) who is to receive assets or profits from an estate, a trust, an insurance policy or any instrument in which there is distribution. |
| CP | Community Property | Property or earnings received by a husband and wife during marriage, other than by gift, devise, or descent. Separate property is property owned by a spouse before marriage or received during the marriage by gift, devise or descent. In some jurisdictions, earnings from separate property are also separate property and in some jurisdictions, such earnings are community property. Recognized by California, Arizona, New Mexico, Texas, Nevada, Idaho, Washington, Wisconsin, Louisiana and Puerto Rico. |
| CN | Conservator | A guardian and protector appointed by a judge to protect and manage the financial affairs and/or the person's daily life due to physical or mental limitations or old age. |
| CF | Custodian | A person with whom some article is left, usually pursuant to a contract (called a "contract of bailment"), who is responsible for the safe return of the article to the owner when the contract is fulfilled. |
| DF | Defendant | The party sued in a civil lawsuit or the party charged with a crime in a criminal prosecution. |
| ES | Estate | All the possessions of one who has died and are subject to probate (administration supervised by the court) and distribution to heirs and beneficiaries, all the possessions which a guardian manages for a ward (young person requiring protection and administration of affairs), or assets a conservator manages for a conservatee (a person whose physical or mental lack of competence requires administration of his/her affairs). |
| EX | Executor or Executrix | The person appointed to administer the estate of a person who has died leaving a will which nominates that person. |
| FB | For Benefit of | A person who is entitled to property that is held by another person (typically a custodian or trustee). FB is typically used in trustee, self-directed, inherited, education and transferred accounts. |
| GR | Guardian | A person who has been appointed by a judge to take care of a minor child (called a "ward") or incompetent adult personally and/or manage that person's affairs. |

Relationship Codes Revised Effective 09/26/2013

| Relationship Codes | | |
|--------------------|---|---|
| HE | Heir | Anyone who receives property of a deceased person either by will or under the laws of descent and distribution. (Explanation: a devisee under a will is also an "heir", even though unrelated to the decedent.) |
| IN | Insured | The person or entity who will be compensated for loss by an insurer under the terms of a contract called an insurance policy. |
| JT | Joint Tenants | An account held in joint tenancy presumes a right of survivorship, but this presumption can be overcome by evidence that the account was really the property of only one, and the joint tenancy was for convenience. Right of Survivorship is not specifically stated. |
| JS | Joint Tenants with Rights of Survivorship | A type of account which is owned by at least two people, where all tenants have an equal right to the account's assets and are afforded survivorship rights in the event of the death of another account holder. In this type of account, a surviving member will inherit the total value of the other member's share of account assets upon the death of that other member. All members of the account are afforded the power to conduct investment transactions within the account as well. |
| TC | Tenants in Common | A type of account which is owned by at least two people with no rights of survivorship afforded to any of the account holders. In this type of account, a surviving tenant of the account does not necessarily acquire the rights (and account assets) of the deceased person. Rather, each tenant in the account can stipulate in a written will how his/her assets will be distributed upon his/her death. Generally, the member ownership in the account is determined on a pro rata basis, meaning that if there are two tenants in the account, each will have a 50% claim on the account's value. |
| JE | Tenants in Entireties | Joint ownership of property or securities by a husband and wife where, upon the death of one, the property goes to the survivor. |
| OR | (Or) Unspecified Joint Relationship | Unspecified joint relationship including 'OR' |
| OT | Other Relationship | Relationship other than specified in this list. Additional details should be submitted with the property. |
| PD | Payable On Death | Account is payable on Death to an alternate owner. Upon the original owner's death, the beneficiary must supply identification and a copy of the original owner's death certificate. |
| PA | Payee | The one named on a check or promissory note to receive payment. |
| PO | Power of Attorney | A written document signed by a person giving another person the power to act for the signer in designated circumstances and with respect to designated property. Explanation: There are both general powers of attorney which give the authorized party broad discretion and special powers of attorney that are limited in scope. |
| RE | Remitter | Used primarily on official checks. The Remitter is the person who purchased the official check. This relationship is separate from the Holder who turns the property over to the state. |
| SO | Sole Owner | Sole Owner is used when there is only a single owner for the property, and that person has all rights to the ownership of the property. |
| TE | Trustee | A person or entity who holds the assets (corpus) of a trustee for the benefit of the beneficiaries and manages the trust and its assets under the terms of the trust stated in the Declaration of Trust which created it. |
| UG | Uniform Gifts to Minor | Property that is gifted to a Minor under the Uniform Gifts to Minors Act – (UGMA). This act allows minors to own property such as securities. Under the UGMA, the ownership of the funds works like it does with any other trust except that the donor must appoint a custodian (the trustee) to look after the account. Regardless of whether the minor has reached the age of majority, they should be coded with the UG relation. The custodian on the account should be coded as CU. |
| UT | Uniform Transfer to Minor | Property that is gifted to a minor under the Uniform Transfer to Minors Act – (UTMA). This act allows a minor to receive gifts such as money, patents, royalties, real estate and fine art, without the aid of a guardian or trustee. The gift giver or an appointed custodian manages the minor's account until the minor is of age (usually 18 or 21). |
| UN | Unknown | The owner's relationship to the property is not known. |
| UF | Usufruct | Usufruct is a real right in a property owned by another, normally for a limited time or until death. Simply stated, it is the right to use the property, to enjoy the fruits and income of the property, to rent the property out and to collect the rents, all to the exclusion of the underlying real or naked owner. The usufructuary has the full right to use the property but cannot dispose of the property nor can it be destroyed. |

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| Property Type Codes | | | |
|---------------------|---|------|---|
| 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 |
| 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 |
| CS01 | Educational Savings Accounts - Cash | SC02 | Interest (Bond Coupons) |
| CS02 | Educational Savings Accounts - Mutual Funds | SC03 | Principal Payments |
| CS03 | Educational Savings Accounts - Securities | SC04 | Equity Payments |
| CS04 | Reserved for Educational Savings Accounts (Code reserved for future use) | 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 |
| HS01 | Health Savings Account | SC12 | Underlying Shares or other Outstanding Certificates |
| HS02 | Health Savings Account Investment | SC13 | Funds for Liquidation / Redemption of Un-surrendered Stock or Bonds |
| HS03 | Reserved for Health Savings Account (Code reserved for future use) | SC14 | Debentures |
| IN01 | Individual Policy Benefits or Claim Payments | SC15 | U S Govt Securities |

| Property Type Codes | | | |
|---------------------|---|------|-----------------------------------|
| 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 |
| IR01 | Traditional IRA - Cash | SD03 | Other Tangible Property |
| IR02 | Traditional IRA - Mutual Funds | TR01 | Paying Agent Account |
| IR03 | Traditional IRA - Securities | TR02 | Undelivered or Uncashed Dividends |
| IR04 | Reserved for Traditional IRA, SEP IRA, SARSEP IRA, and SIMPLE IRA (Code reserved for future use) | TR03 | Funds held in Fiduciary Capacity |
| IR05 | Roth IRA - Cash | TR04 | Escrow Accounts |
| IR06 | Roth IRA - Mutual Funds | TR05 | Trust Vouchers |
| IR07 | Roth IRA - Securities | TR99 | Aggregate Trust Property |
| IR08 | Reserved for Roth IRA (Code reserved for future use) | UT01 | Utility Deposits |
| IR09 | IRA Other - Reserved 1 (Code reserved for future IRA use) | UT02 | Membership Fees |
| IR10 | IRA Other - Reserved 2 (Code reserved for future IRA use) | 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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Ownership Codes Revised Effective 09/26/2013

| Ownership Codes- | | |
|------------------|--|---|
| AP | Aggregate Property | This property represents a group of properties that have been aggregated together, usually because of small values. |
| OT | All Owners except Aggregate or Unknown | This property represents individual property records that are not reported as aggregate or unknown, and is used when an owner's name is known and included in the report. |
| UN | Unknown Owner (no name available) | This property represents individual property records in which the original owner's name is unknown. |

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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 CodesAvailable at <http://www.un.org/Depts/unsd/methods/m49alpha.htm>[Back to Top](#)**NAICS Codes**Available at <http://www.census.gov/epcd/www/naics.html>[Back to Top](#)

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/& |

| Field # | Field ID | # of Positions | From-Thru | Type Class | Mandatory Required Optional | Acceptable Values (V) Comments / Edits |
|---------|-----------------------------|----------------|-----------|------------|-----------------------------|--|
| 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 |

| Field # | Field ID | # of Positions | From-Thru | Type Class | Mandatory Required Optional | Acceptable Values (V) Comments / Edits |
|---------|-------------------------|----------------|-----------|------------|-----------------------------|--|
| 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 | 290-282 | 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-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 | |
| 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 |

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