

NAUPA Standard Electronic File Format (Revised 7/2002)

General Information

This version of the NAUPA Holder Reporting format was approved at the NAUPA Annual Convention in St. Louis on July 14, 2002. It will be effective for the November 2003 Reporting Cycle.

Changes from Previous version are color coded. The color indicators are as follows:
Green - Added to Specification; Red – Changed from Previous Specification

Reporting Media:

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

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

Standards:

Holders need to conform to the following standards:

Diskettes must be IBM PC/AT compatible 1.44MB 3 1/2" floppy disks.

The file must be in non-delimited ASCII format with no imbedded control characters or hexadecimal values, etc.

Each record will be separated by a Carriage-Return and Line-Feed (CR/LF).

All numeric fields (type code N) must be right-justified, zero filled, with decimal points assumed. No decimal points are actually entered.

All character fields (type code C) must be left-justified, space filled.

The file will be the only file on the diskette and will be in the root directory. (See section on multiple holder reports for reporting more than one holder on a single diskette.)

All diskettes must include an external label with the preparer's name and telephone number. Paper printouts of the file may be sent to assist the information-processing staff in correcting minor errors, but are not required.

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

Record Type Descriptions

The NAUPA standard for reporting unclaimed property is based upon 7 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 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 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

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, 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".

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.

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 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.

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 NAISC 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." Contact the reporting state for the Aggregate amount limit.

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.

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 - 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 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 -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

Appendices

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.

Deduction and Withholding Codes	
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
Addition Codes	
DV	Dividends Earned
ER	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
Paid or Deletion Codes	
RO	Returned to Owner
ER	Erroneously Reported
RS	Reverse Stock Split
ZZ	Deletion Code not Identified Above
Relationship Codes	
SO	Sole Owner
AD	Administrator
AF	Attorney For

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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	As Trustee For
EX	Executor or Executrix
JT	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
Property Type Codes	
AC01	Checking Accounts
AC02	Savings Accounts
AC03	Mature CD or Save Cert
AC04	Christmas Club Funds
AC05	Money on deposit to secure fund
AC06	Security Deposit
AC07	Unidentified Deposit
AC08	Suspense Accounts
AC99	Aggregate Account Balances
CK01	Cashier's Checks
CK02	Certified Checks

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CK03	Registered Checks
CK04	Treasurer's Checks
CK05	Drafts
CK06	Warrants
CK07	Money Orders
CK08	Traveler's Checks
CK09	Foreign Exchange Checks
CK10	Expense Checks
CK11	Pension Checks
CK12	Credit Checks or Memos
CK13	Vendor Checks
CK14	Checks Written off to Income
CK15	Other Outstanding Official Checks
CK16	CD Interest Checks
CK99	Aggregate Uncashed Checks
CT01	Escrow Funds
CT02	Condemnation Awards
CT03	Missing Heirs' Funds
CT04	Suspense Accounts
CT05	Other Court Deposits
CT99	Aggregate Court Deposit
IN01	Individual Policy Benefits or Claim Payments
IN02	Group Policy Benefits or Claim Payments
IN03	Proceeds Due Beneficiaries
IN04	Proceeds from Matured Policies, Endowments or Annuities
IN05	Premium Refunds
IN06	Unidentified Remittances
IN07	Other Amounts Due Under Policy Terms
IN08	Agent Credit Balances
IN99	Aggregate Insurance Property
MI01	Net Revenue Interest
MI02	Royalties

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MI03	Overriding Royalties
MI04	Production Payments
MI05	Working Interest
MI06	Bonuses
MI07	Delay Rentals
MI08	Shut-in Royalties
MI09	Minimum Royalties
MI99	Aggregate Mineral Proceeds
MS01	Wages, Payroll, Salary
MS02	Commissions
MS03	Workers Compensation Benefits
MS04	Payments For Goods & Services
MS05	Customer Overpayments
MS06	Unidentified Remittances
MS07	Unrefunded Overcharges
MS08	Accounts Payable
MS09	Credit Balance -- Accounts Receivable
MS10	Discounts Due
MS11	Refunds Due
MS12	Unredeemed Gift Certificates
MS13	Unclaimed Loan Collateral
MS14	Pension & Profit Sharing
MS15	Dissolution or Liquidation
MS16	Misc. Outstanding Checks
MS17	Misc. Intangible Property
MS18	Suspense Liabilities
MS99	Aggregate Misc Property
SC01	Dividends
SC02	Interest (Bond Coupons)
SC03	Principal Payments
SC04	Equity Payments
SC05	Profits

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SC06	Funds Pd to Purchase Shares
SC07	Funds for Stocks & Bonds
SC08	Shares of Stock (Returned by Post Office)
SC09	Cash for Fraction Shares
SC10	Unexchanged Stock of Successor Corp
SC11	Other Cert of Ownership
SC12	Underlying Shares or other Outstanding Certificates
SC13	Funds for Liquidation / Redemption of Un-surrendered Stock or Bonds
SC14	Debentures
SC15	U S Govt Securities
SC16	Mutual Fund Shares
SC17	Warrant (Rights)
SC18	Mature Bond Principal
SC19	Dividend Reinvestment Plans
SC20	Credit Balances
SC99	Aggregate Security Related Cash
SD01	SD Box Contents
SD02	Other Safekeeping
SD03	Other Tangible Property
TR01	Paying Agent Account
TR02	Undelivered or Uncashed Dividends
TR03	Funds held in Fiduciary Capacity
TR04	Escrow Accounts
TR05	Trust Vouchers
TR99	Aggregate Trust Property
UT01	Utility Deposits
UT02	Membership Fees
UT03	Refunds Or Rebates
UT04	Capital Credit Distributions
UT99	Aggregate Utilities
<i>ZZZZ</i>	Properties Not Identified Above

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

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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-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
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

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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

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Property Record Format

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

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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	521	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			

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Additional Owner Record Format

Field Number	Field ID	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

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Securities Info. Record Format

Field Number	Field ID	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-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

NAUPA Standard Electronic File Format

Tangible Property Record Format

Field Number	Field ID	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©	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 ID	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	
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