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1. General Information

The National Association of Unclaimed Property Administrators (NAUPA) has created this reporting format to make electronic reporting more uniform. Two earlier NAUPA formats have been supported and endorsed, first in the 1990s and then 2000s. They have been modified over the years. This most recent version has not only added new data elements and codes but has moved from the fixed width format to Extensible Markup Language (XML). When using the NAUPA format to report, do not mix and match which version is used. Check with the jurisdictions in which you will report to determine which version(s) of the NAUPA layout is accepted.

The purpose of this document is to assist all parties with understanding the general layout structure and identifying all the various data elements and codes. Included with this document is an XML Schema Definition (XSD). The XSD provides specific guidance on how to create and test your final XML file before sending it to the appropriate Unclaimed Property jurisdiction. The XSD file contains logic which allows an associated XML file to be validated, to ensure that the data has been entered and is in the proper format. For example, if the XSD requires that a particular field contain a dollar amount, the presence of non-numeric characters will generate an error.

In addition to the XSD each state may have additional reporting requirements. NAUPA encourages you to check with each Unclaimed Property jurisdiction if they have any additional requirements or verification that will be performed.

2. XML Structure

XML is a language used for storing and transporting data. XML can be read and processed by computers but can also be human-readable. Tags label, categorize, and organize information in a specific way. A tag for a specific data element is placed between angle brackets (< >).

There are two types of tags: starting tags, which identify the starting point for the tagged data and ending tags, which denote the end point. The ending tag for a particular starting tag has a forward slash added to the beginning. Here is a sample XML tag for a `Name` data element, or field:

Note: XML tags cannot contain spaces, and it is generally considered a best practice to use camel case for tag names.

```
<Name>John Smith</Name>
```

XML also permits tags to be embedded within each other to denote hierarchical or related data. Here is a more complex example of an XML representation of some data about a particular person:

```

<Person>
  <Name>John Smith</Name>
  <PhoneNumber>
    <HomeNumber>506 555 3555</HomeNumber>
    <MobileNumber>506 555 7653</MobileNumber>
  </PhoneNumber>
</Person>
  
```

The specific type of data to be contained between defined tags can be specified in a separate XSD file. This makes it possible to ensure that data transmitted by XML is of the right type, thereby making it easier for the recipient to process correctly.

Below is a link to an example NAUPA-III XML file that conforms to the NAUPA-III XML schema.

[View Example NAUPA-III XML File](#)

3. Notation

This section describes some of the notation used in the following XML element descriptions.

3.1. Mandatory, If Known, Either (M/K/E)

The M/K/E notation specifies whether an element must appear at a particular location in the XML or not.

<u>Appearance Status</u>	<u>Notation</u>	<u>Meaning</u>
Mandatory	M	The element must appear at least once at the specified location in the XML document. The absence of the element will trigger a schema validation error and would indicate an invalid NAUPA report that cannot be processed.
If Known	K	The element is optional within the XML structure. If present, it must be at the specified location within the XML, but its absence does not trigger a schema validation error.
Either	E/M	Either the named element may appear, OR another adjacent “E” element (i.e., in a row above or below the current one) may appear, but one of the choices <i>must</i> appear.

3.2. Repeat

The Repeat notation specifies how many times an element may appear at its defined location within the XML. It is related to the M/K/E notation but adds information about how many times an element may appear if it is allowed to repeat.

Repeat	Notation	Meaning
Exactly One	1	The element must appear at least once at the specified location in the XML document. The absence of the element will trigger a schema validation error and would indicate an invalid NAUPA report that cannot be processed.
One or More, Bounded	1..N	The element must appear at least once, and may repeat up to N times, where N is a fixed number.
One or More, Unbounded	1..*	The element must appear at least once and may repeat an unlimited number of times.
Zero or More, Bounded	0..N	The element may be absent, or may appear up to N times, where N is a fixed number.
Zero or More, Unbounded	0..*	The element may be absent or may appear an unlimited number of times.

3.3. Element Type

The type of an element may be a structural type that contains other sub-elements, or it may be a data type that places restrictions on the data contained between the element’s start and end tags. Structural element types are known as “complex types” in XML schema terminology, and data element types are known as “simple types.”

In an XML schema document, a structural or data type may be defined explicitly and given a name, or it may be defined in-line and remain nameless (we will call this an “anonymous” data type herein). Named data types are reusable and may be referenced anywhere within a schema document, but anonymous ones can be used only at the point of their definition. The XML schema syntax for both named and anonymous data types is lengthy and difficult to read, so the following abbreviated data type notations are used in this document.

Type	Notation	Meaning
Variable-length string	string(0..N) string(0..*) string(M..N) string(M..*) string(M..N): pattern	Variable-length string with upper and lower bounds. A lower bound of zero means the string can be empty, and an upper bound of * means there is no limit on how long the string can be. Strings with the “pattern” notation match regular expression patterns as defined in the XML schema standard.
Fixed-length string	string(N)	Fixed-length string containing N characters.
Decimal number	decimal(M,N)	A decimal number that has a maximum of M digits and a precision of N decimal places.
Integer	integer(N)	An integer that has a maximum of N digits.

The Type column in the following element definition tables can either use the above notation or be a link to a named or anonymous structural or data type. By convention, links to an anonymous type use a section number (e.g. [Section 4.1](#)), and links to a named type use the assigned name from the XML schema (e.g. [ContactType](#)).

4. Remittance Element ([Remittance.xsd](#))

Sub-Element	Definition	M/K/E	Repeat	Type
SoftwareInformation	Information about the software that generated this report.	M	1	Section 4.1
Payment	Information about a payment made for this remittance.	K	0..1	Section 4.2
Remitter	Remitter information.	M	1	Section 4.3
Holder	Holder information.	M	1..*	Section 4.4

4.1. [SoftwareInformation](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
Version	Version of the software that generated this report.	M	1	string(1..50)

Contact	Contact information for the company that developed the software that generated this report.	M	1	ContactType
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4.2. [Payment Element](#)

Sub-Element	Definition	M/K/E	Repeat	Type
TypeCode	Payment type.	M	1	Section 4.2.1
ConfirmationNumber	Check #, Wire ID#, any identifying number for the remittance.	K	1	string(1..50)

4.2.1. [Payment TypeCode](#)

Code	Description	Definition
Online	State Website	A payment that is initiated through the State's portal. The payment may be made by different methods including but not limited to ACH, Wire or Check.
Check	Check	A check is a written, dated, and signed instrument directing a bank to pay upon its presentation to the person designated in it, or to the person possessing it, a certain sum of money from the account of the person who draws it. Not Administered through the State's website portal.
Wire	Wire	A wire is a method of moving funds between people or entities over an electronic payments system. A wire transfer can be made from one bank account to another bank account, or through a transfer of cash at a cash office. Not Administered through the State's website portal.
ACH Credit	ACH Credit	An ACH credit is an electronic transfer of funds initiated by the payer (Holder) to the payee (State). Typically, there will need to be a reference number included with payment to link the payment and the report. Not Administered through the State's website portal.
ACH Debit	ACH Debit	An ACH debit is an electronic transfer of funds initiated by the payee (State) with pre-authorization from the payer (Holder). Not Administered through the State's website portal.
InterAgency	InterAgency	An interagency payment is a transfer of funds from one state agency to another state agency, not administered through the state's website portal.

ECheck	ECheck	E-Check is the electronic transfer of money from one bank account to another, either within a single financial institution or across multiple institutions, via computer-based systems, without the direct intervention of bank staff. Not Administered through the State's website portal.
Other	Other	A payment made by another means not provided. Not Administered through the State's website portal.
None	None	No payment will be made to the State. If no payment is made, there should be no Payment element, so the "None" value is not needed.

4.3. [Remitter](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
CompanyName	Provide the name of the company sending in the report or group of reports on behalf of the holder.	M	1	CompanyNameType
USCompanyInfo	Remitter company information in US format.	E/M	1	USCompanyInfoType
ForeignCompanyInfo	Remitter company information in foreign format.	E/M	1	ForeignCompanyInfoType
TelephoneNumber	Remitter telephone number.	M	1	TelephoneNumberType
EMailAddress	Remitter e-mail address.	M	1	EMailAddressType

4.4. [Holder](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
CompanyName	Provide the name of the company which is reporting unclaimed property.	M	1	CompanyNameType
USCompanyInfo	Holder company information in US format.	E/M	1	USCompanyInfoType
ForeignCompanyInfo	Holder company information in foreign format.	E/M	1	ForeignCompanyInfoType

ParentCompany	Parent company of the holder company, if applicable.	K	0..1	Section 4.4.1
Contact	Contacts for the holder company.	M	1..*	ContactType
NAICSCode	Provide the 6-digit Industry Type code. See Website for NAICS Code options.	M	1	string(2..6) pattern: [1-9][1-9][0-9]{0,4}
TaxIDExtension	If any other departments or branches of your organization file unclaimed property reports using the same tax ID number listed on your report, 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".	K	0..1	string(11) pattern: [0-9]{11}
DBAName	Provide DBAs, trade names, or other commonly used titles associated with the reporting Holder.	K	0..*	CompanyNameType
Incorporated	Provide information about the incorporation of the holder company.	K	0..1	Section 4.4.2
SalesAmount	Provide the dollar value of sales from the most current year end totals.	K	0..1	CurrencyType
NumberOfEmployees	Provide the number of employees from the most current year end totals.	K	0..1	integer(12)
AssetsAmount	Provide the dollar value of assets from the most current year end totals.	K	0..1	CurrencyType
NumberOfInsurancePolicies	Provide the number of insurance policies written	K	0..1	integer(12)

	from most current year end totals.			
HolderID	Provide the state specific Holder ID as assigned by the jurisdiction.	K	0..1	string(1..15) pattern: [0-9]{1,15}
Report	The report for this holder.	E/M	1	Section 4.4.3
NegativeReport	Negative report for this holder.	E/M	1	Section 4.4.4

4.4.1. [ParentCompany](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
CompanyName	Provide the name of the holder parent company.	M	1	CompanyNameType
FEIN	Federal EIN of holder parent company.	E/M	1	FEINType
ForeignTaxID	Foreign tax ID of holder parent company.	E/M	1	ForeignTaxIDType

4.4.2. [Incorporated](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
State	Provide 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 are chartered.	M	1	StateCodeType
Date	Provide 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.	M	1	XML Schema date

4.4.3. [Report Element](#)

<u>Sub-Element</u>	<u>Definition</u>	M/K/E	<u>Repeat</u>	<u>Type</u>
TypeCode	Report type.	M	1	Section 4.4.3.1
AsOfDate	Provide the effective date for the report. The effective date could be the reporting period ending date per specific state law, the audit period ending date, a relevant date stated in a Court order relating to a bankruptcy matter, etc. To determine the correct AsOfDate, consult the state's unclaimed property reporting instructions.	M	0..1	XML Schema date
Contact	Contacts for the report.	M	1..*	ContactType
Property	Properties for the report.	M	1..*	Section 4.4.3.2
Adjustment	Adjustments for the report.	K	0..*	Section 4.4.3.3
NonProductionReport	Non-production report indicator.	K	0..1	IndicatorType

4.4.3.1. [Report TypeCode Element](#)

<u>Code</u>	<u>Definition</u>
Advertisement/No Remittance	A report submitted for advertisement only. No remittance will be sent.
Remittance/Annual	An annual remittance report.
Test	A test report for validation.
Audit	A report submitted as a result of an audit.
Supplemental/Correction	A report intended to supplement or correct an earlier report.
Reciprocal	A report from one unclaimed property program to another.
Voluntary Disclosure Agreement	A report submitted due to a voluntary disclosure agreement.
Final Remittance	Last report as company is dissolving.
Initial Remittance	First report company submits.

4.4.3.2. [Property Element](#)

Sub-Element	Definition	M/K/E	Repeat	Type
TypeCode	Utilize the five-character type code as set forth in the table which most closely describes the nature of the asset/account.	M	1	Section 4.4.3.2.1
AccountNumber	Supply the account number, policy number (insurance), owner number (minerals), box number (tangibles) or other unique identifier under which the holder identifies the owner. If there are multiple numbers used to identify the owner, include all such numbers. If additional space is needed, use the Miscellaneous Description field.	K	0..1	string(1..100)
PresumedAbandonedDate	Date on which the property was statutorily deemed unclaimed, regardless of whether the property is timely reported OR Date on which the holder determined the property to be unclaimed (as contrasted with the date on which the property became reportable). This is the date at the end of the dormancy period. For example, the last activity date added to the dormancy period. Date on which the property first became reportable.	M	0..1	XML Schema date
DueDiligencePerformed	Provide the dates that statutorily required owner notification was performed.	K	0..1	Section 4.4.3.2.2
ReturnedByPostOffice	Provide information about mailings to the owner that were returned by the Post Office.	K	0..1	Section 4.4.3.2.3

PayableOrDistributableDate	Maturity Date, Distribution Date, Date Payable arises, Date Paid as applicable. Includes CD maturity, bonds, cash dividend, refunds, uncashed checks, Retirement mandatory distribution date for retirement or IRA accounts.	K	0..1	XML Schema date
LastActivityDate	The date on which the last (i.e., most recent) owner-generated activity or action occurred. Where no Last Activity Date was recorded, use the Payable or Distributable Date. If the property does contain periodic payments use PeriodicPaymentDates instead.	E/M	1	XML Schema date
PeriodicPaymentDates	If you are reporting property with periodic payments such as dividends, oil and gas royalties, or commission checks, enter the dates between which the amounts were payable. Total all amounts due the owner during the applicable time period and list the payments as one amount on the owner record. If the property does not contain periodic payment dates use Last Activity Date instead.	E/M	1	Section 4.4.3.2.4
NonRemitIndicator	Indicate whether the property is delivered/transferred at the same time as the filing of the report. When indicating that property is reported but not turned over to the state, be aware that most states require the reporting organization to notify the state about these properties in separate correspondence prior to sending their report.	M	1	IndicatorType

Taxable	Whether the property is or includes taxable income or taxable distribution(s).	M	1	IndicatorType
TaxForm1099IssuedDate	Provide the tax year for which the last 1099 was (will be) issued with respect to the property; where issued for multiple years, provide the most recent year only.	K	0..1	XML Schema date
Description	If the property is an aggregate enter the number of properties which were combined for the aggregate. May additionally be utilized to provide property or owner information not otherwise requested, which will be helpful to the state in locating the owner or verifying the identity/entitlement of a claimant.	K	0..1	string(1..250)
AlternateLocation	Indicate whether the location of the reporting company is different from the main address.	K	0..1	Section 4.4.3.2.5
OFAC	Provide information about Office of Foreign Assets (OFAC) restrictions upon the property.	K	0..1	Section 4.4.3.2.6
HIPAAIndicator	Set to True ("X") only where the property is subject to the Health Insurance Portability and Accountability Act (HIPAA) and where non-publication of the reporting entity (for owner privacy) is requested.	K	0..1	IndicatorType
Owner	Property owner.	M	1..*	Section 4.4.3.2.7
Beneficiary	Beneficiary of the property.	K	0..*	Section 4.4.3.2.8
Cash	Cash property information.	E/M	1	Section 4.4.3.2.9
Bond	Bond property information.	E/M	1	Section 4.4.3.2.10
Security	Security property information.	E/M	1	Section 4.4.3.2.11

Safekeeping	Safekeeping property information.	E/M	1	Section 4.4.3.2.12
MineralInterests	Mineral interest information.	E/M	1	Section 4.4.3.2.13
Cryptocurrency	Cryptocurrency information.	E/M	1	Section 4.4.3.2.14
Adjustment	Property-level adjustment.	K	0..*	Section 4.4.3.2.15

4.4.3.2.1. Property [TypeCode](#) Element

<u>Code</u>	<u>Description</u>	<u>Definition</u>
AC001	Checking Accounts	A demand deposit account with unrestricted transactions.
AC002	Savings Accounts	A demand deposit account with restricted transactions.
AC003	Mature CD or Save Cert	A timed deposit account with a fixed term and generally a fixed rate.
AC004	IOLTA / Attorney Trust Fund	Interest on Lawyer Trust Accounts (does not include Lawyer trust client funds reported by law offices).
AC005	Failed Electronic Payments	Electronic/wire payments that are not received by the payee and are held in the bank's accounts.
AC006	Unclaimed Intangible Loan Collateral	Property deposit on account to secure a loan.
AC007	Unidentified Deposit	Deposited Funds where there is insufficient information to credit the funds directly into a customer's account.
AC008	Security Deposits for Rent	Renters' deposit that is held by the proprietor for security of an agreement.
AC009	ABLE Account	Achieving a Better Life Experience tax favored account, available to individuals with significant disabilities.
AC010	Payroll Card Account	Payroll Card Account
AC011	Reloadable Non-Retail Card	Reloadable card not marketed to the general public and not labeled "Gift Card" (Example: Comdata trucker fuel card).
AC012	Reloadable Government Card	Reloadable benefit card; EBT card.
CK001	Cashier's, Certified and other instruments which	Check written by a financial institution where the bank is directly liable for payment, for the amount paid to the bank by the purchaser with a

	the bank is directly liable.	named payee. This includes Cashier's, Certified, and Registered Checks. Does not include Traveler's Check, money orders, and similar instruments, as covered by the rule enacted by Congress in 12 U.S.C. Sections 2501 et seq. It is encouraged to include any remitter information that is available.
CK002	Payment to Vendor	Check written to a vendor for the purchase of goods, services, or both.
CK003	Payment to Non-Retail Customer	An individual or a business that purchases an offering in a non-retail space.
CK004	Payment to Retail Customer	An individual or a business that purchases an offering in a retail space.
CK005	Retirement Distribution checks	A check distributed as a withdrawal from a qualified retirement plan.
CK006	Government Warrants	An order issued by a governmental entity that serves as authorization, especially a voucher authorizing payment or receipt of money. A warrant draws funds from a government treasury and is not an order to pay.
CK007	Money Orders	A payment order for a specified amount of money. Includes both express money orders and personal orders, on which the remitter is in the purchaser. Does not include Cashier's, Certified, and Registered Checks (Money orders are covered under the rule enacted by Congress in 12 U.S.C. Sections 2501 et seq.).
CK008	Traveler's Checks	An internationally redeemable draft issued by a major financial services company in various denominations and payable only upon the purchaser's endorsement against the original signature on the draft. Does not include Cashier's, Certified, and Registered Checks (Travelers checks are covered under Section 306 which states the rule enacted by Congress in 12 U.S.C. Sections 2501 et seq.).
CK009	CD Interest Checks	A check issued for interest payable to an owner of a certificate of deposit.
CS001	529 Plan Education Savings Account - Cash	Any cash or cash-equivalents (e.g., money markets) balances in a 529 Education Account.
CS002	529 Plan Education Savings Account - Mutual Fund	Any mutual funds, other than money market funds and separate accounts held in a 529 Education Account.
CS003	529 Plan Education Savings Account - Securities	Any securities (other than mutual funds) held in a 529 Education Account.

CS004	Coverdell Education Savings Account - Cash	Any cash or cash-equivalents (e.g., money markets) balances in a Coverdell Education Savings Account.
CS005	Coverdell Education Savings Account - Mutual Fund	Any mutual funds, other than money market funds and separate accounts held in a Coverdell Education Savings Account.
CS006	Coverdell Education Savings Account - Securities	Any securities (other than mutual funds) held in a Coverdell Education Savings Account.
CS007	Education Savings Distribution	A check or similar distribution of assets from an education savings account.
CT001	Escrow Funds	Court Funds held on behalf of another party(ies), or deposits held by the court or Attorney on behalf of an individual(s).
CT002	Condemnation Awards	Payment in money or replacement property that is received for property condemned by a government authority.
CT003	Estate / Missing Heir's Funds	Funds related to a decedent, or testator of a will, but whose residence, domicile, or address is not known.
CT004	Class Action Funds	Funds awarded to class members of a court action that are owed.
CT005	Other Court Deposits	Money paid to court that is owed.
CT006	Bail Bonds	Bail paid for someone who has been exonerated and can now be refunded.
CT007	Judgements	Transfer of property from a court order that is the decision in a lawsuit.
CT008	Trust Funds	A fund consisting of assets belonging to a trust, held by the trustees for the beneficiaries.
CT009	Child Support Payments	A payment that a noncustodial parent makes as a contribution to the costs of raising her or his child.
CT010	Abandoned Vehicle Proceeds	Proceeds from the sale of a vehicle that has been left unattended on public property.
CT011	Real Estate sold	Proceeds from the sale of a real estate transaction.
HS001	Health Savings Account (HSA) Account Balance	Tax-advantaged account established to pay for qualified medical expenses.
HS002	Health Savings Account (HSA)	Unclaimed distributions from an HSA and unapplied HSA contributions.

	Distribution/Contribution	
IN001	Policy Benefits or Claim Payments Including Claims Paid on Auto, Home, P&C, Rental, or Health Policies	Amount due under the terms of an insurance policy.
IN002	Retained Asset Accounts including account balances and distributions	Policy benefits distributed to beneficiaries by holding a spending account the beneficiaries can draw on in increments.
IN003	Proceeds Due Beneficiaries Including Life Insurance Proceeds (Death Claims)	Policy proceeds on a life insurance policy, payable at the time of death of the insured.
IN004	Proceeds Due from Matured Policies, Endowments or Annuities for the Insured	Policy proceeds that are payable at a certain time.
IN005	Premium Refunds including Overpayments	Premium refunds including overpayments.
IN006	Unidentified Remittances	Funds received where there is insufficient information to credit to an insured's account.
IN007	Other Amounts Due Under Policy Terms	Amounts due under a policy that is not covered by another property code.
IN008	Agent Credit Balances	Amount due to an insurance agent.
IN009	Workers Compensation Benefits	Benefits to workers who become injured or disabled.
IR001	Traditional IRA - Cash	Any balances in a traditional, self-directed, SIMPLE or SEP IRA.
IR002	Traditional IRA - Mutual Funds	Any mutual funds, including money market funds held in a traditional, self-directed, SIMPLE or SEP IRA. -If the IRA contains multiple, different mutual funds, report each mutual fund/share balance separately.
IR003	Traditional IRA - Securities	Any securities (other than mutual funds) held in a traditional, self-directed, SIMPLE and SEP IRA. -If the IRA contains multiple, different securities, report each CUSIP/share balance separately.

IR004	Traditional IRA - Other	Any alternative investments held in a Self Directed IRA. -If the Self Directed IRA contains multiple, different types of alternative assets, report each asset separately.
IR005	Roth IRA - Cash	Any cash balances in a Roth IRA, including a self-directed Roth IRA.
IR006	Roth IRA - Mutual Funds	Any mutual funds, including money market funds, held in a Roth IRA, including a self-directed Roth IRA. -If the Roth IRA contains multiple, different mutual funds, report each mutual fund/share balance separately.
IR007	Roth IRA - Securities	Any securities held in a Roth, including a self-directed Roth IRA. -If the Roth IRA contains multiple, different securities, report each CUSIP/share balance separately.
IR008	Roth IRA - Other	Any alternative investments held in a self-directed Roth IRA. -If the self-directed Roth IRA contains multiple, different types of alternative assets, report each asset separately.
MI001	Working Interest Payment	Investment in oil and gas drilling operations in which the investor is directly liable for a portion of the ongoing costs associated with exploration, drilling, and production.
MI002	Mineral Interest Royalties	A royalty interest is an interest retained in the output of a property when the owner of mineral rights enters into a lease agreement. A royalty interest entitles the mineral rights owner to receive a portion of the minerals produced or a portion of the gross revenue from sold production.
MI003	Overriding Royalties	An interest in and royalty on the oil, gas, or minerals extracted from another's land that is carved out of the producer's working interest and is not tied to production costs.
MI004	Production Payments	Any economic interest in oil, gas or mineral reserves which (i) entitles the holder thereof to a specified share of future production from such reserves, free of the costs and expenses of such production, and (ii) terminates when a specified quantity of such share of future production from such reserves has been delivered or a specified sum has been realized from the sale of such share of future production from such reserves.
MI005	Current Production Payments	After you have remitted money on behalf of an owner, any additional amounts that accrue in subsequent years must also be reported. You must hold monthly checks and include them on your annual report.
MI006	Bonuses	A lease Bonus is the cash consideration that is paid by the lessee for the execution of an oil and gas lease by a landowner. It is usually based on a per acre payment.

MI007	Delay Rentals	A yearly payment made to the lessor by the lessee during the primary term of the lease to compensate for drilling that is going to be delayed.
MI008	Shut-in Royalties	A payment stipulated in the oil and gas lease, which royalty owners receive in lieu of actual production, when a gas well is shut-in due to lack of a suitable market, a lack of facilities to produce the product, or other cases defined within the shut-in provisions contained in the oil and gas lease.
MI009	Miscellaneous Production Payment	All other production type payments.
MS001	Wages, Payroll, Salary - Check or Direct Deposit	Income earned from employment or contractual work and paid via check or direct deposit.
MS002	Commissions	Commission earned, including those not related to employment or contractual work.
MS003	Credit Due Vendor	Funds owed to a vendor for the amount due. May include refund, overpayment, reimbursement, discounts due, etc. Check or other payment has not been issued.
MS004	Credit Due Non-Retail Customer	Funds owed to Non-Retail Customers for the amount due. May include refund, overpayment, reimbursement, discounts due, etc. Check or other payment has not been issued.
MS005	Credit Due Retail Customer	Funds owed to Retail Customers for the amount due. May include refund, overpayment, rebate, reimbursement, discounts due, etc. Check or other payment has not been issued.
MS006	Store/Merchandise Credit	Credits in the amount of the payment upon return of the goods and allowing future purchase of goods from the merchant.
MS007	Stored Value Card	Electronic bank debit card with a specific dollar value preloaded on the card.
MS008	General Use Prepaid Card	A card that is redeemable at multiple, unaffiliated merchants or service providers, or automated teller machines.
MS009	Loyalty, Award or Promotional Card	A card given to a customer by a business that provides rewards to the customer for purchases. The card records information regarding the customer's buying habits.
MS010	Telephone or other Telecommunications Card	A card containing pre-paid credit/minutes that enables the bearer to make telephone calls.
MS011	Game Related Digital Content Card	A tangible, intangible, or virtual card of value containing a unique code (or other unique mark) corresponding to a fixed amount (such as game points) within a game platform.

SC001	Cash Dividends on Shares	Cash Distribution of earnings to shareholders.
SC002	Interest on Bonds	Interest earned on Bonds (all types of Bonds) prior to the redemption or maturity date.
SC003	Bond Principal	The amount of money the bond issuer borrowing and will repay to the bondholder in full upon the bond's redemption or maturity.
SC004	Cash in Lieu	Conversion of fractional shares to cash.
SC005	Unexchanged Stock Certificate Entitlement	Share entitlement resulting from the failure to exchange of predecessor entity shares to new successor shares (shares drawn on prior company name). Certificates remitted in the original owner name.
SC006	Shares of Stock	All types of Equity Securities, including Certificated shares, book entry shares, stock dividends and distributions. (For Dividend Reinvestment Plan Shares use SC012.)
SC007	Cash resulting from the redemption of Unsurrendered Stock or Bonds	Distribution of assets in the form of a dividend from a corporation that is going out of business. Liquidation may occur when a firm goes bankrupt or when management decides to sell off a company's assets and pass the proceeds on to shareholders.
SC008	Debentures	General debt obligation—unsecured bond.
SC009	US Government Debt Securities	Debt obligation issued by the US Government.
SC010	Mutual Fund Shares	Shares from funds operated by an investment company - including but not limited to: Open End funds, Closed End funds, Index funds, ETF and UIT.
SC011	Warrants/Rights/Options	Securities identified as warrants/rights/options, which have not expired. Expiration date must be specified in the property description.
SC012	Dividend Reinvestment Plan Shares	Shares held in accounts enrolled in Dividend Reinvestment Plan.
SC013	Security Account Credit Balances	Unapplied cash balance in a security account. (For interest/dividends use SC001, for cash in lieu use SC004.)
SC014	Worthless Securities (Equity, Debt, Mutual Funds (Shares)).	A security that cannot be delivered to the State by DTCC or similar custodian of securities providing post-trade clearing and settlement services to financial markets or cannot be delivered because there is no agent to effect the transfer and the security is determined to be worthless.

SC015	Restricted or Non-Transferable Securities - Broker Held	Securities that are not transferable or contain a restriction that cannot be lifted without an opinion from legal counsel.
SC016	Unexchanged Share Entitlement	Shares of the successor entity remitted without shareholders' action. Original owner name. No certificate received by program.
SC017	Share Dissolution or Liquidation proceeds	Cash resulting from the liquidation of shares (accelerated reporting)
SD001	Safe deposit box contents	Coins, jewelry, documents, and other tangible contents of safe deposit boxes.
SD002	Other Safekeeping	Bailments/Other Safekeeping (Property held in trust for a specific purpose that will be returned to the owner).
SD003	Other Tangible Property	Tangible Loan Collateral (tangible assets that a borrower pledges to a lender to secure a loan).
TR001	Pre-Need Funeral Account	Net funds for an unutilized preneed contract
TR002	Distributions from trust	Trust payments due beneficiaries or vendors.
TR003	Funds held in Fiduciary Capacity	All accounts held that are not escrow, for example a trust voucher.
TR004	Escrow Accounts	Everything that falls under other course of business for escrows, such as escrow refund checks.
TR005	Escrow Taxes	Funds escrowed for payment of property taxes.
TR006	Escrow Earnest Money Disputed	Disputed escrow money between multiple parties.
TR007	Cemetery Expenses	Funds related to cemetery costs.
UT001	Utility Deposits	Deposits placed on account with utility providers.
UT002	Refunds or Rebates	Overpayments, rebates, or credits (other than those from the deposit) to the account of the utility subscriber.
VC001	Virtual Currency in Native Currency Units	Virtual currency is a digital representation of value that functions as a medium of exchange, a unit of account, and/or a store of value.
VC002	Virtual Currency Liquidated	Virtual currency that has been converted or liquidated for cash. Virtual currency is a digital representation of value that functions as a medium of exchange, a unit of account, and/or a store of value.

4.4.3.2.2. [DueDiligencePerformed](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
Date1	Provide the date that statutorily required owner notification was initially performed.	M	1	XML Schema date
Date2	Provide the date(s) that supplemental owner notification(s) was performed, if needed.	K	0..1	XML Schema date

4.4.3.2.3. [ReturnedByPostOffice](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
MailDate	Provide the date when a mailing to the owner was initially returned by the post office as undeliverable (or bounce-back of email where electronic communications authorized).	M	1	XML Schema date
ReturnCount	Provide the number of times mailings returned by the post office and tracked as undeliverable prior to starting statutory due diligence mail efforts.	M	1	XML Schema short
DateAccountCodedRPO	Provide the date on which the account or owner was coded as a bad address or RPO/lost.	K	0..1	XML Schema date

4.4.3.2.4. [PeriodicPaymentDates](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
StartDate	Starting date of transaction.	M	1	XML Schema date
EndDate	Ending date of transaction.	M	1	XML Schema date

4.4.3.2.5. [AlternateLocation](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
Identifier	Indicate whether the location of the reporting company is a	M	1	string(1..20)

	“branch”, “franchise office”, “service provider”, etc. if different than the main address.			
USAddress	US address of alternate location.	E/M	1	USAddressType
ForeignAddress	Non-US address of alternate location.	E/M	1	ForeignAddressType

4.4.3.2.6. OFAC Element

Sub-Element	Definition	M/K/E	Repeat	Type
DateOfBlocking	Provide the date the property was blocked, if available.	K	0..1	XML Schema date
LegalAuthority	Cite the legal authority or authorities under which the property is blocked (e.g., 31 C.F.R. Part 515).	M	1	string(1..100)
SanctionsTarget	Identify the associated sanctions target whose property is blocked, or a reference to the relevant communication from OFAC instructing a party to block this property if that target is unknown. Often, this is different from the owner's name.	K	0..1	string(1..100)
OwnerType	Indicate owner type, from list corresponding to OFAC form TD-F 90-22.5.	K	0..1	Section 4.4.3.2.6.1

4.4.3.2.6.1. OFAC [OwnerType](#) Element

Code	Definition
Individual	An individual person.
U.S. Bank	A bank based in the U.S.
Non-U.S. Bank	A bank not based in the U.S.
U.S. Non-Bank	A US-based entity that is not a bank.
Non-U.S. Non-Bank	A non-bank entity not based in the U.S.

4.4.3.2.7. Owner Element

Sub-Element	Definition	M/K/E	Repeat	Type
TypeCode	Enter the owner type code.	M	1	Section 4.4.3.2.7.1
Identity	Information about the property owner's identity.	K	0..1	Section 4.4.3.2.7.2
Contact	Property owner contact information.	M	1	ContactType
Description	Provide additional information about the owner if available.	K	0..1	string(1..255)
DateOfBirth	Enter the owner's date of birth.	K	0..1	XML Schema date
RelationshipCode	Enter the relationship code for all owners.	M	1	Section 4.4.3.2.7.3
CompleteAccountRegistrationName	Enter the complete name as listed on the account registration form.	K	0..1	string(1..255)
DateOfTrust	Enter the date of the trust.	K	0..1	XML Schema date
MinorDateOfMajority	Enter the date at which the minor owner reaches the age of majority.	K	0..1	XML Schema date
Deceased	Enter information about a deceased owner.	K	0..1	Section 4.4.3.2.7.4

4.4.3.2.7.1. Owner [TypeCode](#) Element

Code	Description	Definition
Aggregate	Aggregate Property	This code represents a group of properties that have been aggregated together, usually because of small dollar amounts.
Unknown	Unknown	This code represents individual property records in which the original owner's name is unknown.
Named Owner	All Owners Except Aggregate and Unknown	This code represents individual property records that are not reported as Aggregate or Unknown. It is used when an owner's name is known and included in the report.

4.4.3.2.7.2. Identity Element

Sub-Element	Definition	M/K/E	Repeat	Type
USTaxID	US tax ID.	E/M	0..1	Section 4.4.3.2.7.2.1
AlienID	Enter owner identification number / alien ID.	E/M	0..1	string(1..20)
DriversLicense	Owner driver's license information.	K	0..1	Section 4.4.3.2.7.2.2

4.4.3.2.7.2.1. USTaxID Element

Sub-Element	Definition	M/K/E	Repeat	Type
TypeCode	US Tax ID type code.	E/M	0..1	Section 4.4.3.2.7.2.1.1
Number	Tax ID number.	E/M	0..1	string(1..20)

4.4.3.2.7.2.1.1. USTaxID TypeCode Element

Code	Description	Definition
SSN	SSN	Social Security number
FEIN	FEIN	Federal Employer Identification Number, used by the United States Internal Revenue Service.
ITIN	ITIN	Individual Taxpayer Identification Number (US Internal Revenue Service).

4.4.3.2.7.2.2. DriversLicense Element

Sub-Element	Definition	M/K/E	Repeat	Type
State	State code.	M	1	StateCodeType
Identifier	Driver's license ID.	M	1	string(1..15)

4.4.3.2.7.3. RelationshipCode Element

Code	Description	Definition
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'.
CP	Community Property	Community property – Form of ownership required by states that have adopted community property laws for shares owned by husband and wife. JOHN BROWN & MARY BROWN COMMUNITY PROPERTY.
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.
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	Joint Tenancy – Form of ownership where two or more individuals hold shares as joint tenants with right of survivorship. When one tenant dies, the entire tenancy remains to the surviving tenants. JOHN BROWN & MARY BROWN JT TEN.
TC	Tenants in Common	Tenants in common – Form of ownership where each tenant owns an undivided interest. When one tenant dies, his interest passes to his estate. MELVIN SMITH & NANCY SMITH TEN COM.
JE	Tenants in Entireties	Tenants by the Entirety – Recognized by certain states as an appropriate form of registration for two individuals who are married to each other. When one tenant dies the property passes to the survivor. MELVIN JONES & GRACE JONES TEN ENT.
PC	Practice Commentary	Practice Commentary – California law allows community property to be held with rights of survivorship if the transfer document includes this designation and the grantees (i.e., new holders) accept this in writing on the transfer document by signing it or initialing it. Processors may have their own procedures on how to establish such accounts. If permitted, the registration would be JOHN BROWN & MARY BROWN COMMUNITY PROPERTY WROS. Transfers of such accounts would follow the same guidelines as joint tenants with rights of survivorship.
OR	(Or) Unspecified Joint Relationship	Unspecified joint relationship including 'OR'.
OT	Other Relationship	A 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.
LA	Landlord	A person who owns real property and rents or leases it to another, called a "tenant."

4.4.3.2.7.4. [Deceased](#) Element

<u>Sub-Element</u>	<u>Definition</u>	<u>M/K/E</u>	<u>Repeat</u>	<u>Type</u>
DateOfDeath	Enter the date of death.	K	0..1	XML Schema date
DateOfDeathSource	Enter the source of owner date of death information (DMF, beneficiary, claim, etc.).	K	0..1	string(1..50)

DateOfDeathIdentifiedDate	Enter the date at which the owner's date of death was provided to the holder.	K	0..1	XML Schema date
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4.4.3.2.8. Beneficiary Element

Sub-Element	Definition	M/K/E	Repeat	Type
TypeCode	Type of beneficiary.	M	1	Section 4.4.3.2.8.1
Spouse	True ("X") if the beneficiary is a spouse.	K	0..1	IndicatorType
Percentage	Enter the beneficiary's percentage of the funds. The total percentage of all beneficiaries must equal 100% of the funds. The total percentage of all beneficiaries must equal 100%.	M	1	PercentageType
Contact	Contact information for the beneficiary.	M	1	ContactType
DateOfBirth	Enter the beneficiary's date of birth.	K	0..1	XML Schema date
SSN	Enter the beneficiary's social security number.	K	0..1	SSNType

4.4.3.2.8.1. Beneficiary TypeCode Element

Code	Description	Definition
Primary	Primary	A Primary beneficiary is an individual or organization who is first in line to receive benefits in a will, trust, retirement account, life insurance policy or annuity upon the account or trust holder's death. Multiple Primary beneficiaries may be named.
Contingent	Contingent	A Contingent beneficiary is an individual or organization who is second in line to receive benefits in a will, trust, retirement account, life insurance policy or annuity upon the account or trust holder's death as well as the deaths of all Primary beneficiaries. Multiple Contingent beneficiaries may be named.

4.4.3.2.9. Cash Element

Sub-Element	Definition	M/K/E	Repeat	Type
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ReportedAmount	Enter the amount due the owner before any deductions, such as taxes, were subtracted.	M	1	CurrencyType
RemittedAmount	Amount due to owner (Reported Amount +/- Adjustments).	M	1	CurrencyType
Interest	Information about accrued interest included in the reported amount.	K	0..1	Section 4.4.3.2.9.1
CheckNumber	Provide the check number if reporting cashier's or traveler's checks, money orders, or any other remittance instrument.	K	0..1	string(1..100)
ItemIssueState	State in which the reported amount was issued.	K	0..1	StateCodeType

4.4.3.2.9.1. [Interest](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
Rate	Interest rate - shown as a percentage.	M	1	PercentageType
PaidThroughDate	Date through which Interest is included in the reported amount.	M	1	XML Schema date

4.4.3.2.10. [Bond](#) Element¹

Sub-Element	Definition	M/K/E	Repeat	Type
Interest	Interest rate - shown as a percentage.	M	1	PercentageType
Name	Name of bond.	M	1	string(1..100)
Number	Bond number.	K	0..1	string(1..25)
CouponNumber	Coupon number.	K	0..1	string(1..25)
PayingAgent	The entity responsible for transmitting payments of	K	0..1	string(1..100)

¹ Bonds are reported separately from Securities because some bonds are reported as cash.

	interest and principal from an issuer of municipal securities to the bondholders.			
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4.4.3.2.11. [Security Element](#)

<u>Sub-Element</u>	<u>Definition</u>	<u>M/K/E</u>	<u>Repeat</u>	<u>Type</u>
TypeCode	Type of security.	M	1	Section 4.4.3.2.11.1
Name	Enter the name of the security issue which is due the owner. DO NOT enter more than one issue. When reporting stock where the owner has different issues and these issues will be due the owner, there should be a separate 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.	M	1	SecurityNameType
Symbol	Enter the Ticker Symbol under which the security is traded.	K	0..1	SecuritySymbolType
CUSIP	Enter the CUSIP number of the specific security issue. If no CUSIP number is available, contact the jurisdiction's custodian to obtain a placeholder CUSIP number.	E/M	1	SecurityCUSIPType
AlternativeID	Enter a non-CUSIP alternative security identifier if no CUSIP exists.	E/M	1	AlternativeSecurityIDType

TransferAgent	Provide the name of the entity that delivers securities to the reporting jurisdiction - including but not limited to Transfer Agents, Brokers, Mutual Funds, Privately-Held companies, etc.	M	1	string(1..35)
ReportedShares	Enter the number of shares including fractional shares. Note that most processing platforms can only accommodate only up to three decimal places. Decimal required if reporting fractional shares.	M	1	SecurityNumberOfSharesType
RemittedShares	Final number of shares remitted to state. Decimal required if remitting fractional shares - up to three decimal places. Note that most processing platforms can only accommodate only up to three decimal places.	M	1	SecurityNumberOfSharesType
Original	Information about the security as originally purchased. This is for when the stock went through a merger and the property owner owned the previous stock but is reported under the current name.	K	0..1	Section 4.4.3.2.11.2
DividendHandling	Method used for handling dividends.	M	1	Section 4.4.3.2.11.3.1
DividendsPaidThrough Date	Date through which dividend and other payments were reported for this security.	K	0..1	XML Schema date
DeliveryMethod	Method of delivery for the security.	M	1	Section 4.4.3.2.11.4

StateAccountNumber	Enter the State account number into which the securities are delivered.	K	0..1	string(1..70)
DTCDeliveryReference Number	Enter the DTC (Depository Trust Company)'s Delivery confirmation number for stocks delivered through DTC as well as State Account number if DRS (Direct Registered Shares), State account numbers for Mutual Funds, Certificate number and registration for physical certificates.	K	0..1	string(1..20)
Market	The market through which the security is exchanged.	M	1	Section 4.4.3.2.11.5
Status	Status of the security.	M	1	Section 4.4.3.2.11.6
Adjustment	Security adjustments, if applicable.	K	0..*	Section 4.4.3.2.11.7
CostBasis	Cost basis of security.	M	1	Section 4.4.3.2.11.8

4.4.3.2.11.1. Security [TypeCode](#) Element

<u>Code</u>	<u>Description</u>	<u>Definition</u>
Common Stock	Common Stock	Capital stock that is secondary to preferred stock in the distribution of dividends and often of assets.
Preferred Stock	Preferred Stock	Capital stock having priority over a corporation's common stock in the distribution of dividends and often of assets.
Open-End Mutual Fund	Open-End Mutual Fund	A mutual fund in which the number of shares may be increased or decreased depending on the amount of money invested in the company.
Closed-End Mutual Fund	Closed-End Mutual Fund	A mutual fund that issues a fixed number of shares at its establishment, and, afterwards, neither increases nor decreases the number of shares.
Bonds	Bonds	Bonds are debt and are issued for a period of more than one year.

Options/Warrants	Options/Warrants	A contract in which the writer (seller) promises that the contract buyer has the right, but not the obligation, to buy or sell a certain security at a certain price (the strike price) on or before a certain expiration date, or exercise date.
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4.4.3.2.11.2. [Original](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
Name	The name of the security.	M	1	SecurityNameType
CUSIP	Security identifier.	E/M	1	SecurityCUSIPType
AlternativeID	Enter a non-CUSIP alternative security identifier if no CUSIP exists.	E/M	1	AlternativeSecurityIDType
Shares	Number of shares held.	M	1	SecurityNumberOfSharesType

4.4.3.2.11.3. [Dividends](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
Handling	How the dividends are handled.	M	1	Section 4.4.3.2.11.3.1
PaidThroughDate	Date through which dividend and other payments were reported for this security.	K	0..1	XML Schema date

4.4.3.2.11.3.1. [DividendHandling](#) Element

Code	Description	Definition
Cash	Cash	Dividends turned over in the form of cash to the owner.
Reinvested	Reinvested	Dividends were reinvested into the fund for the owner
None	None	No dividends subject to escheatment.

4.4.3.2.11.4. [DeliveryMethod](#) Element

Code	Description	Definition
DTC	DTC	The transfer of securities between broker/custodian accounts via Depository Trust Company (DTC).
Physical	Physical	The registration of a physical certificate in the name of the new shareholder.

		Physical shares are delivered via USPS or courier services.
Book Entry	Book Entry	Book entry is a system of tracking ownership of securities where a physical certificate is not given to investors. Shares are held in an account with the transfer agent in the participant's name and the new shareholder is presented with a statement of that account's holdings.
Foreign	Foreign	Shares are moved between accounts via a foreign settlement provider (TMX, Crest, Euroclear, Clearstream, etc.) relative to the market in which the security trades. Both participants must have active accounts with the correct settlement provider to transfer shares.
DWAC	DWAC	Deposit/Withdrawal at Custodian (DWAC) is a function in which shares are electronically posted to the Fast Automated Securities Transfer (FAST) computerized subsystem of DTC, with each participant's account at DTC debited or credited in accordance with the transaction.
Fund/SERV	Fund/SERV	Fund/SERV is the U.S. industry standard for processing and settling mutual funds, bank collective funds and other pooled investment product transactions between fund companies and distributors. Supplemented by the ACATS (Automated Customer Account Transfer Service) system, mutual fund account registrations can be updated when an account is transferred between brokerage firms or banks.
DRS	DRS	The Direct Registration System, or DRS, is a system that enables an investor to electronically move his or her security position held in direct registration book-entry form back and forth between the issuer (holder) and the investor's broker-dealer.
Held at Holder	Held at Holder	Held by Holder in another fashion not listed above.

4.4.3.2.11.5. [Market Element](#)

Code	Definition
NYSE	New York Stock Exchange
AMEX	American Stock Exchange
NASDAQ	National Association of Securities Dealers Automated Quotations Stock Market
Private	Privately held securities

Foreign	Foreign held or Foreign Exchange
Other	Not defined above

4.4.3.2.11.6. [Status](#) Element

<u>Code</u>	<u>Description</u>	<u>Definition</u>
Transferable	Transferable	Securities able to transfer to the State without any issues or restrictions.
Non-Transferable	Non-Transferable	Securities with an unknown transfer agent and unable to deliver.
Chilled	Chilled	A chill is when the Depository Trust Company (DTC) places one or more restrictions on transactions regarding a given security.
Delisted	Delisted	The removal of a stock from trading on an exchange. Delisting occurs when a publicly traded company violates the exchange's rules, or, more commonly, when the company ceases to meet listing requirements.
Restricted	Restricted	Placed on a list that dictates that the trader may not maintain positions, solicit business, or provide indications in a stock, but may serve as broker in agency trades after properly cleared.
Worthless	Worthless	A security that has no substantial value. Definition may vary by state.
No ticker	No ticker	A security with no ticker or trading symbol.
Below Min Lot Size	Below Min Lot Size	Bonds require a minimum amount for the delivery to take place. Below the minimum lot size for delivery to take place.
Prohibited/Sanctioned Countries	Prohibited/Sanctioned Countries	Securities held in countries that have asset or trade restrictions for the accomplishment of foreign policy or national security.

4.4.3.2.11.7. Security [Adjustment](#) Element

<u>Sub-Element</u>	<u>Definition</u>	<u>M/K/E</u>	<u>Repeat</u>	<u>Type</u>
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TypeCode	Type of the security.	M	1	Section 4.4.3.2.11.8
Amount	Adjustment amount.	E/M	1	SecurityNumberOfSharesType

4.4.3.2.11.8. Security Adjustment [TypeCode](#) Element

Code	Description	Definition
Tax	Shares sold for tax consequences.	Enter the number of shares liquidated due to IRS tax requirements.

4.4.3.2.11.9. [CostBasis](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
Name	The name of the security.	M	1	SecurityNameType
Symbol	Enter the Ticker Symbol under which the security is traded.	M	1	SecuritySymbolType
CUSIP	Enter the CUSIP number of the specific security issue. If no CUSIP number is available, contact the jurisdiction's custodian to obtain a placeholder CUSIP number.	E/M	1	SecurityCUSIPTYPE
AlternativeID	Enter a non-CUSIP alternative security identifier if no CUSIP exists.	E/M	1	AlternativeSecurityIDType
Amount	The amount paid to purchase the security.	M	1	CurrencyType
Shares	Number of shares purchased.	M	1	SecurityNumberOfSharesType
PurchaseDate	Date original purchase occurred.	M	1	XML Schema date

4.4.3.2.12. [Safekeeping](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
BoxCaseNumber	Safe deposit box number or container number.	M	1	string(1..25)

BoxOpenDate	Date safe deposit box was drilled open.	M	1	XML Schema date
LeaseExpiredDate	End date on the paid rental agreement.	M	1	XML Schema date
Fee	Fee associated with the handling of the safekeeping item.	K	0..*	Section 4.4.3.2.12.1
Inventory	Information about the safe deposit box contents.	M	1..*	Section 4.4.3.2.12.2

4.4.3.2.12.1. [Fee](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
TypeCode	Type of safekeeping fee.	M	1	Section 4.4.3.2.12.1.1
Amount	Amount of the fee.	M	1	CurrencyType

4.4.3.2.12.1.1. [Fee TypeCode](#) Element

Code	Description	Definition
Drilling Fee	Drilling Fee	A fee related to the drilling of a safekeeping instrument.
Unpaid Rent	Unpaid Rent	A fee related to the unpaid rent of a safekeeping instrument.

4.4.3.2.12.2. [Inventory](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
ItemCode	Type of safekeeping inventory item.	M	1	Section 4.4.3.2.12.2.1
Description	Description of the safekeeping inventory item.	M	1	string(1..2000)
SavingsBond	Savings bond information, if applicable.	K	0..1	Section 4.4.3.2.12.2.2
EstimatedValue	Estimated value of the contents.	K	0..1	CurrencyType

4.4.3.2.12.2.1. [ItemCode](#) Element

Code	Description	Definition
Coins	Coins or other Bullion	A coin is a small, flat, (usually, depending on the country or value) round piece of metal or plastic used primarily as a medium of exchange or legal tender.

Paper Currency	Paper Currency	Paper currency issued by a government or central bank and consisting of printed paper that can circulate as a substitute for specie.
Empty Box	Empty Box	The box was empty when opened.
Jewelry	Jewelry	Objects that are worn for personal adornment, such as bracelets, rings, necklaces, etc., considered collectively.
Legal or Misc. Papers	Legal or misc. Papers	Documents of a legal nature such as wills, birth certificates, insurance policies, etc.
Military Medals	Military Medals	Distinctions given as a mark of honor for military heroism, meritorious or outstanding service or achievement.
Miscellaneous Items	Miscellaneous Items	Any other items not listed.
Savings Bonds	Savings Bonds	In the United States, a non-tradable bond issued by the federal government for savings purposes. A savings bond allows citizens to receive a guaranteed return for their investments and helps raise revenue for the government.
Stock Certificates	Stock Certificates	A document representing the number of shares of a corporation owned by a shareholder.
Weapons	Weapons	An instrument of attack or defense in combat, as a gun, missile, or sword.
Foreign Currency	Foreign Currency	Non-US currency.

4.4.3.2.12.2.2. [SavingsBond](#) Element

<u>Sub-Element</u>	<u>Definition</u>	<u>M/K/E</u>	<u>Repeat</u>	<u>Type</u>
BondNumber	Savings bond registration number.	M	1	string(1..250)
FaceValue	Face value for the savings bond.	M	1	CurrencyType
Owner	Information about the owner of the savings bond.	M	1	Section 4.4.3.2.12.2.2.1

4.4.3.2.12.2.2.1. [SavingsBond](#) [Owner](#) Element

<u>Sub-Element</u>	<u>Definition</u>	<u>M/K/E</u>	<u>Repeat</u>	<u>Type</u>
Name	Listed Payee for bond.	M	1	string(1..250)

USAddress	US address for bond owner.	E/M	1	USAddressType
ForeignAddress	Non-US address for bond owner.	E/M	1	ForeignAddressType
SocialSecurityNumber	Social security number of the bond owner.	K	0..1	SSNType

4.4.3.2.13. [MineralInterests](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
StateCode	State in which the mineral interest is located.	M	1	StateCodeType
CountyName	Geographical region of a state used for administrative or other purposes.	M	1	string(1..20)
Section	An area nominally one square mile, containing 640 acres, with 36 sections making up one survey township on a rectangular grid.	M	1	string(1..2)
Township	The Township is a division of a county. Township grid lines run North and South.	M	1	string(1..3)
Range	The range number identifies how many cells the property is to the East or West of a starting point. Range grid lines run East and West.	M	1	string(1..3)
SupplementalDescription	Description of the quarter (NE Quarter, South Quarter), probate number, deed information (county book and page reference, fractional share, or co-ownership (1/8th), etc.	M	1	string(1..20)

PoolingOrder	A specific number assigned to a Pooling action. A Pooling is the consolidation and combining of leased land with adjoining leased tracts. The area is called a pool or a unit. Pooling has the benefit to the production company of uniting all landowners' leases into a common pool under one drilling production company and utilizing one common underground geological reservoir. The pooling action may be voluntary or forced (unlocated owners).	M	1	string(1..6)
PoolingDate	Date signed by the Corporation Commission.	M	1	XML Schema date
WellName	Wells are traditionally named for the mineral owner(s) in the drilling unit. [e.g., Smith or Smith & Jones]. If the State owns minerals in the drilling unit, the well name shall be "State" followed by the name of the township where the well is located [e.g., State Chester]. If the Federal government owns minerals, the well name shall include "USA" followed by the name of the township where the well is located [e.g., USA Hillman].	M	1	string(1..30)
WellNumber	An American Petroleum Institute (API) well number or API number is a "unique, permanent,	M	1	string(1..20)

	numeric identifier" assigned to each well drilled for oil and gas in the United States.			
LeaseName	An oil lease is an agreement between parties to allow a Lessee to have access to the property and minerals on the property of the Lessor. The agreement contains the decided upon lease name.	M	1	string(1..30)
LeaseNumber	The lease number serves as identification keys for wellbores (actual hole that forms a well) and completions.	M	1	string(1..20)
OwnershipPercentage	The owner's proportional ownership in the minerals (reflected as a decimal interest).	M	1	PercentageType

4.4.3.2.14. [Cryptocurrency](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
Name	Enter the name of the virtual currency.	M	1	string(1..16)
Symbol	Enter the symbol of the virtual currency.	M	1	string(1..7)
AccountNumber	Supply the account number or other unique identifier under which the holder identifies the owner - if there are multiple numbers used to identify the owner, include all such numbers.	K	0..1	string(1..70)
Address	Supply the address under which the holder identifies the owner - if there are multiple addresses used to	M	1..*	string(1..70)

	identify the owner, include all such addresses.			
AlternativeID	Supply an alternative cryptocurrency identifier if applicable.	K	0..1	Section 4.4.3.2.14.1
ReportedUnits	Enter the quantity of units of virtual currency due the owner.	M	1	CryptocurrencyUnits
RemittedUnits	Number of units of virtual currency due to owner (ReportedAmount +/- adjustments).	M	1	CryptocurrencyUnits
ProceedsReported	Enter the dollar amount due the owner if liquidated to US Dollars.	M	1	CurrencyType
ProceedsRemitted	Enter the dollar amount due the owner (ReportedAmount +/- adjustments) if liquidated to US Dollars.	M	1	CurrencyType
DateSold	Supply the date the virtual currency was sold.	K	0..1	XML Schema date
UnitsSold	Supply how many units of the virtual currency were sold.	K	0..1	CryptocurrencyUnits
DateAcquired	Supply the date the virtual currency was acquired.	K	0..1	XML Schema date
DeliveryMethod	Supply the method of delivery the virtual currency units will be delivered to the jurisdiction.	K	0..1	string(1..50)
HashID	Supply the transaction HASH ID for the virtual currency delivered to the jurisdiction.	K	0..1	string(1..64)
StateAccountNumber	Confirm into which account number units were delivered.	K	0..1	string(1..70)

StateAddressNumber	Confirm the virtual currency address number units were delivered.	M	1..*	string(1..70)
ReportNotRemit	Set to True ("X") if the cryptocurrency is reported only, not remitted.	M	1	IndicatorType

4.4.3.2.14.1. [AlternativeID](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
Name	Supply the name of the identifier.	M	1	string(1..50)
Number	Supply the number of the identifier.	M	1	string(1..50)

4.4.3.2.15. Property [Adjustment](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
TypeCode	Indicate whether the location of the reporting company is a branch, franchise office, specific unit etc. if different than the main address.	M	1	Section 4.4.3.2.15.1
Amount	Dollar amount of the adjustment resulting in a net amount reported.	M	1	CurrencyType

4.4.3.2.15.1. Property Adjustment [TypeCode](#) Element

Code	Description	Definition
DC	Due Diligence Cost	Cost allowed by statute to send legally required communication to apparent owners concerning impending transfer of their property to state or territory.
SC	Service Charge	Amount allowed by statute and valid, enforceable written contract a holder can charge an apparent owner for something specific, such as a failure to claim property within a specific time period, if regularly

		imposed and not regularly reversed or otherwise canceled.
TW	Income Tax Withheld	Amount withheld from property reported that is owed to a governmental entity.
PW	IRS Penalty withheld	Amount required by the IRS to be withheld from property reported due to property owners not meeting their tax obligation.
BW	IRS Back-Up Withholding	Amount required by IRS to be withheld to ensure the IRS receives the taxes due on property reported as unclaimed.
IE	Interest Earned	Amount earned by the owner on its interest-bearing account or other investment.
DE	Property is no longer reportable	Property is no longer subject to unclaimed property reporting requirements.

4.4.3.3. Report [Adjustment](#) Element

<u>Sub-Element</u>	<u>Definition</u>	<u>M/K/E</u>	<u>Repeat</u>	<u>Type</u>
TypeCode	Provide Report Adjustment code for report totals.	M	1	Section 4.4.3.3.1
Amount	Provide total amount of adjustment made for report total.	M	1	CurrencyType

4.4.3.3.1. Report Adjustment [TypeCode](#) Element

<u>Code</u>	<u>Description</u>	<u>Definition</u>
Audit Fees	Audit Fees	An adjustment to the remitted amount due to audit fees.
Estimate or Prepayment	Estimate or Prepayment	An adjustment to the remitted amount due to an estimate or prepayment.

4.4.4. Negative Report Element

<u>Sub-Element</u>	<u>Definition</u>	<u>M/K/E</u>	<u>Repeat</u>	<u>Type</u>
Contact	Contacts for the report	M	1..*	ContactType

4.5. Remittance Attributes

Attribute	Definition
version	The version of this remittance. This attribute has a fixed value that must be changed if the XML schema changes.

5. Security Element Types

The Security section of the schema defines some reusable element types which are used only within the scope of the Security element.

5.1. Security Structural Element Types

5.1.1. AlternativeSecurityIDType

Sub-Element	Definition	M/K/E	Repeat	Type
TypeCode	Type of alternative security ID.	M	1	Section 5.1.1.1
Identifier	Security identifier.	M	1	string(1..20)

5.1.1.1. AlternativeSecurityIDType [TypeCode](#)

Code	Definition
SEDOL	The Stock Exchange Daily Official List (SEDOL) is a list of security identifiers used in the United Kingdom and Ireland for clearing purposes.
ISIN	International Securities Identification Number (ISIN) is a number that is assigned to almost every stock and registered bond that trades throughout the world. An ISIN facilitates trade and settlement by making each security unique to every other security of the same class. Most countries have independent agencies that assign ISIN numbers to securities traded in their countries. ISIN numbers are recorded in each trade.
VALOREN	A Valoren number is an identification number assigned to financial instruments in Switzerland. These numbers are similar to the CUSIP numbers that are used in Canada and the U.S. A typical Valoren number is between six to nine digits in length.

5.2. Security Data Element Types

<u>Data Element Type</u>	<u>Definition</u>	<u>Type</u>	<u>Min/Max/Pattern/Enum</u>
SecurityNameType	Security name.	string(1..100)	
SecuritySymbolType	Security ticker symbol.	string(1..10)	
SecurityCUSIPType	A CUSIP number is a unique identifier that stands for the Committee on Uniform Securities Identification Procedures. A CUSIP number is used to identify U.S. and Canadian registered stocks, U.S. government and municipal bonds, exchange traded funds, and mutual funds.	string(9)	pattern: [A-Za-z0-9]{8}[0-9]{1}
SecurityNumberOfSharesType	Number of shares of a security.	decimal(14, 6)	

6. Cryptocurrency Element Types

6.1. Cryptocurrency Data Element Types

<u>Data Element Type</u>	<u>Definition</u>	<u>Type</u>	<u>Min/Max/Pattern/Enum</u>
CryptocurrencyUnits	Cryptocurrency units.	integer(12)	

7. Common Element Types

Common element types are those that are referenced throughout a NAUPA-III XML document, as opposed to those that are used only in particular areas. These come in three varieties: 1) structural elements such as an address, which contain sub-elements, 2) data elements which contain no sub-elements but only data, such as a Social Security Number, 3) code elements, which are data elements with a fixed set of enumerated string values.

7.1. Common Structural Element Types

Common structural element types define XML sub-tree patterns that may be reused throughout an XML document. A typical example is a postal address which may appear in many different places throughout

the document, but should always have the same identical structure: street address followed by city, state, postal code, etc.

7.1.1. ContactType

Sub-Element	Definition	M/K/E	Repeat	Type
TypeCode	Contact type.	M	1	Section 7.1.1.1
CompanyName	Company name.	E/M	1	CompanyNameType
PersonName	Person name.	E/M	1	PersonNameType
The E/M choices above for names are unrelated to those below for addresses.				
PrimaryAddress	US primary address of the contact.	E/M	1	USAddressType
PrimaryAddress	Non-US primary address of the contact.	E/M	1	ForeignAddressType
AlternateAddress	Alternate address for the contact.	K	0..*	Section 7.1.1.2
TelephoneNumber	Telephone number for the contact.	K	0..1	TelephoneNumberType
AlternateTelephoneNumber	Alternate telephone number for the contact.	K	0..*	TelephoneNumberType
EMailAddress	E-mail address for the contact.	K	0..1	EMailAddressType
AlternateEMailAddress	Alternate e-mail address for the contact.	K	0..*	EMailAddressType

7.1.1.1. Contact [TypeCode](#) Element

Code	Description	Definition
Claims	Claims	A person designated by a holder to answer questions regarding claims.
Report	Report	A person designated by a holder to respond to questions regarding the report.
CFO	Chief Financial Officer	A person designated by a holder to be the Chief Financial Officer.

SDB	Safe Deposit Box	A person designated by a holder to administer the reporting of the contents of a safe deposit box.
Securities	Securities	A person designated by a holder to administer the reporting of securities.
Software	Software	A person designated by the software vendor to prepare the report
3rd Party	3rd Party	A person designated to report on behalf of the Holder.

7.1.1.2. [AlternateAddress](#) Element

Sub-Element	Definition	M/K/E	Repeat	Type
TypeCode	Type of alternate address.	M	1	Section 7.1.1.2.1
USAddress	Address inside the US.	E/M	1	USAddressType
ForeignAddress	Address outside the US.	E/M	1	ForeignAddressType

7.1.1.2.1. [AlternateAddress](#) [TypeCode](#)

Code	Definition
Seasonal	Address is a residence that is only occupied for a specific time period throughout the year.
Obsolete/Prior	Address is no longer in general use.
Forwarding/non-permanent	Address is secondary and used only temporarily.
Billing	Address is associated with you on your bank account and other payment functions.
Service	Address which can be used as an alternative to a residential address for the purpose of receiving post in the United Kingdom.
Owned but not occupied	Address is unoccupied.

7.1.2. [ForeignAddressType](#)

Sub-Element	Definition	M/K/E	Repeat	Type
Address1	First line of address.	M	1	string(1..255)
Address2	Second line of address.	K	0..1	string(1..255)
Address3	Third line of address.	K	0..1	string(1..100)
City	City name.	M	1	string(1..100)

ProvinceOrState	Name of province or state within the foreign country.	M	1	string(1..100)
ForeignPostalCode	Foreign postal code.	K	0..1	string(1..10)
CountryCode	Three-letter Country code.	M	1	CountryCodeType

7.1.3. ForeignCompanyInfoType

Sub-Element	Definition	M/K/E	Repeat	Type
ForeignTaxID	Foreign tax ID.	M	1	ForeignTaxIDType
ForeignAddress	Address outside the US.	M	1	ForeignAddressType

7.1.4. PersonNameType

Sub-Element	Definition	M/K/E	Repeat	Type
Prefix	Prefix such as Mr., Mrs., Ms.	K	0..1	string(1..10)
FirstName	First name.	M	1	string(1..100)
MiddleName	Middle name.	K	0..1	string(1..100)
LastName	Last name.	M	1	string(1..100)
Suffix	Suffix such as Sr., Jr., III, IV, etc.	K	0..1	string(1..10)

7.1.5. TelephoneNumberType

Sub-Element	Definition	M/K/E	Repeat	Type
Type	Type of telephone number.	K	0..1	string(1..50)
USTelephoneNumber	Telephone number inside the US.	E/M	1	USTelephoneNumberType
ForeignTelephoneNumber	Telephone number outside the US.	E/M	1	ForeignTelephoneNumberType
Extension	Telephone number extension.	K	0..1	TelephoneExtensionType

7.1.6. USAddressType

Sub-Element	Definition	M/K/E	Repeat	Type
Address1	First line of address.	M	1	string(1..255)
Address2	Second line of address.	K	0..1	string(1..255)
Address3	Third line of address.	K	0..1	string(1..100)
City	City.	M	1	string(1..100)
StateCode	Two-letter state abbreviation code.	M	1	StateCodeType
ZIPCode	ZIP code.	M	1	string(5..11): pattern [0-9]{5}{-[0-9]{4}}?

7.1.7. USCompanyInfoType

Sub-Element	Definition	M/K/E	Repeat	Type
FEIN	Federal Employer ID Number.	M	1	FEINType
USAddress	Address inside the US.	M	1	USAddressType

7.2. Common Data Element Types

Common data element types provide constraints upon XML data values such as a Social Security Number. Reusing the SSNTType defined below throughout the XML schema assures that all SSNs appear exactly the same 9-digit format, as opposed to having some SSNs that contain embedded dashes and some that do not.

Data Element Type	Definition	Type	Min/Max/Pattern/Enum
CompanyNameType	Company name.	string(1..200)	
CurrencyType	An amount of currency measured in US dollars.	decimal(12,2)	
EMailAddressType	E-mail address.	string(3..255)	pattern: [^@]+@[^\.\.]+\.\.+/"

FEINType	Federal Employer ID Number.	string(9)	pattern: [0-9]{9}
ForeignTaxIDType	Foreign tax ID.	string(1..15)	
ForeignTelephoneNumberType	Non-US telephone number.	string(15)	pattern: [0-9]{7,15}
IndicatorType	Boolean indicator. If present, the indicator value is True, and the element must contain the value "X" (capital letter). If absent, the indicator value is False.	string(1)	enumeration: X
PercentageType	A percentage value.	decimal(3,3)	min=0, max=100
SSNType	Social Security Number.	string(9)	pattern: [0-9]{9}
USTelephoneNumberType	US telephone number.	string(10)	pattern: [0-9]{10}
TelephoneExtensionType	Four-digit telephone extension.	string(4)	

7.3. Common Code Types

Code types are XML string values where the complete set of legal values is listed using XML schema **enumeration** elements.

7.3.1. CountryCodeType

Country codes follow the three-character ISO standard found here:

<https://www.iso.org/obp/ui/#search>

Country name	Official state name	Alpha-3 code
Aruba Aruba	Aruba	ABW
Islamic Republic of Afghanistan Afghanistan	The Islamic Republic of Afghanistan	AFG
Angola Angola	The Republic of Angola	AGO
Anguilla Anguilla	Anguilla	AIA
Åland Åland Islands	Åland	ALA
Albania Albania	The Republic of Albania	ALB
Andorra Andorra	The Principality of Andorra	AND
United Arab Emirates United Arab Emirates (the)	The United Arab Emirates	ARE

Country name	Official state name	Alpha-3 code
Argentina Argentina	The Argentine Republic	ARG
Armenia Armenia	The Republic of Armenia	ARM
American Samoa American Samoa	The Territory of American Samoa	ASM
Antarctica Antarctica	All land and ice shelves south of the 60th parallel south	ATA
French Southern and Antarctic Lands French Southern Territories (the)	The French Southern and Antarctic Lands	ATF
Antigua and Barbuda Antigua and Barbuda	Antigua and Barbuda	ATG
Australia Australia	The Commonwealth of Australia	AUS
Austria Austria	The Republic of Austria	AUT
Azerbaijan Azerbaijan	The Republic of Azerbaijan	AZE
Burundi Burundi	The Republic of Burundi	BDI
Belgium Belgium	The Kingdom of Belgium	BEL
Benin Benin	The Republic of Benin	BEN
Bonaire Bonaire	Bonaire, Sint Eustatius and Saba	BES
Burkina Faso Burkina Faso	Burkina Faso	BFA
Bangladesh Bangladesh	The People's Republic of Bangladesh	BGD
Bulgaria Bulgaria	The Republic of Bulgaria	BGR
Bahrain Bahrain	The Kingdom of Bahrain	BHR
The Bahamas Bahamas (the)	The Commonwealth of The Bahamas	BHS
Bosnia and Herzegovina Bosnia and Herzegovina	Bosnia and Herzegovina	BIH
Saint Barthélemy Saint Barthélemy	The Collectivity of Saint-Barthélemy	BLM
Belarus Belarus	The Republic of Belarus	BLR
Belize Belize	Belize	BLZ
Bermuda Bermuda	Bermuda	BMU
Bolivia Bolivia (Plurinational State of)	The Plurinational State of Bolivia	BOL
Brazil Brazil	The Federative Republic of Brazil	BRA
Barbados Barbados	Barbados	BRB
Brunei Brunei Darussalam	The Nation of Brunei, the Abode of Peace	BRN
Bhutan Bhutan	The Kingdom of Bhutan	BTN
Bouvet Island Bouvet Island	Bouvet Island	BVT
Botswana Botswana	The Republic of Botswana	BWA
Central African Republic Central African Republic (the)	The Central African Republic	CAF
Canada Canada	Canada	CAN

Country name	Official state name	Alpha-3 code
Cocos (Keeling) Islands Cocos (Keeling) Islands (the)	The Territory of Cocos (Keeling) Islands	CCK
Switzerland Switzerland	The Swiss Confederation	CHE
Chile Chile	The Republic of Chile	CHL
China China	The People's Republic of China	CHN
Ivory Coast Côte d'Ivoire	The Republic of Côte d'Ivoire	CIV
Cameroon Cameroon	The Republic of Cameroon	CMR
Democratic Republic of the Congo Congo (the Democratic Republic of the)	The Democratic Republic of the Congo	COD
Republic of the Congo Congo (the)	The Republic of the Congo	COG
Cook Islands Cook Islands (the)	The Cook Islands	COK
Colombia Colombia	The Republic of Colombia	COL
Comoros Comoros (the)	The Union of the Comoros	COM
Cape Verde Cabo Verde	The Republic of Cabo Verde	CPV
Costa Rica Costa Rica	The Republic of Costa Rica	CRI
Cuba Cuba	The Republic of Cuba	CUB
Curaçao Curaçao	The Country of Curaçao	CUW
Christmas Island Christmas Island	The Territory of Christmas Island	CXR
Cayman Islands Cayman Islands (the)	The Cayman Islands	CYM
Cyprus Cyprus	The Republic of Cyprus	CYP
Czech Republic Czechia	The Czech Republic	CZE
Germany Germany	The Federal Republic of Germany	DEU
Djibouti Djibouti	The Republic of Djibouti	DJI
Dominica Dominica	The Commonwealth of Dominica	DMA
Denmark Denmark	The Kingdom of Denmark	DNK
Dominican Republic Dominican Republic (the)	The Dominican Republic	DOM
Algeria Algeria	The People's Democratic Republic of Algeria	DZA
Ecuador Ecuador	The Republic of Ecuador	ECU
Egypt Egypt	The Arab Republic of Egypt	EGY
Eritrea Eritrea	The State of Eritrea	ERI
Western Sahara Western Sahara	The Sahrawi Arab Democratic Republic	ESH
Spain Spain	The Kingdom of Spain	ESP
Estonia Estonia	The Republic of Estonia	EST
Ethiopia Ethiopia	The Federal Democratic Republic of Ethiopia	ETH
Finland Finland	The Republic of Finland	FIN
Fiji Fiji	The Republic of Fiji	FJI

Country name	Official state name	Alpha-3 code
Falkland Islands Falkland Islands (the) [Malvinas]	The Falkland Islands	FLK
France France	The French Republic	FRA
Faroe Islands Faroe Islands (the)	The Faroe Islands	FRO
Federated States of Micronesia Micronesia (Federated States of)	The Federated States of Micronesia	FSM
Gabon Gabon	The Gabonese Republic	GAB
United Kingdom United Kingdom of Great Britain and Northern Ireland (the)	The United Kingdom of Great Britain and Northern Ireland	GBR
Georgia (country) Georgia	Georgia	GEO
Bailiwick of Guernsey Guernsey	The Bailiwick of Guernsey	GGY
Ghana Ghana	The Republic of Ghana	GHA
Gibraltar Gibraltar	Gibraltar	GIB
Guinea Guinea	The Republic of Guinea	GIN
Guadeloupe Guadeloupe	Guadeloupe	GLP
The Gambia Gambia (the)	The Republic of The Gambia	GMB
Guinea-Bissau Guinea-Bissau	The Republic of Guinea-Bissau	GNB
Equatorial Guinea Equatorial Guinea	The Republic of Equatorial Guinea	GNQ
Greece Greece	The Hellenic Republic	GRC
Grenada Grenada	Grenada	GRD
Greenland Greenland	Kalaallit Nunaat	GRL
Guatemala Guatemala	The Republic of Guatemala	GTM
French Guiana French Guiana	Guyane	GUF
Guam Guam	The Territory of Guam	GUM
Guyana Guyana	The Co-operative Republic of Guyana	GUY
Hong Kong Hong Kong	The Hong Kong Special Administrative Region of China	HKG
Heard Island and McDonald Islands Heard Island and McDonald Islands	The Territory of Heard Island and McDonald Islands	HMD
Honduras Honduras	The Republic of Honduras	HND
Croatia Croatia	The Republic of Croatia	HRV
Haiti Haiti	The Republic of Haiti	HTI
Hungary Hungary	Hungary	HUN
Indonesia Indonesia	The Republic of Indonesia	IDN
Isle of Man Isle of Man	The Isle of Man	IMN
India India	The Republic of India	IND

Country name	Official state name	Alpha-3 code
British Indian Ocean Territory British Indian Ocean Territory (the)	The British Indian Ocean Territory	IOT
Ireland	Ireland	IRL
Iran Iran (Islamic Republic of)	The Islamic Republic of Iran	IRN
Iraq Iraq	The Republic of Iraq	IRQ
Iceland Iceland	Iceland	ISL
Israel Israel	The State of Israel	ISR
Italy Italy	The Italian Republic	ITA
Jamaica Jamaica	Jamaica	JAM
Jersey Jersey	The Bailiwick of Jersey	JEY
Jordan Jordan	The Hashemite Kingdom of Jordan	JOR
Japan Japan	Japan	JPN
Kazakhstan Kazakhstan	The Republic of Kazakhstan	KAZ
Kenya Kenya	The Republic of Kenya	KEN
Kyrgyzstan Kyrgyzstan	The Kyrgyz Republic	KGZ
Cambodia Cambodia	The Kingdom of Cambodia	KHM
Kiribati Kiribati	The Republic of Kiribati	KIR
Saint Kitts and Nevis Saint Kitts and Nevis	Saint Kitts and Nevis	KNA
South Korea Korea (the Republic of)	The Republic of Korea	KOR
Kuwait Kuwait	The State of Kuwait	KWT
Laos Lao People's Democratic Republic (the)	The Lao People's Democratic Republic	LAO
Lebanon Lebanon	The Lebanese Republic	LBN
Liberia Liberia	The Republic of Liberia	LBR
Libya Libya	The State of Libya	LBY
Saint Lucia Saint Lucia	Saint Lucia	LCA
Liechtenstein Liechtenstein	The Principality of Liechtenstein	LIE
Sri Lanka Sri Lanka	The Democratic Socialist Republic of Sri Lanka	LKA
Lesotho Lesotho	The Kingdom of Lesotho	LSO
Lithuania Lithuania	The Republic of Lithuania	LTU
Luxembourg Luxembourg	The Grand Duchy of Luxembourg	LUX
Latvia Latvia	The Republic of Latvia	LVA
Macau Macao [r]	The Macao Special Administrative Region of China	MAC
Collectivity of Saint Martin Saint Martin (French part)	The Collectivity of Saint-Martin	MAF
Morocco Morocco	The Kingdom of Morocco	MAR
Monaco Monaco	The Principality of Monaco	MCO
Moldova Moldova (the Republic of)	The Republic of Moldova	MDA

Country name	Official state name	Alpha-3 code
Madagascar Madagascar	The Republic of Madagascar	MDG
Maldives Maldives	The Republic of Maldives	MDV
Mexico Mexico	The United Mexican States	MEX
Marshall Islands Marshall Islands (the)	The Republic of the Marshall Islands	MHL
North Macedonia North Macedonia	The Republic of North Macedonia	MKD
Mali Mali	The Republic of Mali	MLI
Malta Malta	The Republic of Malta	MLT
Myanmar Myanmar	The Republic of the Union of Myanmar	MMR
Montenegro Montenegro	Montenegro	MNE
Mongolia Mongolia	Mongolia	MNG
Northern Mariana Islands Northern Mariana Islands (the)	The Commonwealth of the Northern Mariana Islands	MNP
Mozambique Mozambique	The Republic of Mozambique	MOZ
Mauritania Mauritania	The Islamic Republic of Mauritania	MRT
Montserrat Montserrat	Montserrat	MSR
Martinique Martinique	Martinique	MTQ
Mauritius Mauritius	The Republic of Mauritius	MUS
Malawi Malawi	The Republic of Malawi	MWI
Malaysia Malaysia	Malaysia	MYS
Mayotte Mayotte	The Department of Mayotte	MYT
Namibia Namibia	The Republic of Namibia	NAM
New Caledonia New Caledonia	New Caledonia	NCL
Niger Niger (the)	The Republic of the Niger	NER
Norfolk Island Norfolk Island	The Territory of Norfolk Island	NFK
Nigeria Nigeria	The Federal Republic of Nigeria	NGA
Nicaragua Nicaragua	The Republic of Nicaragua	NIC
Niue Niue	Niue	NIU
Netherlands Netherlands (the)	The Kingdom of the Netherlands	NLD
Norway Norway	The Kingdom of Norway	NOR
Nepal Nepal	The Federal Democratic Republic of Nepal	NPL
Nauru Nauru	The Republic of Nauru	NRU
New Zealand New Zealand	New Zealand	NZL
Oman Oman	The Sultanate of Oman	OMN
Pakistan Pakistan	The Islamic Republic of Pakistan	PAK
Panama Panama	The Republic of Panamá	PAN
Pitcairn Islands Pitcairn	The Pitcairn, Henderson, Ducie and Oeno Islands	PCN
Peru Peru	The Republic of Perú	PER

Country name	Official state name	Alpha-3 code
Philippines Philippines (the)	The Republic of the Philippines	PHL
Palau Palau	The Republic of Palau	PLW
Papua New Guinea Papua New Guinea	The Independent State of Papua New Guinea	PNG
Poland Poland	The Republic of Poland	POL
Puerto Rico Puerto Rico	The Commonwealth of Puerto Rico	PRI
North Korea Korea (the Democratic People's Republic of)	The Democratic People's Republic of Korea	PRK
Portugal Portugal	The Portuguese Republic	PRT
Paraguay Paraguay	The Republic of Paraguay	PRY
State of Palestine Palestine, State of	The State of Palestine	PSE
French Polynesia French Polynesia	French Polynesia	PYF
Qatar Qatar	The State of Qatar	QAT
Réunion Réunion	Réunion	REU
Romania Romania	Romania	ROU
Russia Russian Federation (the)	The Russian Federation	RUS
Rwanda Rwanda	The Republic of Rwanda	RWA
Saudi Arabia Saudi Arabia	The Kingdom of Saudi Arabia	SAU
Sudan Sudan (the)	The Republic of the Sudan	SDN
Senegal Senegal	The Republic of Senegal	SEN
Singapore Singapore	The Republic of Singapore	SGP
South Georgia and the South Sandwich Islands South Georgia and the South Sandwich Islands	South Georgia and the South Sandwich Islands	SGS
Saint Helena Saint Helena	Saint Helena, Ascension and Tristan da Cunha	SHN
Svalbard Svalbard	Svalbard and Jan Mayen	SJM
Solomon Islands Solomon Islands	The Solomon Islands	SLB
Sierra Leone Sierra Leone	The Republic of Sierra Leone	SLE
El Salvador El Salvador	The Republic of El Salvador	SLV
San Marino San Marino	The Republic of San Marino	SMR
Somalia Somalia	The Federal Republic of Somalia	SOM
Saint Pierre and Miquelon Saint Pierre and Miquelon	The Overseas Collectivity of Saint-Pierre and Miquelon	SPM
Serbia Serbia	The Republic of Serbia	SRB
South Sudan South Sudan	The Republic of South Sudan	SSD
São Tomé and Príncipe Sao Tome and Principe	The Democratic Republic of São Tomé and Príncipe	STP
Suriname Suriname	The Republic of Suriname	SUR

Country name	Official state name	Alpha-3 code
Slovakia Slovakia	The Slovak Republic	SVK
Slovenia Slovenia	The Republic of Slovenia	SVN
Sweden Sweden	The Kingdom of Sweden	SWE
Eswatini Eswatini	The Kingdom of Eswatini	SWZ
Sint Maarten Sint Maarten (Dutch part)	Sint Maarten	SXM
Seychelles Seychelles	The Republic of Seychelles	SYC
Syria Syrian Arab Republic (the)	The Syrian Arab Republic	SYR
Turks and Caicos Islands Turks and Caicos Islands (the)	The Turks and Caicos Islands	TCA
Chad Chad	The Republic of Chad	TCD
Togo Togo	The Togolese Republic	TGO
Thailand Thailand	The Kingdom of Thailand	THA
Tajikistan Tajikistan	The Republic of Tajikistan	TJK
Tokelau Tokelau	Tokelau	TKL
Turkmenistan Turkmenistan	Turkmenistan	TKM
East Timor Timor-Leste	The Democratic Republic of Timor-Leste	TLS
Tonga Tonga	The Kingdom of Tonga	TON
Trinidad and Tobago Trinidad and Tobago	The Republic of Trinidad and Tobago	TTO
Tunisia Tunisia	The Republic of Tunisia	TUN
Turkey Türkiye	The Republic of Türkiye	TUR
Tuvalu Tuvalu	Tuvalu	TUV
Taiwan Taiwan (Province of China)	The Republic of China	TWN
Tanzania Tanzania, the United Republic of	The United Republic of Tanzania	TZA
Uganda Uganda	The Republic of Uganda	UGA
Ukraine Ukraine	Ukraine	UKR
United States United States Minor Outlying Islands (the)	Baker Island, Howland Island, Jarvis Island, Johnston Atoll, Kingman Reef, Midway Atoll, Navassa Island, Palmyra Atoll, and Wake Island	UMI
Uruguay Uruguay	The Oriental Republic of Uruguay	URY
United States United States of America (the)	The United States of America	USA
Uzbekistan Uzbekistan	The Republic of Uzbekistan	UZB
Holy See Holy See (the)	The Holy See	VAT
Saint Vincent and the Grenadines Saint Vincent and the Grenadines	Saint Vincent and the Grenadines	VCT
Venezuela Venezuela (Bolivarian Republic of)	The Bolivarian Republic of Venezuela	VEN

Country name	Official state name	Alpha-3 code
British Virgin Islands Virgin Islands (British)	The Virgin Islands	VGB
United States Virgin Islands Virgin Islands (U.S.)	The Virgin Islands of the United States	VIR
Vietnam Viet Nam	The Socialist Republic of Viet Nam	VNM
Vanuatu Vanuatu	The Republic of Vanuatu	VUT
Wallis and Futuna Wallis and Futuna	The Territory of the Wallis and Futuna Islands	WLF
Samoa Samoa	The Independent State of Samoa	WSM
Yemen Yemen	The Republic of Yemen	YEM
South Africa South Africa	The Republic of South Africa	ZAF
Zambia Zambia	The Republic of Zambia	ZMB
Zimbabwe Zimbabwe	The Republic of Zimbabwe	ZWE

7.3.2. StateCodeType

United States State and Territory codes

AL	Alabama	MI	Michigan	UT	Utah
AK	Alaska	MN	Minnesota	VT	Vermont
AZ	Arizona	MS	Mississippi	VA	Virginia
AR	Arkansas	MO	Missouri	WA	Washington
CA	California	MT	Montana	WV	West Virginia
CO	Colorado	NE	Nebraska	WI	Wisconsin
CT	Connecticut	NV	Nevada	WY	Wyoming
DE	Delaware	NH	New Hampshire	AS	American Samoa
DC	District of Columbia	NJ	New Jersey	GU	Guam
FL	Florida	NM	New Mexico	MH	Marshall Islands
GA	Georgia	NY	New York	FM	Micronesia
HI	Hawaii	NC	North Carolina	MP	Northern Marianas
ID	Idaho	ND	North Dakota	PW	Palau
IL	Illinois	OH	Ohio	PR	Puerto Rico
IN	Indiana	OK	Oklahoma	VI	Virgin Islands
IA	Iowa	OR	Oregon	AA	America
KS	Kansas	PA	Pennsylvania	AE	Europe
KY	Kentucky	RI	Rhode Island	AP	Pacific
LA	Louisiana	SC	South Carolina	FO	Foreign Address
ME	Maine	SD	South Dakota	NA	Not Available
MD	Maryland	TN	Tennessee		
MA	Massachusetts	TX	Texas		

7.3.3. Canadian Provinces

AB	Alberta
BC	British Columbia
MB	Manitoba
NB	New Brunswick
NL	Newfoundland and Labrador
NS	Nova Scotia
ON	Ontario
PE	Prince Edward Island
QC	Quebec
SK	Saskatchewan
YT	Yukon
NU	Nunavut
NT	Northwest Territories