

### 3. INDEX TO FORMS

As a filer, you will first need to determine whether you must meet your filing obligation via EDGAR. The SEC Rules, particularly Regulation S-T, General Rules and Regulations for Electronic Filings, outline which filings are mandated as electronic. This means that they must be filed on EDGAR unless there is a case for Temporary or Permanent Hardship. (The rules for each form and hardship exemptions may differ, so please see the regulation for specific information.) Once you determine the form you need to file is electronic, then you need to identify the submission type to use. For each submission type, there are specific tools that you can use.

As the EDGAR system has evolved using new technologies, tools have been added, changed, and sometimes updated. There is no longer a single tool for preparing an EDGAR submission. Your guide to the tools is this index. The first index allows you to lookup EDGAR electronic submission types easily if all you know is the submission form type. Included in the last two columns is detailed information about the tools that are used to create and/or assemble the filing. The second index is easiest to use if you are more comfortable looking up your submission type by Act.

Before using the indexes, it is important to understand the difference between the Code of Federal Regulations (CFR) Form/Schedule/Rule column reference and the EDGAR Submission Type column. The index entries under the CFR Form/Schedule/Rule column refer to the titles of the actual Form, Schedule or Rule named in the CFR. The Submission Type refers to Form variations filers use on the electronic filing system to fulfill their filing obligation. For example, the paper Form 15 is implemented on EDGAR as a number of different submission types including: 15-12B, 15-12G, and 15-15D. The last three digits represent the sections of the 34 Act under which the filer is registered.

Using either Index, find the submission type, check that the description of the form matches your understanding of the purpose of the form, and identify the tool or template that should be used to create the form. The options in this column are EDGARLink and the corresponding templates, EDGARLite and the corresponding templates and OnlineForms. There is a section in this manual describing in detail each of these tools. Chapter 7 PREPARING AND TRANSMITTING EDGARLINK SUBMISSIONS describes EDGARLink. Chapter 8 PREPARING AND TRANSMITTING EDGARLITE SUBMISSIONS describes EDGARLite. Chapter 9, PREPARING AND TRANSMITTING ONLINE SUBMISSIONS, describes online submissions using the EDGAR OnlineForms/XML Website. The column entitled Filer-Constructed Technical Specifications should only be used by filers who want to create their submissions without the use of EDGAR tools. These Technical Specifications are available on the SEC's Public Website. The Technical Specifications are delivered separately and are not part of the Filer Manual.

**Note:** In Section 3.1 for simplicity we include both the initial form and the associated amendment in the Submission Type column.

### 3.1 Alpha/Numeric

Submission Type	Description	Tool/ Template Number	Filer- Constructed Form Spec.
1-E, 1-E/A	Notification under Regulation E by small business investment companies and business development companies.	EDGARLink Template 3	XFDL Technical Specification
1-E AD, 1-E AD/A	Sales material filed pursuant to Rule 607 under Regulation E.	EDGARLink Template 3	XFDL Technical Specification
2-E, 2-E/A	Report of sales of securities pursuant to Rule 609 under Regulation E.	EDGARLink Template 3	XFDL Technical Specification
10-12B, 10-12B/A	Initial general form for registration of a class of securities pursuant to section 12(b)	EDGARLink Template 3	XFDL Technical Specification
10-12G, 10-12G/A	Initial general form for registration of a class of securities pursuant to section 12(g)	EDGARLink Template 3	XFDL Technical Specification
10-D, 10-D/A	Periodic distribution reports by Asset-Backed issuers pursuant to Rule 13a-17 or 15d-17	EDGARLink Template 3	XFDL Technical Specification
10-K, 10-K/A	Annual report pursuant to section 13 and 15(d)	EDGARLink Template 3	XFDL Technical Specification
10KSB, 10KSB/A	Optional form for annual and transition reports of small business issuers under section 13 or 15(d) Will no longer be accepted as of March 16, 2009	EDGARLink Template 3	XFDL Technical Specification
10-KT, 10-KT/A	Transition report pursuant to Rule 13a-10 or 15d-10	EDGARLink Template 3	XFDL Technical Specification
10-Q, 10-Q/A	Quarterly report pursuant to sections 13 or 15(d)	EDGARLink Template 3	XFDL Technical Specification
10-QT, 10-QT/A	Transition report pursuant to Rule 13a-10 or 15d-10	EDGARLink Template 3	XFDL Technical Specification
11-K, 11-K/A	Annual report of employee stock purchase, savings and similar plans	EDGARLink Template 3	XFDL Technical Specification
11-KT, 11-KT/A	Transition report pursuant to rule 13a-10 or 15d-10	EDGARLink Template 3	XFDL Technical Specification
13F-HR, 13F-HR/A	Initial Quarterly Form 13F Holdings report filed by institutional managers	EDGARLink Template 3	XFDL Technical Specification
13F-NT, 13F-NT/A	Initial Quarterly Form 13F Notice Report filed by institutional managers	EDGARLink Template 3	XFDL Technical Specification
144, 144/A	Filing for proposed sale of securities under Rule 144	EDGARLink Template 2	XFDL Technical Specification
15-12B, 15-12B/A	Notice of termination of registration of a class of securities under Section 12(b)	EDGARLink Template 3	XFDL Technical Specification
15-12G, 15-12G/A	Notice of termination of registration of a class of securities under Section 12(g)	EDGARLink Template 3	XFDL Technical Specification
15-15D, 15-15D/A	Notice of suspension of duty to file reports	EDGARLink	XFDL Technical

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
	pursuant to Section 13 and 15(d) of the Act	Template 3	Specification
15F-12B, 15F-12B/A	Notice of termination of a foreign private issuer's registration of a class of securities under Section 12(b).	EDGARLink Template 3	XFDL Technical Specification
15F-12G, 15F12G/A	Notice of termination of a foreign private issuer's registration of a class of securities under Section 12(g).	EDGARLink Template 3	XFDL Technical Specification
15F-15D, 15F15D/A	Notice of a foreign private issuer's suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act	EDGARLink Template 3	XFDL Technical Specification
18-12B, 18-12B/A	Form for initial registration of securities of foreign governments or political subdivisions pursuant to section 12(b)	EDGARLink Template 3	XFDL Technical Specification
18-12G, 18-12G/A	Form for initial registration of securities of foreign governments or political subdivisions thereof pursuant to section 12(g)	EDGARLink Template 3	XFDL Technical Specification
18-K, 18-K/A	Annual report for foreign governments and political subdivisions	EDGARLink Template 3	XFDL Technical Specification
20-F, 20-F/A	Annual and transition report of foreign private issuers pursuant to sections 13 or 15(d)	EDGARLink Template 3	XFDL Technical Specification
20FR12B, 20FR12B/A	Form for initial registration of a class of securities of foreign private issuers pursuant to section 12(b)	EDGARLink Template 3	XFDL Technical Specification
20FR12G, 20FR12G/A	Form for initial registration of a class of securities of foreign private issuers pursuant to section 12(g)	EDGARLink Template 3	XFDL Technical Specification
24F-2NT, 24F-2NT/A	Rule 24F-2 notice filed on Form 24F-2	EDGARLink Template 1	XFDL Technical Specification
25, 25/A	Notification filed by issuer to voluntarily withdraw a class of securities from listing and registration on a national securities exchange	EDGARLink Template 3	XFDL Technical Specification
25-NSE, 25-NSE/A	Notification filed by national security exchange to report the removal from listing and registration of matured, redeemed or retired securities	Distributed to National Securities Exchanges only	Distributed to National Securities Exchanges only
3, 3/A	Initial statement of beneficial ownership of securities	OnlineForms	Ownership XML Technical Specification
305B2, 305B2/A	Application for designation of a new trustee under the Trust Indenture Act	EDGARLink Template 3	XFDL Technical Specification

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
4, 4/A	Statement of changes in beneficial ownership of securities	OnlineForms	Ownership XML Technical Specification
40-6B, 40-6B/A	Application under the Investment Company Act by an employees' securities company	EDGARLink Template 3	XFDL Technical Specification
40-17F1, 40-17F1/A	Initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-1 of the Investment Company Act of 1940 filed on Form N-17F-1	EDGARLink Template 2	XFDL Technical Specification
40-17F2, 40-17F2/A	Initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-2 of the Investment Company Act of 1940 filed on Form N-17F-2	EDGARLink Template 2	XFDL Technical Specification
40-17G, 40-17G/A	Fidelity bond filed pursuant to Rule 17g1(g)(1) of the Investment Company Act of 1940	EDGARLink Template 2	XFDL Technical Specification
40-17GCS, 4017GCS/A	Filings of claim or settlement pursuant to rule 17g-1(g)(1)(2) or (3) of the Investment Company Act of 1940	EDGARLink Template 2	XFDL Technical Specification
40-24B2, 40-24B2/A	Filing of sales literature pursuant to Rule 24b2 under the Investment Company Act of 1940	EDGARLink Template 2	XFDL Technical Specification
40-33, 40-33/A	Copies of all stockholder derivative actions filed with a court against an investment company or an affiliate thereof pursuant to Section 33 of the Investment Company Act of 1940	EDGARLink Template 2	XFDL Technical Specification
40-8B25	Document or report	EDGARLink Template 2	XFDL Technical Specification
40-8F-2, 40-8F-2/A	Initial application for deregistration pursuant to Investment Company Act Rule 0-2	EDGARLink Template 2	XFDL Technical Specification
40-APP, 40-APP/A	Applications under the Investment Company Act other than those reviewed by Office of Insurance Products	EDGARLink Template 3	XFDL Technical Specification
40-F, 40-F/A	Annual reports filed by certain Canadian issuers pursuant to Section 15(d) and Rule 15d-4	EDGARLink Template 3	XFDL Technical Specification
40FR12B, 40FR12B/A	Registration of a class of securities of certain Canadian issuers pursuant to Section 12(b) of the 1934 Act	EDGARLink Template 3	XFDL Technical Specification
40FR12G, 40FR12G/A	Registration of a class of securities of certain Canadian issuers pursuant to Section 12(g) of the 1934 Act	EDGARLink Template 3	XFDL Technical Specification
40-OIP, 40-OIP/A	Applications under the Investment Company Act reviewed by Office of Insurance Products	EDGARLink Template 3	XFDL Technical Specification

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
424A	Prospectus filed pursuant to Rule 424(a)	EDGARLink Template 3	XFDL Technical Specification
424B1	Prospectus filed pursuant to Rule 424(b)(1)	EDGARLink Template 1	XFDL Technical Specification
424B2	Prospectus filed pursuant to Rule 424(b)(2)	EDGARLink Template 1	XFDL Technical Specification
424B3	Prospectus filed pursuant to Rule 424(b)(3)	EDGARLink Template 1	XFDL Technical Specification
424B4	Prospectus filed pursuant to Rule 424(b)(4)	EDGARLink Template 1	XFDL Technical Specification
424B5	Prospectus filed pursuant to Rule 424(b)(5)	EDGARLink Template 1	XFDL Technical Specification
424B7	Prospectus filed pursuant to Rule 424(b)(7)	EDGARLink Template 1	XFDL Technical Specification
424B8	Prospectus filed pursuant to Rule 424(b)(8)	EDGARLink Template 1	XFDL Technical Specification
425	Filing under Securities Act Rule 425 of certain prospectuses and communications in connection with business combination transactions	EDGARLink Template 2	XFDL Technical Specification
485APOS	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	EDGARLink Template 3	XFDL Technical Specification
485BPOS	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	EDGARLink Template 3	XFDL Technical Specification
485BXT	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	EDGARLink Template 3	XFDL Technical Specification
486APOS	Post-effective amendment to filing filed pursuant to Securities Act Rule 486(a)	EDGARLink Template 3	XFDL Technical Specification
486BPOS	Post-effective amendment to filing filed pursuant to Securities Act Rule 486(b)	EDGARLink Template 3	XFDL Technical Specification
487	Pre-effective pricing amendment filed pursuant to Securities Act Rule 487	EDGARLink Template 1	XFDL Technical Specification
497	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	EDGARLink Template 3	XFDL Technical Specification
497AD	Filing by certain investment companies of Securities Act Rule 482 advertising in accordance with Securities Act Rule 497 and the Note to Rule 482(c)	EDGARLink Template 3	XFDL Technical Specification

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
497H2	Filings made pursuant to Rule 497(h)(2)	EDGARLink Template 3	XFDL Technical Specification
497J	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	EDGARLink Template 3	XFDL Technical Specification
497K	Summary Prospectus for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k) Cannot be used until March 31, 2009.	EDGARLink Template 3	XFDL Technical Specification
497K1	Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(i) Will no longer be accepted after close of business (5:30 PM EST) on March 30, 2009.	EDGARLink Template 3	XFDL Technical Specification
497K2	Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(ii) Will no longer be accepted after close of business (5:30 PM EST) on March 30, 2009.	EDGARLink Template 3	XFDL Technical Specification
497K3A	Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(iii)(A) Will no longer be accepted after close of business (5:30 PM EST) on March 30, 2009.	EDGARLink Template 3	XFDL Technical Specification
497K3B	Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(iii)(B) Will no longer be accepted after close of business (5:30 PM EST) on March 30, 2009.	EDGARLink Template 3	XFDL Technical Specification
5, 5/A	Annual statement of changes in beneficial ownership of securities	OnlineForms	Ownership XML Technical Specification
6-K, 6-K/A	Current report of foreign issuer pursuant to Rules 13a-16 and 15d-16 Amendments	EDGARLink Template 3	XFDL Technical Specification
8-A12B, 8-A12B/A	Form for the registration / listing of a class of securities on a national securities exchange pursuant to section 12(b)	EDGARLink Template 3	XFDL Technical Specification
8-A12G, 8-A12G/A	Form for registration of a class of securities pursuant to section 12(g)	EDGARLink Template 3	XFDL Technical Specification
8-K, 8-K/A	Current report filing	EDGARLink Template 3	XFDL Technical Specification
8-K12B, 8-K12B/A	Notification that a class of securities of successor issuer is deemed to be registered pursuant to section 12(b)	EDGARLink Template 3	XFDL Technical Specification

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
8-K12G3, 8-K12G3/A	Notification that a class of securities of successor issuer is deemed to be registered pursuant to section 12(g)	EDGARLink Template 3	XFDL Technical Specification
8-K15D5, 8-K15D5/A	Notification of assumption of duty to report by successor issue under section 15(d)	EDGARLink Template 3	XFDL Technical Specification
ANNLRPT, ANNLRPT/A	Periodic Development Bank filing, submitted annually	EDGARLink Template 2	XFDL Technical Specification
ARS, ARS/A	Annual report to security holders	EDGARLink Template 3	XFDL Technical Specification
AW	Withdrawal of amendment to a registration statement filed under the Securities Act	EDGARLink Template 3	XFDL Technical Specification
AW WD	Withdrawal of a request for withdrawal of an amendment to a registration statement	EDGARLink Template 1	XFDL Technical Specification
CB, CB/A	Notification form filed in connection with certain tender offers, business combinations and rights offerings, in which the subject company is a foreign private issuer of which less than 10% of its securities are held by U.S. persons	EDGARLink Template 2	XFDL Technical Specification
CORRESP	A correspondence can be sent as a document with another submission type or can be sent as a separate submission.	EDGARLink Template 4	XFDL Technical Specification
D, D/A	Official notice of an offering of securities that is made without registration under the Securities Act in reliance on an exemption provided by Regulation D and Section 4(6) under the Act.	Online Forms	N/A
DEF 14A	Definitive proxy statements	EDGARLink Template 2	XFDL Technical Specification
DEF 14C	Definitive information statements	EDGARLink Template 2	XFDL Technical Specification
DEFA14C	Definitive additional information statement materials including Rule 14(a)(12) material	EDGARLink Template 2	XFDL Technical Specification
DEFC14A	Definitive proxy statement in connection with contested solicitations	EDGARLink Template 2	XFDL Technical Specification
DEFC14C	Definitive information statement - contested solicitations	EDGARLink Template 2	XFDL Technical Specification
DEFM14A	Definitive proxy statement relating to merger or acquisition	EDGARLink Template 2	XFDL Technical Specification
DEFM14C	Definitive information statement relating to merger or acquisition	EDGARLink Template 2	XFDL Technical Specification
DEFN14A	Definitive proxy statement filed by non management	EDGARLink Template 2	XFDL Technical Specification

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
DEFR14A	Definitive revised proxy soliciting materials	EDGARLink Template 2	XFDL Technical Specification
DEFR14C	Definitive revised information statement materials	EDGARLink Template 2	XFDL Technical Specification
DEL AM	Separately filed delaying amendment under Securities Act Rule 473 to delay effectiveness of a 1933 Act registration statement	EDGARLink Template 3	XFDL Technical Specification
DFAN14A	Definitive additional proxy soliciting materials filed by non-management including Rule 14(a)(12) material	EDGARLink Template 2	XFDL Technical Specification
DFRN14A	Revised definitive proxy statement filed by non-management	EDGARLink Template 2	XFDL Technical Specification
DSTRBRPT, DSTRBRPT/A	Distribution of primary obligations Development Bank report	EDGARLink Template 2	XFDL Technical Specification
F-1, F-1/A	Registration statement for securities of certain foreign private issuers	EDGARLink Template 1	XFDL Technical Specification
F-10, F-10/A	Registration statement for securities of certain Canadian issuers under the Securities Act of 1933	EDGARLink Template 1	XFDL Technical Specification
F-10EF	Auto effective registration statement for securities of certain Canadian issuers under the Securities Act of 1933	EDGARLink Template 1	XFDL Technical Specification
F-10POS	Post-effective amendment to a F-10EF registration	EDGARLink Template 1	XFDL Technical Specification
F-1MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-1	EDGARLink Template 1	XFDL Technical Specification
F-3, F-3/A	Registration statement for specified transactions by certain foreign private issuers	EDGARLink Template 1	XFDL Technical Specification
F-3ASR	Automatic shelf registration statement of securities of well-known seasoned issuers	EDGARLink Template 1	XFDL Technical Specification
F-3D	Registration statement for dividend or interest reinvestment plan securities of foreign private issuers	EDGARLink Template 1	XFDL Technical Specification
F-3DPOS	Post-Effective amendment to a F-3D registration	EDGARLink Template 1	XFDL Technical Specification
F-3MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F 3	EDGARLink Template 1	XFDL Technical Specification
F-4 POS	Post-effective amendment to a F-4EF registration	EDGARLink Template 1	XFDL Technical Specification



<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
F-4, F-4/A	Registration statement for securities issued by foreign private issuers in certain business combination transactions	EDGARLink Template 1	XFDL Technical Specification
F-4EF	Auto effective registration statement for securities by certain foreign private issuers in connection with certain business combination transactions	EDGARLink Template 1	XFDL Technical Specification
F-4MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F 4	EDGARLink Template 1	XFDL Technical Specification
F-6 POS	Post-effective amendment to a F-6EF registration	EDGARLink Template 1	XFDL Technical Specification
F-6, F-6/A	Registration statement for American Depositary Receipts representing securities of certain foreign private issuers	EDGARLink Template 1	XFDL Technical Specification
F-6EF	Auto effective registration statement for American Depositary Receipts representing securities of certain foreign private issuers	EDGARLink Template 1	XFDL Technical Specification
F-7 POS	Post-effective amendment to a F-7 registration	EDGARLink Template 1	XFDL Technical Specification
F-7, F-7/A	Registration statement for securities of certain Canadian issuers offered for cash upon the exercise of rights granted to existing security holders under the Securities Act of 1933	EDGARLink Template 1	XFDL Technical Specification
F-8 POS	Post-effective amendment to a F-8 registration	EDGARLink Template 1	XFDL Technical Specification
F-8, F-8/A	Registration statement for securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933	EDGARLink Template 1	XFDL Technical Specification
F-80, F-80/A	Registration of securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933	EDGARLink Template 1	XFDL Technical Specification
F-80POS	Post-effective amendment to a F-80 registration	EDGARLink Template 1	XFDL Technical Specification
F-9 POS	Post-effective amendment to a F-9EF registration	EDGARLink Template 1	XFDL Technical Specification
F-9, F-9/A	Registration of securities of certain investment grade debt or investment grade preferred securities of certain Canadian issuers under the Securities Act of 1933	EDGARLink Template 1	XFDL Technical Specification

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
F-9EF	Auto effective registration of securities of certain investment grade debt or investment grade preferred securities of certain Canadian issuers under the Securities Act of 1933	EDGARLink Template 1	XFDL Technical Specification
F-N, F-N/A	Notification of the appointment of an agent for service by certain foreign institutions	EDGARLink Template 2	XFDL Technical Specification
FWP	Filing under Securities Act Rules 163/433 of free writing prospectuses	EDGARLink Template 2	XFDL Technical Specification
F-X, F-X/A	For appointment of agent for service of process by issuers registering securities	EDGARLink Template 2	XFDL Technical Specification
N-1, N-1/A	Initial registration statement filed on Form N-1 for open-end management investment companies.	EDGARLink Template 1	XFDL Technical Specification
N-14 8C, N-14 8C/A	Initial registration statement filed on Form N14 by closed-end investment company (business combinations)	EDGARLink Template 1	XFDL Technical Specification
N-14, N-14/A	Initial registration statement filed on Form N14 for open-end investment company, including those filed with automatic effectiveness under Rule 488 (business combinations)	EDGARLink Template 1	XFDL Technical Specification
N-14MEF	A new registration statement filed on Form N14 by closed end investment companies filed under Securities Act Rule 462(b) of up to an additional 20% of securities for an offering that was registered on Form N-14	EDGARLink Template 1	XFDL Technical Specification
N-18F1, N-18F1/A	Initial notification of election pursuant to Rule 18f-1 filed on Form N-18F-1	EDGARLink Template 2	XFDL Technical Specification
N-1A, N-1A/A	Initial registration statement filed on Form N1A for open-end management investment companies	EDGARLink Template 1	XFDL Technical Specification
N-2, N-2/A	Initial filing of a registration statement on Form N-2 for closed-end investment companies	EDGARLink Template 1	XFDL Technical Specification
N-23C-2, N-23C-2/A	Notice by closed-end investment companies of intention to call or redeem their own securities under Investment Company Act Rule 23c-2	EDGARLink Template 2	XFDL Technical Specification
N-23C3A, N23C3A/A	Notification of periodic repurchase offer Filed pursuant to Rule 23c-3(b) only	EDGARLink Template 2	XFDL Technical Specification
N-23C3B, N23C3B/A	Filing pursuant to Rule 23c-3(c) only on Form N-23C-3	EDGARLink Template 2	XFDL Technical Specification
N-23C3C, N23C3C/A	Filing pursuant to Rule 23c-3(b) and (c) on Form N-23C-3	EDGARLink Template 2	XFDL Technical Specification
N-27D-1, N-27D-1/A	Accounting for segregated trust accounts on Form N-27D-1	EDGARLink Template 2	XFDL Technical Specification

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
N-2MEF	A new registration statement on Form N-2 filed under Securities Act Rule 462(b) by closed-end investment companies of up to an additional 20% of securities for an offering that was registered on Form N-2	EDGARLink Template 1	XFDL Technical Specification
N-3, N-3/A	Initial registration statement on Form N-3 for separate accounts (management investment companies)	EDGARLink Template 1	XFDL Technical Specification
N-30B-2	Periodic and interim reports mailed to investment company shareholders (other than annual and semi-annual reports mailed to shareholders pursuant to Rule 30e-1)	EDGARLink Template 3	XFDL Technical Specification
N-30D, N-30D/A	Initial annual and semi-annual reports mailed to investment company shareholders pursuant to Rule 30e-1 (other than those required to be submitted as part of Form NCSR)	EDGARLink Template 3	XFDL Technical Specification
N-4, N-4/A	Initial registration statement on Form N-4 for separate accounts (unit investment trusts)	EDGARLink Template 1	XFDL Technical Specification
N-5, N-5/A	Registration statement for small business investment companies	EDGARLink Template 1	XFDL Technical Specification
N-54A, N-54A/A	Notification of election by business development companies filed on Form N-54A	EDGARLink Template 2	XFDL Technical Specification
N-54C, N-54C/A	Notification of withdrawal by business development companies filed on Form N-54C	EDGARLink Template 2	XFDL Technical Specification
N-6, N-6/A	Registration statement for separate accounts (unit investment trusts)	EDGARLink Template 1	XFDL Technical Specification
N-6F, N-6F/A	Notice of intent by business development companies to elect to be subject to Sections 55 through 65 of the 1940 Act filed on Form N-6F	EDGARLink Template 2	XFDL Technical Specification
N-8A, N-8A/A	Initial notification of registration under section 8(a) filed on Form N-8A	EDGARLink Template 2	XFDL Technical Specification
N-8B-2, N-8B-2/A	Initial registration statement for unit investment trusts filed on Form N-8B-2	EDGARLink Template 2	XFDL Technical Specification
N-8B-3, N-8B-3/A	Initial registration statement for periodic payment plans filed on Form N-8B-3	EDGARLink Template 2	XFDL Technical Specification
N-8B-4, N-8B-4/A	Initial registration statement for face-amount certificate companies filed on Form N-8B-4	EDGARLink Template 2	XFDL Technical Specification
N-8F, N-8F/A	Application for deregistration made on Form N-8F	EDGARLink Template 2	XFDL Technical Specification
N-CSR, N-CSR/A	Certified annual shareholder report of registered management investment companies filed on Form N-CSR	EDGARLink Template 3	XFDL Technical Specification

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
N-CSRS, N-CSRS/A	Certified semi-annual shareholder report of registered management investment companies filed on Form N-CSR	EDGARLink Template 3	XFDL Technical Specification
N-PX, N-PX/A	Annual Report of Proxy Voting Record of Registered Management Investment Companies filed on Form N-PX	EDGARLink Template 3	XFDL Technical Specification
N-Q, N-Q/A	Quarterly Schedule of Portfolio Holdings of Registered Management Investment Company filed on Form N-Q	EDGARLink Template 3	XFDL Technical Specification
NSAR-A, NSAR-A/A	Semi-annual report for management companies filed on Form N-SAR	EDGARLink Template 3	XFDL Technical Specification
NSAR-AT, NSARAT/A	Transitional semi-annual report filed on Form N-SAR	EDGARLink Template 3	XFDL Technical Specification
NSAR-B, NSAR-B/A	Annual report for management companies filed on Form N-SAR	EDGARLink Template 3	XFDL Technical Specification
NSAR-BT, NSARBT/A	Transitional annual report filed on Form NSAR	EDGARLink Template 3	XFDL Technical Specification
NSAR-U, NSAR-U/A	Annual report for unit investment trusts filed on Form N-SAR	EDGARLink Template 3	XFDL Technical Specification
NT 10-K, NT 10-K/A	Notice under Rule 12b25 of inability to timely file all or part of a Form 10-K, 10-KSB, or 10KT	EDGARLink Template 3	XFDL Technical Specification
NT 10-D, NT 10-D/A	Notice under Rule 12b25 of inability to timely file all or part of a Form 10-D	EDGARLink Template 3	XFDL Technical Specification
NT 10-Q, NT 10-Q/A	Notice under Rule 12b25 of inability to timely file all or part of a form 10-Q or 10-QSB	EDGARLink Template 3	XFDL Technical Specification
NT 11-K, NT 11-K/A	Notice under Rule 12b25 of inability to timely file all or part of a form 11-K	EDGARLink Template 3	XFDL Technical Specification
NT 15D2, NT 15D2/A	Notice under Rule 12b25 of inability to timely file a special report pursuant to section 15d-2	EDGARLink Template 3	XFDL Technical Specification
NT 20-F, NT 20-F/A	Notice under Rule 12b25 of inability to timely file all or part of an annual report of form 20-F	EDGARLink Template 3	XFDL Technical Specification
NT-NCSR, NTNCSR/A	Notice under Exchange Act Rule 12b-25 of inability to timely file Form N-CSR (annual or semi-annual report)	EDGARLink Template 3	XFDL Technical Specification
NT-NSAR, NTNSAR/A	Notice under Exchange Act Rule 12b-25 of inability to timely file Form N-SAR	EDGARLink Template 3	XFDL Technical Specification
POS 8C	Post-effective amendment filed under the 1933 Act only or under both the 1933 and 1940 Acts pursuant to Section 8(c) of the 1933 Act by closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)	EDGARLink Template 3	XFDL Technical Specification

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
POS AM	Post-effective amendment to a registration statement that is not immediately effective upon filing	EDGARLink Template 1	XFDL Technical Specification
POS AMI	Post-effective amendment (for filings made under the 1940 Act only)	EDGARLink Template 3	XFDL Technical Specification
POSASR	Post-effective Amendment to an automatic shelf registration statement on Form S-3ASR or Form F-3ASR	EDGARLink Template 1	XFDL Technical Specification
POS EX	Post-effective amendment filed solely to add exhibits to a registration statement	EDGARLink Template 3	XFDL Technical Specification
POS462B	Post-effective amendment to Securities Act Rule 462(b) registration statement	EDGARLink Template 3	XFDL Technical Specification
POS462C	Post-effective amendment to a registration statement filed under Rule 462(c)	EDGARLink Template 3	XFDL Technical Specification
PRE 14A	Preliminary proxy statement not related to a contested matter or merger/acquisition	EDGARLink Template 2	XFDL Technical Specification
PRE 14C	Preliminary information statement not related to a contested matter or merger/acquisition	EDGARLink Template 2	XFDL Technical Specification
PREC14A	Preliminary proxy statement in connection with contested solicitations	EDGARLink Template 2	XFDL Technical Specification
PREC14C	Preliminary information statements - contested solicitations	EDGARLink Template 2	XFDL Technical Specification
PREM14A	Preliminary proxy statements relating to merger or acquisition	EDGARLink Template 2	XFDL Technical Specification
PREM14C	Preliminary information statements relating to merger or acquisition	EDGARLink Template 2	XFDL Technical Specification
PREN14A	Preliminary proxy statement filed by non-management	EDGARLink Template 2	XFDL Technical Specification
PRER14A	Preliminary revised proxy soliciting materials	EDGARLink Template 2	XFDL Technical Specification
PRER14C	Preliminary revised information statements	EDGARLink Template 2	XFDL Technical Specification
PRRN14A	Revised preliminary proxy statement filed by non-management	EDGARLink Template 2	XFDL Technical Specification
PX14A6G	Notice of exempt solicitation	EDGARLink Template 2	XFDL Technical Specification
PX14A6N	Notice of exempt solicitation for the purpose of determining whether to solicit proxies, consents, or authorizations in opposition to a proposed roll-up transaction filed pursuant to Rule 14a6(g) of the Securities Exchange Act of 1934	EDGARLink Template 2	XFDL Technical Specification

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
QRTLRYRPT, QRTLRYRPT/A	Periodic Development Bank filing, submitted quarterly	EDGARLink Template 2	XFDL Technical Specification
RW	Registration Withdrawal Request	EDGARLink Template 3	XFDL Technical Specification
RW WD	Withdrawal of a Registration Withdrawal Request	EDGARLink Template 1	XFDL Technical Specification
S-1, S-1/A	General form of registration statement for all companies including face-amount certificate companies	EDGARLink Template 1	XFDL Technical Specification
S-11, S-11/A	Registration statement for securities to be issued by real estate companies	EDGARLink Template 1	XFDL Technical Specification
S-11MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S 11	EDGARLink Template 1	XFDL Technical Specification
S-1MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S 1	EDGARLink Template 1	XFDL Technical Specification
S-20, S-20/A	Registration statement for standardized options	EDGARLink Template 1	XFDL Technical Specification
S-3, S-3/A	Registration statement for specified transactions by certain issuers	EDGARLink Template 1	XFDL Technical Specification
S-3ASR	Automatic shelf registration statement of securities of well-known seasoned issuers	EDGARLink Template 1	XFDL Technical Specification
S-3D	Automatically effective registration statement for securities issued pursuant to dividend or interest reinvestment plans	EDGARLink Template 1	XFDL Technical Specification
S-3DPOS	Post-effective amendment to a S-3D registration statement	EDGARLink Template 1	XFDL Technical Specification
S-3MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S 3	EDGARLink Template 1	XFDL Technical Specification
S-4 POS	Post-effective amendment to a S-4EF registration statement	EDGARLink Template 1	XFDL Technical Specification
S-4, S-4/A	Registration of securities issued in business combination transactions	EDGARLink Template 1	XFDL Technical Specification
S-4EF	Auto effective registration statement for securities issued in connection with the formation of a bank or savings and loan holding company in compliance with General Instruction G	EDGARLink Template 1	XFDL Technical Specification

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
S-4MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-4	EDGARLink Template 1	XFDL Technical Specification
S-6, S-6/A	Initial registration statement filed on Form S-6 for unit investment trusts	EDGARLink Template 1	XFDL Technical Specification
S-8	Initial registration statement for securities to be offered to employees pursuant to employee benefit plans	EDGARLink Template 1	XFDL Technical Specification
S-8 POS	Post-effective amendment to a S-8 registration statement	EDGARLink Template 1	XFDL Technical Specification
S-B, S-B/A	Registration statement for securities of foreign governments and subdivisions thereof under the Securities Act of 1933 (Schedule B)	EDGARLink Template 1	XFDL Technical Specification
S-BMEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-B	EDGARLink Template 1	XFDL Technical Specification
SC 13D, SC 13D/A	Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities	EDGARLink Template 2	XFDL Technical Specification
SC 13E1, SC 13E1/A	Schedule 13-E1 statement of issuer required by Rule 13e-1	EDGARLink Template 2	XFDL Technical Specification
SC 13E3, SC 13E3/A	Schedule filed to report going private transactions	EDGARLink Template 2	XFDL Technical Specification
SC 13G, SC 13G/A	Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities by passive investors and certain institutions	EDGARLink Template 2	XFDL Technical Specification
SC 14D9, SC 14D9/A	Tender offer solicitation / recommendation statements filed under Rule 14d-9	EDGARLink Template 2	XFDL Technical Specification
SC 14F1, SC 14F1/A	Statement regarding change in majority of directors pursuant to Rule 14f-1	EDGARLink Template 2	XFDL Technical Specification
SC TO-C	Written communication relating to an issuer or third party tender offer	EDGARLink Template 2	XFDL Technical Specification
SC TO-I, SC TO-I/A	Issuer tender offer statement	EDGARLink Template 2	XFDL Technical Specification
SC TO-T, SC TO-T/A	Third party tender offer statement	EDGARLink Template 2	XFDL Technical Specification
SC13E4F, SC13E4F/A	Issuer tender offer statement filed pursuant to Rule 13(e)(4) by foreign issuers	EDGARLink Template 2	XFDL Technical Specification
SC14D1F, SC14D1F/A	Third party tender offer statement filed pursuant to Rule 14d-1(b) by foreign issuers	EDGARLink Template 2	XFDL Technical Specification

<b>Submission Type</b>	<b>Description</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
SC14D9C	Written communication by the subject company relating to a third party tender offer	EDGARLink Template 2	XFDL Technical Specification
SC14D9F, SC14D9F/A	Solicitation/recommendation statement pursuant to Section 14(d)(4) of the Securities Exchange Act of 1934 and Rules 14d-1(b) and 14e-2(c) by foreign issuers	EDGARLink Template 2	XFDL Technical Specification
SH-ER, SH-ER/A	Weekly Form SH Entries Report Filed by Institutional Investment Managers	EDGARLink Template 3	SH-ER Information Table XML Technical Specification  XFDL Technical Specification
SH-NT, SH-NT/A	Weekly Form SH Notice Report Filed by Institutional Investment Managers	EDGARLink Template 3	XFDL Technical Specification
SP 15D2, SP 15D2/A	Special Financial Report filed under Rule 15d-2	EDGARLink Template 3	XFDL Technical Specification
SUPPL	Voluntary supplemental material filed pursuant to Section 11(a) of the Securities Act of 1933 by foreign issuers	EDGARLink Template 2	XFDL Technical Specification
T-1, T-2	Note - 'Submission types' T-1 and T-2 are not used as stand-alone submission types on the EDGAR system. They are filed as EX-25 to registration statements.		
T-3, T-3/A	Initial application for qualification of trust indentures	EDGARLink Template 1	XFDL Technical Specification
T-6, T-6/A	Application for determination of eligibility of a foreign person to act as institutional trustee filed pursuant to Section 310(a)(1) of the Trust Indenture Act of 1939	EDGARLink Template 1	XFDL Technical Specification
TA-1, TA-1/A	Application for registration as a transfer agent filed pursuant to the Securities Exchange Act of 1934	EDGARLite TA-1 Template	TA-1 XML Technical Specification
TA-2, TA-2/A	Annual report of transfer agent activities filed pursuant to the Securities Exchange Act of 1934	EDGARLite TA-2 Template	TA-2 XML Technical Specification
TA-W	Notice of withdrawal from registration as transfer agent filed pursuant to the Securities Exchange Act of 1934	EDGARLite TA-W Template	TA-W XML Technical Specification
UNDER, UNDER/A	Initial undertaking to file reports	EDGARLink Template 3	XFDL Technical Specification



### 3.2 Electronic Form Types by Act

This index will allow you to use the filing type to identify the EDGAR submission type and finally the tool or template you can use to either create or assemble the filing. Each of the tools and templates are covered in detail in separate sections of this document. The final column should only be used by filers or software developers who construct filings outside of the SEC supplied tools. EDGARLite templates can be downloaded from the OnlineForms/XML Website. Versions of the EDGARLink templates and software are found on the EDGAR Filing Website. Filer-Constructed Technical Specifications are available on the SEC's Public Website. Please refer to these sites to determine if your version of the tool, template, or document is correct.

**Note:** Tools, templates, and documents will no longer be marked with a version number relating to a software release. Some tools may be specific to submission types that remain the same through several releases, instead of being updated with each new release. Therefore each tool, template and manual will now be marked with its own version number, specific to that particular item. You can find the most current versions on the website from which the tools, templates, and manuals are downloaded. Be sure to verify that you have the current version before filing.

Issuers are advised that filings with the submission types listed below will receive a "Filing Date" identical to the EDGAR "Received Date" even if received after 5:30 p.m. Eastern time, which is different than normal filings. In addition these filings will be disseminated until 10:00 p.m. Eastern time. Normally filings received after 5:30 p.m. Eastern time will receive a filing date of the next business day and will not be disseminated until the next business day.

The following submission types will receive a filing date identical to the EDGAR "Received Date" and will be disseminated until 10:00 p.m. Eastern time:

3	3/A	4	4/A
5	5/A	F-1MEF	
F-3MEF	F-4MEF	N-14MEF	N-2MEF
POS462B	S-11MEF	S-1MEF	
S-3MEF	S-4MEF		
S-BMEF			

You should send any fee payment made for the above registration statements to the Commission's lockbox. Additionally, you should submit any fee payment certification that you are making for the above-listed submission types, pursuant to Rule 111(b), using the "CORRESP" submission type.

### **Electronic Form Types by Act List of Tables**

Table 3-1: Securities Act Submission Types Accepted by EDGAR .....	3-19
Table 3-2: Securities Exchange Act - Proxy Materials and Information Statements Filed Pursuant to Section 14 Submission Types Accepted by EDGAR .....	3-29
Table 3-3: Securities Exchange Act - Registration and Report Submission Types Accepted by EDGAR.....	3-32
Table 3-4: Williams Act Filing Submission Types Accepted by EDGAR.....	3-41
Table 3-5: Investment Company Submission Types Accepted by EDGAR .....	3-44
Table 3-6: Development Bank Submission Types Accepted by EDGAR.....	3-61
Table 3-7: Correspondence Submission Types.....	3-61

**Table 3-1: Securities Act Submission Types Accepted by EDGAR**

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
D	Official notice of an offering of securities that is made without registration under the Securities Act in reliance on an exemption provided by Regulation D and Section 4(6) under the Act	D	Online Forms	N/A
	Amendment	D/A	Online Forms	N/A
F-1	Registration statement for securities of certain foreign private issuers	F-1	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	F-1/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Template 1	XFDL Technical Specification
F-1MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-1	F-1MEF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Template 3	XFDL Technical Specification
F-3	Registration statement for specified transactions by certain foreign private issuers	F-3	EDGARLink Template 1	XFDL Technical Specification
	Pre-Effective amendment	F-3/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Template 1	XFDL Technical Specification
	Automatic shelf registration statement of securities of well-known seasoned issuers	F-3ASR	EDGARLink Template 1	XFDL Technical Specification
	Post-effective Amendment to an automatic shelf registration statement on Form S-3ASR or Form F-3ASR	POSASR	EDGARLink Template 1	XFDL Technical Specification

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
	Registration statement for dividend or interest reinvestment plan securities of foreign private issuers	F-3D	EDGARLink Template 1	XFDL Technical Specification
	Post-Effective amendment to a F-3D registration	F-3DPOS	EDGARLink Template 1	XFDL Technical Specification
F-3MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-3	F-3MEF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Template 3	XFDL Technical Specification
F-4	Registration statement for securities issued by foreign private issuers in certain business combination transactions	F-4	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	F-4/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Template 1	XFDL Technical Specification
	Auto effective registration statement for securities by certain foreign private issuers in connection with certain business combination transactions	F-4EF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a F-4EF registration	F-4 POS	EDGARLink Template 1	XFDL Technical Specification
F-4MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-4	F-4MEF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Template 3	XFDL Technical Specification
F-6	Registration statement for American Depositary Receipts representing securities of certain foreign private issuers	F-6	EDGARLink Template 1	XFDL Technical Specification

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
	Pre-effective amendment	F-6/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Template 1	XFDL Technical Specification
	Auto effective registration statement for American Depositary Receipts representing securities of certain foreign private issuers	F 6EF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a F-6EF registration	F-6 POS	EDGARLink Template 1	XFDL Technical Specification
F-7	Registration statement for securities of certain Canadian issuers offered for cash upon the exercise of rights granted to existing security holders under the Securities Act of 1933	F-7	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	F-7/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a F-7 registration	F-7 POS	EDGARLink Template 1	XFDL Technical Specification
F-8	Registration statement for securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933	F-8	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	F-8/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a F-8 registration	F-8 POS	EDGARLink Template 1	XFDL Technical Specification
F-9	Registration of securities of certain investment grade debt or investment grade preferred securities of certain Canadian issuers under the Securities Act of 1933	F-9	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	F-9/A	EDGARLink Template 1	XFDL Technical Specification

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
	Auto effective registration of securities of certain investment grade debt or investment grade preferred securities of certain Canadian issuers under the Securities Act of 1933	F-9EF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a F-9EF registration	F-9 POS	EDGARLink Template 1	XFDL Technical Specification
F-10	Registration statement for securities of certain Canadian issuers under the Securities Act of 1933	F-10	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	F-10/A	EDGARLink Template 1	XFDL Technical Specification
	Auto effective registration statement for securities of certain Canadian issuers under the Securities Act of 1933	F-10EF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a F10EF registration	F-10POS	EDGARLink Template 1	XFDL Technical Specification
F-80	Registration of securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933	F-80	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	F-80/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a F-80 registration	F-80POS	EDGARLink Template 1	XFDL Technical Specification
S-1	General form of registration statement for all companies including face-amount certificate companies	S-1	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	S-1/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Template 1	XFDL Technical Specification

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
S-1MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-1	S-1MEF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Template 3	XFDL Technical Specification
S-3	Registration statement for specified transactions by certain issuers	S-3	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	S-3/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Template 1	XFDL Technical Specification
	Automatic shelf registration statement of securities of well-known seasoned issuers	S-3ASR	EDGARLink Template 1	XFDL Technical Specification
	Post-effective Amendment to an automatic shelf registration statement on Form S-3ASR or Form F-3ASR	POSASR	EDGARLink Template 1	XFDL Technical Specification
	Automatically effective registration statement for securities issued pursuant to dividend or interest reinvestment plans	S-3D	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a S-3D registration statement	S-3DPOS	EDGARLink Template 1	XFDL Technical Specification
S-3MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-3	S-3MEF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Template 3	XFDL Technical Specification
S-4	Registration of securities issued in business combination transactions	S-4	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	S-4/A	EDGARLink Template 1	XFDL Technical Specification

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Template 1	XFDL Technical Specification
	Auto effective registration statement for securities issued in connection with the formation of a bank or savings and loan holding company in compliance with General Instruction G	S-4EF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a S-4EF registration statement	S-4 POS	EDGARLink Template 1	XFDL Technical Specification
S-4MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-4	S-4MEF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Template 3	XFDL Technical Specification
S-8	Initial registration statement for securities to be offered to employees pursuant to employee benefit plans	S-8	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a S-8 registration statement	S-8 POS	EDGARLink Template 1	XFDL Technical Specification
S-11	Registration statement for securities to be issued by real estate companies	S-11	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	S-11/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Template 1	XFDL Technical Specification
S-11MEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-11	S-11MEF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Template 3	XFDL Technical Specification



<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
S-20	Registration statement for standardized options	S-20	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	S-20/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Template 1	XFDL Technical Specification
S-B	Registration statement for securities of foreign governments and subdivisions thereof under the Securities Act of 1933 (Schedule B)	S-B	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	S-B/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Template 1	XFDL Technical Specification
S-BMEF	A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-B	S-BMEF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Template 3	XFDL Technical Specification
POS462B	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Template 3	XFDL Technical Specification
POS462C	Post-effective amendment to a registration statement filed under Rule 462(c)	POS462C	EDGARLink Template 3	XFDL Technical Specification
POS AM	Post-effective amendment to a registration statement that is not immediately effective upon filing	POS AM	EDGARLink Template 1	XFDL Technical Specification
POS EX	Post-effective amendment filed solely to add exhibits to a registration statement	POS EX	EDGARLink Template 3	XFDL Technical Specification
<b>PROSPECTUSES FILED PURSUANT TO RULE 424</b>				
	Prospectus filed pursuant to Rule 424(a)	424A	EDGARLink Template 3	XFDL Technical Specification

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
	Prospectus filed pursuant to Rule 424(b)(1)	424B1	EDGARLink Template 1	XFDL Technical Specification
	Prospectus filed pursuant to Rule 424(b)(2)	424B2	EDGARLink Template 1	XFDL Technical Specification
	Prospectus filed pursuant to Rule 424(b)(3)	424B3	EDGARLink Template 1	XFDL Technical Specification
	Prospectus filed pursuant to Rule 424(b)(4)	424B4	EDGARLink Template 1	XFDL Technical Specification
	Prospectus filed pursuant to Rule 424(b)(5)	424B5	EDGARLink Template 1	XFDL Technical Specification
	Prospectus filed pursuant to Rule 424(b)(7)	424B7	EDGARLink Template 1	XFDL Technical Specification
	Prospectus filed pursuant to Rule 424(b)(8)	424B8	EDGARLink Template 1	XFDL Technical Specification
<b>FREE WRITING PROSPECTUS</b>				
	Filing under Securities Act Rules 163/433 of free writing prospectuses	FWP	EDGARLink Template 2	XFDL Technical Specification
<b>FILINGS PURSUANT TO THE TRUST INDENTURE ACT</b>				
305B2	Application for designation of a new trustee under the Trust Indenture Act	305B2	EDGARLink Template 3	XFDL Technical Specification
	Amendment	305B2/A	EDGARLink Template 3	XFDL Technical Specification
T-3	Initial application for qualification of trust indentures	T-3	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	T-3/A	EDGARLink Template 1	XFDL Technical Specification
T-6	Application for determination of eligibility of a foreign person to act as institutional trustee filed pursuant to Section 310(a)(1) of the Trust Indenture Act of 1939	T-6	EDGARLink Template 1	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	Pre-effective amendment	T-6/A	EDGARLink Template 1	XFDL Technical Specification
<b>Note:</b> "Submission types" T-1 and T-2 are not used as stand-alone submission types on the EDGAR system. They are filed as EX-25 to registration statements.				
FILINGS PURSUANT TO RULE 144				
144	Filing for proposed sale of securities under Rule 144	144	EDGARLink Template 2	XFDL Technical Specification
	Amendment to Form 144 <b>Note:</b> Form 144 may be filed electronically on a voluntary basis if the issuer of the securities is a public company.	144/A	EDGARLink Template 2	XFDL Technical Specification
MISCELLANEOUS FILINGS				
DEL AM	Separately filed delaying amendment under Securities Act Rule 473 to delay effectiveness of a 1933 Act registration statement	DEL AM	EDGARLink Template 3	XFDL Technical Specification
UNDER	Initial undertaking to file reports	UNDER	EDGARLink Template 3	XFDL Technical Specification
	Amendment	UNDER/A	EDGARLink Template 3	XFDL Technical Specification
SUPPL	Voluntary supplemental material filed pursuant to Section 11(a) of the Securities Act of 1933 by foreign issuers	SUPPL	EDGARLink Template 2	XFDL Technical Specification
RW	Registration Withdrawal Request	RW	EDGARLink Template 3	XFDL Technical Specification
RW WD	Withdrawal of a Registration Withdrawal Request	RW WD	EDGARLink Template 1	XFDL Technical Specification
AW	Withdrawal of amendment to a registration statement filed under the Securities Act	AW	EDGARLink Template 3	XFDL Technical Specification
AW WD	Withdrawal of a request for withdrawal of an amendment to a registration statement	AW WD	EDGARLink Template 1	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
425	Filing under Securities Act Rule 425 of certain prospectuses and communications in connection with business combination transactions	425	EDGARLink Template 2	XFDL Technical Specification
	<b>Note:</b> Form 425 can be filed as part of Form 8-K. For filers subject to 8K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms			
F-X	For appointment of agent for service of process by issuers registering securities (if filed on Form F-8, F-9, F-10 or F-80, or registering securities or filing periodic reports on Form 40-F, or by any person filing certain tender offer documents, or by any person acting as trustee with respect to securities registered on form F-7, F-8, F-9 or F-10	F-X	EDGARLink Template 2	XFDL Technical Specification
	Amendment	F-X/A	EDGARLink Template 2	XFDL Technical Specification
F-N	Notification of the appointment of an agent for service by certain foreign institutions	F-N	EDGARLink Template 2	XFDL Technical Specification
	Amendment	F-N/A	EDGARLink Template 2	XFDL Technical Specification

**Table 3-2: Securities Exchange Act - Proxy Materials and Information Statements  
Filed Pursuant to Section 14 Submission Types Accepted by EDGAR**

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer-Constructed Form Spec.</b>
<b>PRELIMINARY PROXY SOLICITING MATERIALS</b>				
	Preliminary proxy statements relating to merger or acquisition	PREM14A	EDGARLink Template 2	XFDL Technical Specification
	Preliminary proxy statement in connection with contested solicitations	PREC14A	EDGARLink Template 2	XFDL Technical Specification
	Preliminary proxy statement filed by non-management	PREN14A	EDGARLink Template 2	XFDL Technical Specification
	Preliminary proxy statement not related to a contested matter or merger / acquisition	PRE 14A	EDGARLink Template 2	XFDL Technical Specification
<b>PRELIMINARY INFORMATION STATEMENTS</b>				
	Preliminary information statements relating to merger or acquisition	PREM14C	EDGARLink Template 2	XFDL Technical Specification
	Preliminary information statements – contested solicitations	PREC14C	EDGARLink Template 2	XFDL Technical Specification
	Preliminary information statement not related to a contested matter or merger/acquisition	PRE 14C	EDGARLink Template 2	XFDL Technical Specification
<b>REVISED PRELIMINARY MATERIALS</b>				
	Preliminary revised proxy soliciting materials	PRER14A	EDGARLink Template 2	XFDL Technical Specification
	Revised preliminary proxy statement filed by non-management	PRRN14A	EDGARLink Template 2	XFDL Technical Specification
	Preliminary revised information statements	PRER14C	EDGARLink Template 2	XFDL Technical Specification
<b>DEFINITIVE MATERIALS (PROXY MATERIALS)</b>				
	Definitive proxy statement relating to merger or acquisition	DEFM14A	EDGARLink Template 2	XFDL Technical Specification
	Definitive proxy statement in connection with contested solicitations	DEFC14A	EDGARLink Template 2	XFDL Technical Specification
	Definitive proxy statement filed by non-management	DEFN14A	EDGARLink Template 2	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer-Constructed Form Spec.
	Revised definitive proxy statement filed by non-management	DFRN14A	EDGARLink Template 2	XFDL Technical Specification
	Definitive revised proxy soliciting materials	DEFR14A	EDGARLink Template 2	XFDL Technical Specification
	Definitive additional proxy soliciting materials including Rule 14(a)(12) material <b>Note:</b> Submission type DEFA14A can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms	DEFA14A	EDGARLink Template 2	XFDL Technical Specification
	Definitive additional proxy soliciting materials filed by non-management including Rule 14(a)(12) material <b>Note:</b> Submission type DFAN14A can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms	DFAN14A	EDGARLink Template 2	XFDL Technical Specification
	Definitive proxy statements	DEF 14A	EDGARLink Template 2	XFDL Technical Specification
	Notice of exempt solicitation	PX14A6G	EDGARLink Template 2	XFDL Technical Specification
	Notice of exempt solicitation for the purpose of determining whether to solicit proxies, consents, or authorizations in opposition to a proposed roll-up transaction filed pursuant to Rule 14a6(g) of the Securities Exchange Act of 1934	PX14A6N	EDGARLink Template 2	XFDL Technical Specification
<b>DEFINITIVE MATERIALS (INFORMATION STATEMENTS)</b>				
	Definitive information statement relating to merger or acquisition	DEFM14C	EDGARLink Template 2	XFDL Technical Specification

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer-Constructed Form Spec.</b>
	Definitive information statement – contested solicitations	DEFC14C	EDGARLink Template 2	XFDL Technical Specification
	Definitive information statements	DEF 14C	EDGARLink Template 2	XFDL Technical Specification
	Definitive additional information statement materials including Rule 14(a)(12) material	DEFA14C	EDGARLink Template 2	XFDL Technical Specification
	Definitive revised information statement materials	DEFR14C	EDGARLink Template 2	XFDL Technical Specification

**Table 3-3: Securities Exchange Act - Registration and Report Submission Types Accepted by EDGAR**

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
REGISTRATION STATEMENTS				
8-A	Form for the registration / listing of a class of securities on a national securities exchange pursuant to section 12(b)	8-A12B	EDGARLink Template 3	XFDL Technical Specification
	Amendment	8-A12B/A	EDGARLink Template 3	
	Form for registration of a class of securities pursuant to section 12(g)	8-A12G	EDGARLink Template 3	XFDL Technical Specification
	Amendment	8-A12G/A	EDGARLink Template 3	
10	Initial general form for registration of a class of securities pursuant to section 12(b)	10-12B	EDGARLink Template 3	XFDL Technical Specification
	Amendment	10-12B/A	EDGARLink Template 3	
	Initial general form for registration of a class of securities pursuant to section 12(g)	10-12G	EDGARLink Template 3	XFDL Technical Specification
	Amendment	10-12G/A	EDGARLink Template 3	
20-F	Form for initial registration of a class of securities of foreign private issuers pursuant to section 12(b)	20FR12B	EDGARLink Template 3	XFDL Technical Specification
	Amendment	20FR12B/A	EDGARLink Template 3	
	Form for initial registration of a class of securities of foreign private issuers pursuant to section 12(g)	20FR12G	EDGARLink Template 3	XFDL Technical Specification
	Amendment	20FR12G/A	EDGARLink Template 3	
40-F	Registration of a class of securities of certain Canadian issuers pursuant to Section 12(b) of the 1934 Act	40FR12B	EDGARLink Template 3	XFDL Technical Specification
	Amendment	40FR12B/A	EDGARLink Template 3	



CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	Registration of a class of securities of certain Canadian issuers pursuant to Section 12(g) of the 1934 Act  Amendment	40FR12G  40FR12G/A	EDGARLink Template 3  EDGARLink Template 3	XFDL Technical Specification
18	Form for initial registration of securities of foreign governments or political subdivisions pursuant to section 12(b)  Amendment  Form for initial registration of securities of foreign governments or political subdivisions thereof pursuant to section 12(g)  Amendment	18-12B  18-12B/A  18-12G  18- 12G/A	EDGARLink Template 3  EDGARLink Template 3  EDGARLink Template 3  EDGARLink Template 3	XFDL Technical Specification    XFDL Technical Specification
<b>ANNUAL, QUARTERLY, AND PERIODIC REPORTS</b>				
ARS	Annual report to security holders  Amendment  <b>Note:</b> Use this submission type when furnishing the annual report to security holders for the information of the Commission pursuant to Rule 14a-3(c) or Rule 14c-3(b). Portions of the annual report to security holders filed with the Commission as part of a registration statement or periodic report should be filed as Exhibit 13, as provided by Item 601 of Regulation S-K and S-B.	ARS  ARS/A	EDGARLink Template 3  EDGARLink Template 3	XFDL Technical Specification
6-K	Current report of foreign issuer pursuant to Rules 13a-16 and 15d-16  Amendments	6-K  6-K/A	EDGARLink Template 3  EDGARLink Template 3	XFDL Technical Specification
10-Q	Quarterly report pursuant to sections 13 or 15(d)	10-Q	EDGARLink Template 3	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
ANNUAL, QUARTERLY, AND PERIODIC REPORTS				
	Amendment	10-Q/A	EDGARLink Template 3	
	Transition report pursuant to Rule 13a-10 or 15d-10	10-QT	EDGARLink Template 3	XFDL Technical Specification
10-K	Annual report pursuant to section 13 and 15(d)	10-K	EDGARLink Template 3	XFDL Technical Specification
	Amendment	10-K/A	EDGARLink Template 3	
	Transition report pursuant to Rule 13a-10 or 15d-10	10-KT	EDGARLink Template 3	XFDL Technical Specification
	Amendment	10-KT/A	EDGARLink Template 3	
10KSB	Optional form for annual and transition reports of small business issuers under section 13 or 15(d)	10KSB	EDGARLink Template 3	XFDL Technical Specification
	Will no longer be accepted as of March 16, 2009			
	Amendment	10KSB/A	EDGARLink Template 3	
	Will no longer be accepted as of March 16, 2009			
10-D	Periodic distribution reports by Asset-Backed issuers pursuant to Rule 13a-17 or 15d-17	10-D	EDGARLink Template 3	XFDL Technical Specification
	Amendment	10-D/A	EDGARLink Template 3	
8-K	Current report filing	8-K	EDGARLink Template 3	XFDL Technical Specification
	Amendment	8-K/A	EDGARLink Template 3	
	Notification that a class of securities of successor issuer is deemed to be registered pursuant to section 12(g)	8-K12G3	EDGARLink Template 3	XFDL Technical Specification
	Amendment	8-K12G3/A	EDGARLink Template 3	
	Notification of assumption of duty to report by successor issue under section 15(d)	8-K15D5	EDGARLink Template 3	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
ANNUAL, QUARTERLY, AND PERIODIC REPORTS				
	Amendment	8-K15D5/A	EDGARLink Template 3	
11-K	Annual report of employee stock purchase, savings and similar plans	11-K	EDGARLink Template 3	XFDL Technical Specification
	Amendment	11-K/A	EDGARLink Template 3	
	Transition report pursuant to rule 13a-10 or 15d-10	11-KT	EDGARLink Template 3	XFDL Technical Specification
	Amendment	11-KT/A	EDGARLink Template 3	
18-K	Annual report for foreign governments and political subdivisions	18-K		XFDL Technical Specification
	Amendment	18-K/A		
20-F	Annual and transition report of foreign private issuers pursuant to sections 13 or 15(d)	20-F	EDGARLink Template 3	XFDL Technical Specification
	Amendment	20-F/A	EDGARLink Template 3	
40-F	Annual report filed by certain Canadian issuers pursuant to Section 15(d) and Rule 15d-4	40-F	EDGARLink Template 3	XFDL Technical Specification
	Amendment	40-F/A	EDGARLink Template 3	
12b-25	Notice under Rule 12b25 of inability to timely file all or part of a form 10-Q or 10-QSB	NT 10-Q	EDGARLink Template 3	XFDL Technical Specification
	Amendment	NT 10-Q/A	EDGARLink Template 3	
	Notice under Rule 12b25 of inability to timely file all or part of a form 10-K, 10-KSB, or 10-KT	NT 10-K	EDGARLink Template 3	XFDL Technical Specification
	Amendment	NT 10-K/A	EDGARLink Template 3	
	Notice under Rule 12b25 of inability to timely file all or part of a Form 10-D	NT 10-D	EDGARLink Template 3	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
<b>ANNUAL, QUARTERLY, AND PERIODIC REPORTS</b>				
	Amendment	NT 10-D/A	EDGARLink Template 3	
	Notice under Rule 12b25 of inability to timely file all or part of a form 11-K	NT 11-K	EDGARLink Template 3	XFDL Technical Specification
	Amendment	NT 11-K/A	EDGARLink Template 3	
	Notice under Rule 12b25 of inability to timely file a special report pursuant to section 15d-2	NT 15D2	EDGARLink Template 3	XFDL Technical Specification
	Amendment	NT 15D2/A	EDGARLink Template 3	
	Notice under Rule 12b25 of inability to timely file all or part of an annual report of form 20-F	NT 20-F	EDGARLink Template 3	XFDL Technical Specification
	Amendment	NT 20-F/A	EDGARLink Template 3	
15	Notice of termination of registration of a class of securities under Section 12(b)	15-12B	EDGARLink Template 3	XFDL Technical Specification
	Amendment	15-12B/A	EDGARLink Template 3	
	Notice of termination of registration of a class of securities under Section 12(g)	15-12G	EDGARLink Template 3	XFDL Technical Specification
	Amendment	15-12G/A	EDGARLink Template 3	
	Notice of suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act	15-15D	EDGARLink Template 3	XFDL Technical Specification
	Amendment	15-15D/A	EDGARLink Template 3	
See Rule 15d-2	Special Financial Report filed under Rule 15d-2	SP 15D2	EDGARLink Template 3	XFDL Technical Specification
	Amendment	SP 15D2/A	EDGARLink Template 3	

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
<b>ANNUAL, QUARTERLY, AND PERIODIC REPORTS</b>				
15F	Notice of termination of a foreign private issuer's registration of a class of securities under Section 12(b)	15F-12B	EDGARLink Template 3	XFDL Technical Specification
	Amendment	15F-12B/A	EDGARLink Template 3	
	Notice of termination of a foreign private issuer's registration of a class of securities under Section 12(g)	15F-12G	EDGARLink Template 3	XFDL Technical Specification
	Amendment	15-12G/A	EDGARLink Template 3	
15F	Notice of a foreign private issuer's suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act	15F-15D	EDGAR Link Template 3	XFDL Technical Specification
	Amendment	15-15D/A	EDGAR Link Template 3	
<b>MISCELLANEOUS SUBMISSION TYPES/FILLINGS</b>				
Form 13 F	Initial Quarterly Form 13F Holdings report filed by institutional managers	13F-HR	EDGAR Link Template 3	XFDL Technical Specification
	Amendment	13F-HR/A	EDGAR Link Template 3	
	Initial Quarterly Form 13F Notice Report filed by institutional managers	13F-NT	EDGAR Link Template 3	XFDL Technical Specification
	Amendment	13F-NT/A	EDGAR Link Template 3	
Form SH	Weekly Form SH Entries Report Filed by Institutional Investment Managers	SH-ER	EDGAR Link Template 3	SH-ER Information table only: SH-ER Information Table XML Technical Specification; XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
MISCELLANEOUS SUBMISSION TYPES/FILLINGS				
	Amendment	SH-ER/A	EDGAR Link Template 3	SH-ER/A Information table only; SH-ER Information Table XML Technical Specification; XFDL Technical Specification
	Weekly Form SH Notice Report Filed by Institutional Investment Managers	SH-NT	EDGAR Link Template 3	XFDL Technical Specification
	Amendment	SH-NT/A	EDGAR Link Template 3	XFDL Technical Specification
Form RW	Registration Withdrawal Request	RW	EDGAR Link Template 3	XFDL Technical Specification
	Withdrawal of a registration withdrawal statement	RW WD	EDGAR Link Template 3	XFDL Technical Specification
Form AW	Withdrawal of an amendment to a registration statement filed under the Securities Act	AW	EDGAR Link Template 3	XFDL Technical Specification
	Withdrawal of an amendment registration withdrawal statement	AW WD	EDGAR Link Template 3	XFDL Technical Specification
Form 425	Filing under Securities Act Rule 425 of certain prospectuses and communications in connection with business combination transactions  <b>Note:</b> Form 425 can be filed as part of Form 8-K. For filers subject to 8K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms.	425	EDGAR Link Template 3	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
<b>MISCELLANEOUS SUBMISSION TYPES/FILLINGS</b>				
Form 25	Notification filed by issuer to voluntarily withdraw a class of securities from listing and registration on a national securities exchange	25	EDGAR Link Template 3	XFDL Technical Specification
	Amendment	25/A	EDGAR Link Template 3	
Form 25	Notification filed by national security exchange to report the removal from listing and registration of matured, redeemed or retired securities	25-NSE	Distributed to National Securities Exchanges only	Distributed to National Securities Exchanges only
	Amendment	25-NSE/A	Distributed to National Securities Exchanges only	Distributed to National Securities Exchanges only
<b>SECTION 16 OWNERSHIP FORMS/FILINGS</b>				
Form 3	Initial statement of beneficial ownership of securities	3	Online Forms	Ownership XML Technical Specification
	Amendment	3/A	Online Forms	Ownership XML Technical Specification
Form 4	Statement of changes in beneficial ownership of securities	4	Online Forms	Ownership XML Technical Specification
	Amendment	4/A	Online Forms	Ownership XML Technical Specification
Form 5	Annual statement of changes in beneficial ownership of securities	5	Online Forms	Ownership XML Technical Specification
	Amendment	5/A	Online Forms	Ownership XML Technical Specification
<b>SECTION 17A TRANSFER AGENT FORMS/FILINGS</b>				
TA-1	Application for registration as a transfer agent filed pursuant to the Securities Exchange Act of 1934	TA-1	EDGAR Lite TA-1 Template	TA-1 XML Technical Specification
	Amendment	TA-1/A	EDGAR Lite TA-1 Template	TA-1 XML Technical Specification

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
TA-2	Annual report of transfer agent activities filed pursuant to the Securities Exchange Act of 1934	TA-2	EDGAR Lite TA-1 Template	TA-1 XML Technical Specification
	Amendment	TA-2/A	EDGAR Lite TA-1 Template	TA-1 XML Technical Specification
TA-W	Notice of withdrawal from registration as transfer agent filed pursuant to the Securities Exchange Act of 1934	TA-W	EDGAR Lite TA-1 Template	TA-1 XML Technical Specification



**Table 3-4: Williams Act Filing Submission Types Accepted by EDGAR**

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
Schedule 13D	Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities	SC 13D	EDGARLink Template 2	XFDL Technical Specification
	Amendment	SC 13D/A	EDGARLink Template 2	
Schedule 13-E1	Schedule 13-E1 statement of issuer required by Rule 13e-1	SC 13E1	EDGARLink Template 2	XFDL Technical Specification
	Amendment	SC 13E1/A	EDGARLink Template 2	
Schedule 13E-3	Schedule filed to report going private transactions	SC 13E3	EDGARLink Template 2	XFDL Technical Specification
	Amendment	SC 13E3/A	EDGARLink Template 2	
Schedule 13E4F	Issuer tender offer statement filed pursuant to Rule 13(e)(4) by foreign issuers	SC13E4F	EDGARLink Template 2	XFDL Technical Specification
	Amendment	SC13E4F/A	EDGARLink Template 2	
Schedule 13G	Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities by passive investors and certain institutions	SC 13G	EDGARLink Template 2	XFDL Technical Specification
	Amendment	SC 13G/A	EDGARLink Template 2	
Schedule TO-I	Issuer tender offer statement	SC TO-I SC	EDGARLink Template 2	XFDL Technical Specification
	Amendment	TO-I/A SC	EDGARLink Template 2	
Schedule TO-T	Third party tender offer statement	TO-T SC	EDGARLink Template 2	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	Amendment	TO-T/A	EDGARLink Template 2	
Schedule TO-C	Written communication relating to an issuer or third party tender offer <b>Note:</b> Form Schedule TO-C can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms	SC TO-C	EDGARLink Template 2	XFDL Technical Specification
Schedule 14D1F	Third party tender offer statement filed pursuant to Rule 14d-1(b) by foreign issuers  Amendment	SC14D1F  SC14D1F/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification
Schedule 14D9-C	Written communication by the subject company relating to a third party tender offer	SC14D9C	EDGARLink Template 2	XFDL Technical Specification
Schedule 14D9	Tender offer solicitation / recommendation statements filed under Rule 14-d9  Amendment	SC 14D9  SC 14D9/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification
Schedule 14D9F	Solicitation/recommendation statement pursuant to Section 14(d)(4) of the Securities Exchange Act of 1934 and Rules 14d-1(b) and 14e-2(c) by foreign issuers  Amendment	SC14D9F  SC14D9F/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification
Schedule 14f-1	Statement regarding change in majority of directors pursuant to Rule 14f-1	SC 14F1	EDGARLink Template 2	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	Amendment	SC 14F1/A	EDGARLink Template 2	
CB	Notification form filed in connection with certain tender offers, business combinations and rights offerings, in which the subject company is a foreign private issuer of which less than 10% of its securities are held by U.S. persons  Amendment	CB  CB/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification

**Table 3-5: Investment Company Submission Types Accepted by EDGAR**

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
Forms S-1 & S-3	<p>Registration statement for face-amount certificate companies</p> <p>General form of registration statement for all companies including face-amount certificate companies</p> <p>Pre-effective amendment</p> <p>Registration statement for specified transactions by certain issuers including face-amount certificate companies</p> <p>Pre-effective amendment</p> <p>Post-effective amendment to a registration statement that is not immediately effective upon filing</p> <p>Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497</p> <p>Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497</p>	<p>S-1</p> <p>S-1/A</p> <p>S-3</p> <p>S-3/A</p> <p>POS AM</p> <p>497</p> <p>497J</p>	<p>EDGARLink Template 1</p> <p>EDGARLink Template 1</p> <p>EDGARLink Template 1</p> <p>EDGARLink Template 1</p> <p>EDGARLink Template 1</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p>	<p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p>
Forms N-1 & N-1A	<p>Registration statement for open-end management investment companies</p> <p>Initial registration statement filed on Form N-1A for open-end management investment companies</p> <p>Pre-effective amendment to a registration statement filed on Form N-1A for open-end management investment companies (this filing cannot be submitted as a 1940 Act only filing)</p> <p>Initial registration statement filed on Form N-1 for open-end management investment companies</p>	<p>N-1A</p> <p>N-1A/A</p> <p>N-1</p>	<p>EDGARLink Template 1</p> <p>EDGARLink Template 1</p> <p>EDGARLink Template 1</p>	<p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p>

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	Pre-effective amendment to a registration statement filed on Form N-1 for open-end management investment companies (this filing cannot be submitted as a 1940 Act only filing)	N-1/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment (for filings made under the 1940 Act only)	POS AMI	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	EDGARLink Template 3	XFDL Technical Specification
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Template 3	XFDL Technical Specification
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Template 3	XFDL Technical Specification
Rule 498	Summary Prospectus for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)  Cannot be used until March 31, 2009.	497K	EDGARLink Template 3	XFDL Technical Specification
	Profiles for certain open-end management investment companies filed pursuant to	497K1	EDGARLink Template 3	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	<p>Securities Act Rule 497(k)(1)(i) Will no longer be accepted after close of business (5:30 PM EST) on March 30, 2009.</p> <p>Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(ii) Will no longer be accepted after close of business (5:30 PM EST) on March 30, 2009.</p> <p>Profiles for certain open-end management investment companies filed pursuant to Will no longer be accepted after close of business (5:30 PM EST) on March 30, 2009.</p> <p>Securities Act Rule 497(k)(1)(iii)(A) Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(iii)(B) Will no longer be accepted after close of business (5:30 PM EST) on March 30, 2009.</p>	<p>497K2</p> <p>497K3A</p> <p>497K3B</p>	<p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p>	<p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p>
Form N-2	<p>Initial filing of a registration statement on Form N-2 for closed-end investment companies</p> <p>Pre-effective amendment to a registration statement on Form N-2 for closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)</p> <p>Post-effective amendment (for filings made under the 1940 Act only)</p> <p>Post-effective amendment filed under the 1933 Act only or under both the 1933 and 1940 Acts pursuant to Section 8(c) of the 1933 Act by closed-end investment companies (this filing cannot be submitted as a 1940</p>	<p>N-2</p> <p>N-2/A</p> <p>POS AMI</p> <p>POS 8C</p>	<p>EDGARLink Template 1</p> <p>EDGARLink Template 1</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p>	<p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p>

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	Act only filing)			
	Initial filing of a registration statement on Form N-2 for closed-end investment companies filed pursuant to Securities Act Rule 486(a)	N-2	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to filing filed pursuant to Securities Act Rule 486(a)	486APOS	EDGARLink Template 3	XFDL Technical Specification
	Initial filing of a registration statement on Form N-2 for closed-end investment companies filed pursuant to Securities Act Rule 486(b)	N-2	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to filing filed pursuant to Securities Act Rule 486(b)	486BPOS	EDGARLink Template 3	XFDL Technical Specification
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Template 3	XFDL Technical Specification
	Certification of no change in definitive materials	497J	EDGARLink Template 3	XFDL Technical Specification
	A new registration statement on Form N-2 filed under Securities Act Rule 462(b) by closed-end investment companies of up to an additional 20% of securities for an offering that was registered on Form N-2	N-2MEF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment to a registration statement filed under Securities Act Rule 462(c)	POS462C	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment filed solely to add exhibits to a registration statement	POS EX	EDGARLink Template 3	XFDL Technical Specification
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Template 3	XFDL Technical Specification
	Filings made pursuant to Rule 497(h)(2)	497H2	EDGARLink Template 3	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
Form N-3	Initial registration statement on Form N-3 for separate accounts (management investment companies)	N-3	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment to a registration statement on Form N-3 for separate accounts (management investment companies) (this filing cannot be submitted as a 1940 Act only filing)	N-3/A	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment (for filings made under the 1940 Act only)	POS AMI	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	EDGARLink Template 3	XFDL Technical Specification
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Template 3	XFDL Technical Specification
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Template 3	XFDL Technical Specification
Form N-4	Initial registration statement on Form N-4 for separate accounts (unit investment trusts)	N-4	EDGARLink Template 1	XFDL Technical Specification



CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	Pre-effective amendment to a registration statement on Form N-4 for separate accounts (unit investment trusts) (this filing cannot be submitted as a 1940 Act only filing)	N-4/A	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective pricing amendment filed pursuant to Securities Act Rule 487	487	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485BXT	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment (for filings made under the 1940 Act only)	POS AMI	EDGARLink Template 3	XFDL Technical Specification
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Template 3	XFDL Technical Specification
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Template 3	XFDL Technical Specification
Form N-6	Registration statement for separate accounts (unit investment trusts)	N-6	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment to a registration statement filed on Form N-6 for separate accounts (unit investment trusts)	N-6/A	EDGARLink Template 1	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	<p>Pre-effective pricing amendment filed pursuant to Securities Act Rule 487</p> <p>Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)</p> <p>Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)</p> <p>Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)</p> <p>Post-effective amendment (for filings made under the 1940 Act only)</p> <p>Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497</p> <p>Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497</p>	<p>487</p> <p>485APOS</p> <p>485BPOS</p> <p>485BXT</p> <p>POS AMI</p> <p>497</p> <p>497J</p>	<p>EDGARLink Template 1</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p>	<p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p>
Form S-6	<p>Initial registration statement filed on Form S-6 for unit investment trusts</p> <p>Pre-effective amendment</p> <p>Pre-effective pricing amendment filed pursuant to Securities Act Rule 487</p> <p>Initial undertaking to file reports</p> <p>Amendment</p>	<p>S-6</p> <p>S-6/A</p> <p>487</p> <p>UNDER</p> <p>UNDER/A</p>	<p>EDGARLink Template 1</p> <p>EDGARLink Template 1</p> <p>EDGARLink Template 1</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p>	<p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p>

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	<p>Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)</p> <p>Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)</p> <p>Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)</p> <p>Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497</p> <p>Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497</p>	<p>485APOS</p> <p>485BPOS</p> <p>485BXT</p> <p>497</p> <p>497J</p>	<p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p>	<p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p>
Form N-5	<p>Registration statement for small business investment companies</p> <p>Pre-effective amendment to a registration statement on Form N-5 for small business investment companies (this filing cannot be submitted as a 1940 Act only filing)</p> <p>Post-effective amendment (for filings made under the 1940 Act only)</p> <p>Post-effective amendment filed under the 1933 Act only or under both the 1933 and 1940 Acts pursuant to Section 8(c) of the 1933 Act by closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)</p>	<p>N-5</p> <p>N-5/A</p> <p>POS AMI</p> <p>POS 8C</p>	<p>EDGARLink Template 1</p> <p>EDGARLink Template 1</p> <p>EDGARLink Template 3</p> <p>EDGARLink Template 3</p>	<p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p> <p>XFDL Technical Specification</p>

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Template 3	XFDL Technical Specification
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Template 3	XFDL Technical Specification
Form N-14	Initial registration statement filed on Form N-14 for open-end investment company, including those filed with automatic effectiveness under Rule 488 (business combinations)	N-14	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	N-14/A	EDGARLink Template 1	
	Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing)	485APOS	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing)	485BPOS	EDGARLink Template 3	XFDL Technical Specification
	Initial registration statement filed on Form N-14 by closed-end investment company (business combinations)	N-14 8C	EDGARLink Template 1	XFDL Technical Specification
	Pre-effective amendment	N-14 8C/A	EDGARLink Template 1	
	Post-effective amendment filed under the 1933 Act only or under both the 1933 and 1940 Acts pursuant to Section 8(c) of the 1933 Act by closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing)	POS 8C	EDGARLink Template 3	XFDL Technical Specification
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Template 3	XFDL Technical Specification
	Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497	497J	EDGARLink Template 3	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	A new registration statement filed on Form N-14 by closed end investment companies filed under Securities Act Rule 462(b) of up to an additional 20% of securities for an offering that was registered on Form N-14	N-14MEF	EDGARLink Template 1	XFDL Technical Specification
	Post-effective amendment to Securities Act Rule 462(b) registration statement	POS462B	EDGARLink Template 3	XFDL Technical Specification
	Post-effective amendment to Securities Act Rule 462(c) registration statement	POS462C	EDGARLink Template 3	
	Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497	497	EDGARLink Template 3	XFDL Technical Specification
<b>MISCELLANEOUS FILINGS UNDER THE SECURITIES ACT</b>				
Rule 425	Filing under Securities Act Rule 425 of certain prospectuses and communications in connection with business combination transactions  <b>Note:</b> Form 425 can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms	425	EDGARLink Template 2	XFDL Technical Specification
Rule 473	Separately filed delaying amendment under Securities Act Rule 473 to delay effectiveness of a 1933 Act registration statement	DEL AM	EDGARLink Template 3	XFDL Technical Specification
Rule 477	Registration Withdrawal Request	RW	EDGARLink Template 3	XFDL Technical Specification
	Withdrawal of a request for withdrawal of a registration statement	RW WD	EDGARLink Template 1	XFDL Technical Specification
	Withdrawal of amendment to a registration statement filed under the Securities Act	AW	EDGARLink Template 3	XFDL Technical Specification
	Withdrawal of a request for withdrawal of an amendment to a registration statement	AW WD	EDGARLink Template 1	XFDL Technical Specification

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
Rule 482	Filing by certain investment companies of Securities Act Rule 482 advertising in accordance with Securities Act Rule 497 and the Note to Rule 482(c)	497AD	EDGARLink Template 3	XFDL Technical Specification
<b>REGISTRATION OF SECURITIES BY CERTAIN INVESTMENT COMPANIES PURSUANT TO RULE 24F-2</b>				
Rule 24F-2	Rule 24f-2 notice filed on Form 24F-2	24F-2NT	EDGARLink Template 1	XFDL Technical Specification
	Amendment	24F-2NT/A	EDGARLink Template 1	XFDL Technical Specification
<b>OTHER COMPANY ACT REGISTRATION STATEMENTS</b>				
Form N-8A	Initial notification of registration under section 8(a) filed on Form N-8A	N-8A	EDGARLink Template 2	XFDL Technical Specification
	Amendment	N-8A/A	EDGARLink Template 2	
Form N-8B-2	Initial registration statement for unit investment trusts filed on Form N-8B-2	N-8B-2	EDGARLink Template 2	XFDL Technical Specification
	Amendment	N-8B-2/A	EDGARLink Template 2	
Form N-8B-3	Initial registration statement for periodic payment plans filed on Form N-8B-3	N-8B-3	EDGARLink Template 2	XFDL Technical Specification
	Amendment	N-8B-3/A	EDGARLink Template 2	
Form N-8B-4	Initial registration statement for face-amount certificate companies filed on Form N-8B-4	N-8B-4	EDGARLink Template 2	XFDL Technical Specification
	Amendment	N-8B-4/A	EDGARLink Template 2	
<b>SUBMISSION TYPES FOR BUSINESS DEVELOPMENT COMPANIES</b>				
Form N-6F	Notice of intent by business development companies to elect to be subject to Sections 55 through 65 of the 1940 Act filed on Form N-6F	N-6F	EDGARLink Template 2	XFDL Technical Specification
	Amendment	N-6F/A	EDGARLink Template 2	

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
Form N-54A	Notification of election by business development companies filed on Form N-54A  Amendment	N-54A  N-54A/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification
Form N-54C	Notification of withdrawal by business development companies filed on Form N-54C  Amendment	N-54C  N-54C/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification
<b>OTHER INVESTMENT COMPANY SUBMISSION TYPES</b>				
Rule 8b-25(a)	Filing by investment company of application under Investment Company Act Rule 8b-25(a) requesting extension of time for filing certain information, document or report	40-8B25	EDGARLink Template 2	XFDL Technical Specification
Form 17F-1	Initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-1 of the Investment Company Act of 1940 filed on Form N-17F-1  Amendment	40-17F1  40-17F1/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification
Form 17F-2	Initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-2 of the Investment Company Act of 1940 filed on Form N-17F-2  Amendment	40-17F2  40-17F2/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification
Rule 17g-1(g)(1)	Fidelity bond filed pursuant to Rule 17g-1(g)(1) of the Investment Company Act of 1940  Amendment	40-17G  40-17G/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification
Rule 17g-1(g)(2) or (3)	Filings of claim or settlement pursuant to rule 17g-1(g)(1)(2) or (3) of the Investment Company Act of 1940	40-17GCS	EDGARLink Template 2	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	Amendment	40-17GCS/A	EDGARLink Template 2	
Rule 24b-2	Filing of sales literature pursuant to Rule 24b-2 under the Investment Company Act of 1940  Amendment	40-24B2  40-24B2/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification
ICA Section 33	Copies of all stockholder derivative actions filed with a court against an investment company or an affiliate thereof pursuant to Section 33 of the Investment Company Act of 1940  Amendment <b>Note:</b> May be filed electronically on a voluntary basis.	40-33  40-33/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification
Form N-18F-1	Initial notification of election pursuant to Rule 18f-1 filed on Form N-18F-1  Amendment	N-18F1  N-18F1/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification  XFDL Technical Specification
Rule 23c-2(b)	Notice by closed-end investment companies of intention to call or redeem their own securities under Investment Company Act Rule 23c-2  Amendment	N-23C-2  N-23C-2/A	EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification  XFDL Technical Specification
Form N-23C-3	Notification of periodic repurchase offer Filed pursuant to Rule 23c-3(b) only  Amendment  Filing pursuant to Rule 23c-3(c) only on Form N-23C-3  Amendment  Filing pursuant to Rule 23c-3(b) and (c) on Form N-23C-3	N-23C3A  N-23C3A/A  N-23C3B  N-23C3B/A  N-23C3C	EDGARLink Template 2  EDGARLink Template 2  EDGARLink Template 2  EDGARLink Template 2  EDGARLink Template 2	XFDL Technical Specification    XFDL Technical Specification   XFDL Technical Specification



CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	Amendment	N-23C3C/A	EDGARLink Template 2	
Form N-27D-1	Accounting for segregated trust accounts on Form N-27D-1	N-27D-1	EDGARLink Template 2	XFDL Technical Specification
	Amendment	N-27D-1/A	EDGARLink Template 2	
<b>PERIODIC REPORTS FOR REGISTERED INVESTMENT COMPANIES</b>				
Form N-SAR	Semi-annual report for management companies filed on Form N-SAR	NSAR-A	EDGARLink Template 3	XFDL Technical Specification
	Amendment	NSAR-A/A		
	Transitional semi-annual report filed on Form N-SAR	NSAR-AT	EDGARLink Template 3	XFDL Technical Specification
	Amendment	NSAR-AT/A		
	Annual report for management companies filed on Form N-SAR	NSAR-B	EDGARLink Template 3	XFDL Technical Specification
	Amendment	NSAR-B/A	EDGARLink Template 3	
	Transitional annual report filed on Form N-SAR	NSAR-BT	EDGARLink Template 3	XFDL Technical Specification
	Amendment	NSAR-BT/A	EDGARLink Template 3	
	Annual report for unit investment trusts filed on Form N-SAR	NSAR-U	EDGARLink Template 3	XFDL Technical Specification
	Amendment	NSAR-U/A	EDGARLink Template 3	
Form N-CSR	Certified annual shareholder report of registered management investment companies filed on Form N-CSR	N-CSR	EDGARLink Template 3	XFDL Technical Specification
	Amendment	N-CSR/A	EDGARLink Template 3	
	Certified semi-annual shareholder report of registered management investment companies filed on Form NCSR	N-CSRS	EDGARLink Template 3	XFDL Technical Specification
	Amendment	N-CSRS/A	EDGARLink	

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
			Template 3	
Form N-PX	Annual Report of Proxy Voting Record of Registered Management Investment Companies filed on Form N-PX	N-PX	EDGARLink Template 3	XFDL Technical Specification
	Amendment	N-PX/A	EDGARLink Template 3	
Form N-Q	Quarterly Schedule of Portfolio Holdings of Registered Management Investment Company filed on Form N-Q	N-Q	EDGARLink Template 3	XFDL Technical Specification
	Amendment	N-Q/A	EDGARLink Template 3	
Rule 12b-25	Notice under Exchange Act Rule 12b-25 of inability to timely file Form NSAR	NT-NSAR	EDGARLink Template 3	XFDL Technical Specification
	Amendment	NT-NSAR/A	EDGARLink Template 3	
	Notice under Exchange Act Rule 12b25 of inability to timely file Form NCSR (annual or semi-annual report)	NT-NCSR	EDGARLink Template 3	XFDL Technical Specification
	Amendment	NT-NCSR/A	EDGARLink Template 3	
Rule 30b2-1	Initial annual and semi-annual reports mailed to investment company shareholders pursuant to Rule 30e-1 (other than those required to be submitted as part of Form N-CSR)	N-30D	EDGARLink Template 3	XFDL Technical Specification
	Amendment	N-30D/A	EDGARLink Template 3	
	Periodic and interim reports mailed to investment company shareholders (other than annual and semi-annual reports mailed to shareholders pursuant to Rule 30e-1)	N-30B-2	EDGARLink Template 3	XFDL Technical Specification
<b>REGULATION E FILINGS</b>				
Regulation E	Notification under Regulation E by small business investment companies and business development companies filed on Form 1-E.	1-E	EDGARLink Template 3	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	Amendment to a notification under Regulation E by small business investment companies and business development companies filed on Form 1-E	1-E/A	EDGARLink Template 3	XFDL Technical Specification
	Sales material filed pursuant to Rule 607 under Regulation E	1-E AD	EDGARLink Template 3	XFDL Technical Specification
	Amendment to sales material filed pursuant to Rule 607 under Regulation E	1-E AD/A	EDGARLink Template 3	XFDL Technical Specification
	Report of sales of securities pursuant to Rule 609 under Regulation E filed on Form 2-E	2-E	EDGARLink Template 3	XFDL Technical Specification
	Amendment of a report of sales of securities pursuant to Rule 609 under Regulation E filed on Form 2-E	2-E/A	EDGARLink Template 3	XFDL Technical Specification
<b>APPLICATION FOR AN ORDER UNDER THE INVESTMENT COMPANY ACT</b>				
Rule 0-2	Application under the Investment Company Act submitted pursuant to Investment Company Act Rule 0-2 reviewed by the Office of Insurance Products	40-OIP	EDGARLink Template 3	XFDL Technical Specification
	Amendment to an application under the Investment Company Act submitted pursuant to Investment Company Act Rule 0-2 reviewed by the Office of Insurance Products	40-OIP/A	EDGARLink Template 3	XFDL Technical Specification
	Application under the Investment Company Act by an employees' securities company submitted pursuant to Investment Company Act Rule 0-2	40-6B	EDGARLink Template 3	XFDL Technical Specification
	Amendment to an application under the Investment Company Act by an employees' securities company submitted pursuant to Investment Company Act Rule 0-2	40-6B/A	EDGARLink Template 3	XFDL Technical Specification
	Application under the Investment Company Act submitted pursuant to Investment Company Act Rule 0-2 other than those reviewed by Office of Insurance Products	40-APP	EDGARLink Template 3	XFDL Technical Specification

CFR Form/ Schedule/ Rule	Description	Submission Type	Tool/ Template Number	Filer- Constructed Form Spec.
	Amendment to an application under the Investment Company Act submitted pursuant to Investment Company Act Rule 0-2 other than those reviewed by Office of Insurance Products	40-APP/A	EDGARLink Template 3	XFDL Technical Specification
<b>APPLICATION FOR DEREGISTRATION OF INVESTMENT COMPANIES</b>				
Form N-8F	Application for deregistration made on Form N-8F  Amendment	N-8F  N-8F/A	EDGARLink Template 2  EDGARLink Template 2	
Rule 0-2	Initial application for deregistration pursuant to Investment Company Act Rule 0-2	40-8F-2	EDGARLink Template 2	XFDL Technical Specification
	Amendment	40-8F-2/A	EDGARLink Template 2	

**Table 3-6: Development Bank Submission Types Accepted by EDGAR**

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
QRTLYRPT	Periodic Development Bank filing, submitted quarterly	QRTLYRPT	EDGARLink Template 2	XFDL Technical Specification
	Amendment	QRTLYRPT/ A	EDGARLink Template 2	
ANNLRPT	Periodic Development Bank filing, submitted annually	ANNLRPT	EDGARLink Template 2	XFDL Technical Specification
	Amendment	ANNLRPT/A	EDGARLink Template 2	
DSTRBRPT	Distribution of primary obligations Development Bank report	DSTRBRPT	EDGARLink Template 2	XFDL Technical Specification
	Amendment	DSTRBRPT/A	EDGARLink Template 2	
Notes: (1) These submission types are to be filed ONLY by the Development Banks. BW-2 and BW-3 submission types have been rescinded; please use QRTLYRPT, ANNLRPT, and DSTRBRPT Form Types.				

**Table 3-7: Correspondence Submission Types**

<b>CFR Form/ Schedule/ Rule</b>	<b>Description</b>	<b>Submission Type</b>	<b>Tool/ Template Number</b>	<b>Filer- Constructed Form Spec.</b>
Correspondence	A correspondence can be sent as a document with another submission type or can be sent as a separate submission. Correspondence is not publicly disseminated immediately. The SEC staff may release all or portions of these documents electronically if they relate to the staff's review process. See SEC Press Release 2004-89, "SEC Staff to Publicly Release Comment Letters and Responses."	CORRESP	EDGARLink Template 4	XFDL Technical Specification