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SEC Materials

SEC Form Types and Definitions

For a form with amendments, use form type immediately followed by a "?A".

Form Type	Definition	Notes	Form ID
1	Application for, and amendments to application for, registration as a national securities exchange or exemption from registration pursuant to section 5 of the exchange act.		1935
10	This is the general form for registration of securities pursuant to section 12 (b) or (g) of the '34 Act of classes of securities of issuers for which no other form is prescribed. It requires certain business and financial information about the issuer.		1396
10 12B	('34 Act) - General form for the registration of securities pursuant to section 12(b).		
10 12G	('34 Act) - General form for the registration of securities pursuant to section 12(g).		
10-C	This form must be filed by an issuer whose securities are quoted on the Nasdaq interdealer quotation system. Reported on the form is any change that exceeds five percent in the number of shares of the class outstanding and any change in the name of the issuer. The report must be filed within ten days of such change.	Obsolete	1811
10-D	Asset-backed issuer distribution report pursuant to Section 13 or 15(d) of The Securities Exchange Act of 1934.		
10-K	This is the annual report that most reporting companies file with the Commission. It provides a comprehensive overview of the registrant's business. The report must be filed within 90 days after the end of the company's fiscal year.		1673
10-K405	Indicates the company was in violation of Section 16 (an officer or director failed to file a Form 3, 4, or 5 on time).		
10-KSB	This is the annual report filed by reporting "small business issuers." It provides a comprehensive overview of the company's business, although its requirements call for slightly less detailed information than required by Form 10-K. The report must be filed within 90 days after the end of the company's fiscal year.		2337
10-KSB405	Optional form for annual and transition reports of small business issuers under section 13 of 15(D). The 405 indicates that the Regulation S-B Item 405 box has been checked indicating the failure to file the Forms 3, 4, and 5 filings on-time.	Obsolete	
10-KT	With relation to annual reports. Transition reports pursuant to Rule 13a-10 or 15d-10.		
10-M	Irrevocable appointment of agent by individual nonresident broker or dealer.		879
10-Q	The Form 10-Q is a report filed quarterly by most reporting companies. It includes unaudited financial statements and provides a continuing view of the company's financial position during the year. The report must be filed for each of the first three fiscal quarters of the company's fiscal year and is due within 45 days of the close of the quarter.		1296
10-QSB	The Form 10-QSB is filed quarterly by reporting small business issuers. It includes unaudited financial statements and provides a continuing view of		2334

	the company's financial position and results of operations throughout the year. The report must be filed for each of the first three fiscal quarters and is due within 45 days of the close of the quarter.		
10-QT	With relation to quarterly reports. Transition reports pursuant to Rule 13a-10 or 15d-10.		
10-SB	This is the general form for registration of securities pursuant to Sections 12 (b) or (g) of the '34 Act for "small business issuers." This form requires slightly less detailed information about the company's business than Form 10 requires.		2336
11-K	This form is a special annual report for employee stock purchase, savings, and similar plans, interests in which constitute securities registered under the 1933 Act. The Form 11-K annual report is required in addition to any other annual report of the issuer of the securities (e.g., a company's annual report to all shareholders or Form 10-K).		617
11-KT	Annual reports of employee stock purchase, savings and similar plans pursuant to Rule 13a-10 or 15d-10.		
12b-25	This form is used as a notification of late filing by a reporting company that determines that is unable to file a required periodic report when first due without unreasonable effort or expense. If a company files a Form 12b-25, it is entitled to relief, but must file the required report within five calendar days (for a Form 10-Q or 10-QSB) or within fifteen calendar days (for a Form 10-K, 10-KSB, 20-F, 11-K, or N-SAR).		1344
12G3-2B	Exemptions for American Depositary Receipts and Certain Foreign Securities.		
13D	Information to be included in statements filed pursuant to Rule 13-a(a) and amendments thereto filed pursuant to Rule 13d-2(a).		1746
13E-3	Transaction statement pursuant to Rule 13(e) of the Securities Exchange Act of 1934.		1893
13E-4F	Schedule 13E-4F.		2283
13F	This is a quarterly report of equity holdings by institutional investment managers having equity assets under management of \$100 million or more. Included in this category are certain banks, insurance companies, investment advisers, investment companies, foundations and pension funds.		1685
13FE	('34 Act) - Quarterly report of equity holdings by institutional investment managers having equity assets under management of \$100 million or more. Included in this category are certain banks, insurance companies, investment advisers, investment companies, foundations and pension funds.		
13G	Information to be included in statements filed pursuant to 240.13d-1(G) and amendments thereto filed pursuant to 240.13d-1(G).		1745
144	This form must be filed as notice of the proposed sale of restricted securities or securities held by an affiliate of the issuer in reliance on Rule 144 when the amount to be sold during any three month period exceeds 500 shares or units or has an aggregate sales price in excess of \$10,000.		1147
14A	('34 Act) - A proxy statement is a document which is intended to provide security holders with the information necessary to enable them to vote in an informed manner on matters intended to be acted upon at security holders' meetings, whether the traditional annual meeting or a special meeting. Typically, a security holder is also provided with a "proxy" to authorize designated persons to vote his or her securities in the event the holder does not attend the meeting. Definitive (final) copies of proxy statements and proxies are filed with the Commission at the time they are sent to security holders. All preliminary proxy materials are available except for those specifically requesting confidential treatment.		1913
14C	Information required in information statement.		
14D-9	Solicitation/recommendation statement pursuant to Section 14(d)(4) of the Securities Exchange Act of 1934.		1917

14D-9F	Schedule 14D-9F.		2286
15	This form is filed by a company as notice of termination of registration under Section 12(g) of the '34 Act, or suspension of the duty to file periodic reports under Sections 13 and 15(d) of the '34 Act.		2069
15 12B	Certification of termination of registration of a class of security under Section 12(g) or notice of suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act Section 12(b).		
15 12G	Certification of termination of registration of a class of security under Section 12(g) or notice of suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act Section 12(g).		
15 15D	Certification of termination of registration of a class of security under Section 12(g) or notice of suspension of duty to file reports pursuant to Section 13 and 15(d) of the Act Section 13 and 15(d).		
17A-23	Information required of registered broker or dealer sponsor of broker-dealer trading system pursuant to Section 17, Rule 17a-23 of the Securities Exchange Act of 1934.		2385
17F-1	Certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-1.		
17F-2	Certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-2.		
17-H	Risk Assessment Report for Brokers and Dealers.		2332
18	Registration of securities of foreign governments or political subdivisions thereof pursuant to section 12(b) or 12(g).		1421
18-12B	Form for initial registration of securities of foreign governments or political subdivisions pursuant to section 12(b).		
18-12G	Registration of securities pursuant to section 12(g).		
18-K	This form is used for the annual reports of foreign governments or political subdivisions thereof.		1797
19b-4	Proposed Rule Change by SRO pursuant to Rule 19b-4 under the Securities Exchange Act of 1934.		1832
19b-4(e)	Information required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934.		
19b-7	Proposed Rule Change by SRO pursuant to Rule 19b-7 under the Securities Exchange Act of 1934.		
1-A	Regulation A provides the basis for an exemption for certain small offerings (generally up to \$5 million in any twelve month period). Companies selling securities in reliance on a Regulation A exemption from the registration provisions of the 1933 Act must provide investors with an offering statement meeting the requirements of Form 1-A. For additional information on Regulation A, ask for a copy of the Regulation and the pamphlet entitled "Q & A: Small Business and the SEC" from the Commission's Publications Unit or see the Small Business section of the Commission's Web Site.		
1-E	Notification Under Regulation E.		1807
1-G	Report of sale of oil or gas right.		890
1-N	Form and amendments for notice of registration as a national securities exchange for the sole purpose of trading security futures products pursuant to Section 6(g) of the Exchange Act.		
20-F	This is an integrated form used both as a registration statement for purposes of registering securities of qualified foreign private issuers under Section 12 or as an annual report under Section 13(a) or 15(d) of the '34 Act.		1852
20FR12B	Registration of securities pursuant to section 12(b).		

20FR12G	Registration of securities pursuant to section 12(g).		
24F 2NT	Registration of securities by certain investment companies. Declaration of election Rule 24f-2 notice.		
24F 2TM	Registration of securities by certain investment companies. Termination of the declaration of election.		
24F-2	Annual notice of securities sold pursuant to Rule 24f-2.		2393
25	Notification of the removal from listing and registration of matured, redeemed or retired securities.		1654
26	Notification of the Admission to Trading of a Substituted or Additional Class of Security Under Rule 12a-5.		
27	Notification of changes in securities admitted to unlisted trading privileges.		1855
28	Notification of the termination or suspension of unlisted trading privileges.		484
2-A	Report of Sales and Uses of Proceeds Pursuant to Rule 257 of Regulation A.		
2-E	Report Pursuant to Rule 609 of Regulation E.		
3	Every director, officer or owner of more than ten percent of a class of equity securities registered under Section 12 of the '34 Act must file with the Commission a statement of ownership regarding such security. The initial filing is on Form 3 and changes are reported on Form 4. The Annual Statement of beneficial ownership of securities is on Form 5. The forms contain information on the reporting person's relationship to the company and on purchases and sales of such equity securities.		1473
305B2	Initial statement and pre-effective amendments pursuant to the Trust Indenture Act of 1939.		
330-A	Summary of buy-ins or sell-outs of all open contractual commitments (Securities Investor Protection Corporation).		
330-B	Report of all fails to deliver (Securities Investor Protection Corporation).		
330-C	Report of all fails to receive (Securities Investor Protection Corporation) Report of sales of securities pursuant to a compensatory benefit plan or contract relating.		
35-CERT	Certificate concerning terms and conditions filed pursuant to Rule 24.		
3-G	Report of results of offering.		
4	Every director, officer or owner of more than ten percent of a class of equity securities registered under Section 12 of the '34 Act must file with the Commission a statement of ownership regarding such security. The initial filing is on Form 3 and changes are reported on Form 4. The Annual Statement of beneficial ownership of securities is on Form 5. The forms contain information on the reporting person's relationship to the company and on purchases and sales of such equity securities.		1474
40-17F1	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.		
40-17F2	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.		
40-17G	Fidelity bond filed pursuant to Rule 17g-1(g)(1) of the Investment Company Act of 1940.		
40-206A	Application for exemption from section 206(3) of the Investment Advisers Act of '40.		
40-24B2	Filing of sales literature pursuant to Rule 24b-2 under the Investment Company Act of 1940.		
40-33	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.		
40-8B25	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.		
40-8F-2	Initial application for deregistration pursuant to Investment Company Act Rule 0-2.		
40-8F-A	Initial application under paragraph (c) of Instruction 1 of Form N-8F (Abandonment of Registration).		
40-8F-L	Initial application under paragraph (b) of Instruction 1 of Form N-8F (Liquidation).		
40-8F-M	Initial application for deregistration under paragraph (a) of Instruction 1 of Form N-8F (Merger).		
40-APP	Application for an order pursuant to Section 26(c) and an order of exemption pursuant to Section 17(b) of the Investment Company Act of 1940.		
40-F	This is an integrated form used both as a registration statement to register securities of eligible publicly traded Canadian foreign private issuers or as an annual report for such issuers. It serves as a wraparound for the company's Canadian public reports.		
40FR12B	Initial filing for the registration of a class of securities of certain Canadian issuers pursuant to Section 12(b) of the 1934 Act.		
40FR12G	Initial filing for the registration of a class of securities of certain Canadian issuers pursuant to Section 12(g) of the 1934 Act.		
424A	Preliminary prospectus filed pursuant to Rule 424(a).		
424B1	Pricing supplement filed pursuant to Rule 424(b)(1).		
424B2	Transaction specific information for a delayed shelf abby filed pursuant to Rule 424(b)(2).		
424B3	Final prospectus filed pursuant to Rule 424(b)(3).		
424B4	Prospectus filed pursuant to Rule 424(b)(4).		
424B5	Prospectus filed pursuant to Rule 424(b)(5).		
424B7	Prospectus filed pursuant to Rule 424(b)(7).		
424B8	Prospectus filed pursuant to Rule 424(b)(8).		
425	Filing of certain prospectuses and communications in connection with business combination transactions.		
429	Post-effective amendments relating to several registration statements.		
45B-3	Transitional statement concerning extensions of credit filed pursuant to rule 45(b)(3). This filing is made pursuant to the Public Utility Holding Company Act of '35.		
485A24E	Post-Effective amendments filed pursuant to Rule 485(a) with additional shares under 24e-2. This filing cannot be submitted as a 1940 Act only filing.		
485APOS	Post-Effective amendments filed pursuant to Rule 485(a).		
485B24E	Post-Effective amendments filed pursuant to Rule 485(b) with additional shares under 24e-2. This filing cannot be submitted as a 1940 Act only filing.		
485B24F	Post-Effective amendments filed pursuant to Rule 485(b) with 24f-2 election. This filing cannot be submitted as a 1940 Act only filing.		
485BPOS	Post-Effective amendments filed pursuant to Rule 485(b).		
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).		

486APOS	Post-effective amendment filed by Unit Investment Trusts pursuant to rule 486(a) of the 1933 Securities Exchange Act.		
486BPOS	Post-effective amendment filed by Unit Investment Trusts pursuant to rule 486(b) of the 1933 Securities Exchange Act.		
487	Pre-effective pricing amendments filed pursuant to Rule 487.		
497	Definitive materials.		
497AD	Filing by certain investment companies of Rule 482 advertising in accordance with Rule 497 and the NOTE to Rule 482.		
497H2	Filings made pursuant to Rule 497(h)(2).		
497K2	Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(ii).		
497K3A	Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(iii)(A).		
497K3B	Profiles for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k)(1)(iii)(B).		
497J	Certification of no change in definitive materials.		
498	Profiles for certain open-end management investment companies.		
4-R	Irrevocable appointment of agent for service of process, pleadings and other papers by individual non-resident investment adviser.	Obsolete	
5	Every director, officer or owner of more than ten percent of a class of equity securities registered under Section 12 of the '34 Act must file with the Commission a statement of ownership regarding such security. The initial filing is on Form 3 and changes are reported on Form 4. The Annual Statement of beneficial ownership of securities is on Form 5. The forms contain information on the reporting person's relationship to the company and on purchases and sales of such equity securities.		2207
5-R	Irrevocable appointment of agent for service of process, pleadings and other papers by corporation non-resident investment adviser.	Obsolete	
6-K	This report is used by certain foreign private issuers to furnish information: (i) required to be made public in the country of its domicile; (ii) filed with and made public by a foreign stock exchange on which its securities are traded; or (iii) distributed to security holders. The report must be furnished promptly after such material is made public. The form is not considered "filed" for Section 18 liability purposes. This is the only information furnished by foreign private issuers between annual reports, since such issuers are not required to file on Forms 10-Q or 8-K.		
6-R	Irrevocable appointment of agent for service of process, pleadings and other papers by partnership non-resident investment adviser.	Obsolete	
701	Report of sales and securities pursuant to a compensatory benefit plan or contract relating to compensation.	Obsolete	
7-M	Irrevocable appointment of agent for service of process, pleadings and other papers by individual non-resident broker or dealer.		
7-R	Irrevocable appointment of agent for service of process, pleadings and other papers by non-resident general partner of investment adviser.	Obsolete	
800-802	Exemptions for Cross-Border Rights Offerings, Exchange Offers and Business Combinations.		
8-A	Registration of certain classes of securities pursuant to section 12(b) or (g).		
8-A12B	Registration of certain classes of securities pursuant to section 12(b).		
8-A12G	Registration of certain classes of securities pursuant to section 12(g).		
8-B	Registration of securities of certain successor issuers pursuant to Rules 13a-16 and 15d-16 of the Exchange Act.		

8-B12B	Registration of securities of certain successor issuers pursuant to section 12 (b).		
8-B12G	Registration of securities of certain successor issuers pursuant to section 12 (g).		
8-K	This is the "current report" that is used to report the occurrence of any material events or corporate changes which are of importance to investors or security holders and previously have not been reported by the registrant. It provides more current information on certain specified events than would Forms 10-Q or 10-K.		
8-K12B	Notification that a class of securities of successor issuer is deemed to be registered pursuant to Section 12(b).		
8-K12G3	Initial filing for the notification of securities of successor issuers deemed to register pursuant to section 12.		
8-K15D5	Initial filing for the notification of assumption of duty to report by successor issue under section 15(d).		
8-M	Irrevocable appointment of agent for service of process, pleadings and other papers by corporation non-resident broker or dealer.	Obsolete	
9-M	Irrevocable appointment of agent for service of process, pleadings and other papers by partnership non-resident broker or dealer.	Obsolete	
ADB	Periodic reports filed by the Asian Development Bank.		
ADV	This form is used to apply for registration as an investment adviser or to amend a registration. It consists of two parts. Part I contains general and personal information about the applicant. Part 11 contains information relating to the nature of the applicant's business, including basic operations, services offered, fees charged, types of clients advised, educational and business backgrounds of associates and other business activities of the applicant. Interpretive Responsibility: Division of Investment Management - Office of Chief Counsel.		1707
ADV-CO	Cancellation of registered advisers by commission order.		
ADV-E	Form used by accountants for Certification of Client Securities and Funds in the Possession or Custody of an Adviser.		2223
ADV-H	Application for a temporary of continuing hardship exemption.		
ADV-NR	Appointment of Agent for Service of process by non-resident general partner and non-resident managing agent of an investment adviser.		
ADV-R	Re-registration of all registered investment advisers. This usually occurs when a new application form is adopted.		
ADV-S	Annual report for registered investment advisers.		
ADV-W	Form used to withdraw Adviser Registration.		777
AFDB	African Development Bank.		
ANLDRPT	Periodic Development Bank filing, submitted annually.		
ARS	Annual report to Security Holders. This submission type is to be used when furnishing the annual report to security holders for the information of the Commission pursuant to Rule 14a-3c or 14c-3(b).		
ATS	Initial operation report, amendment to initial operation report and cessation of operations report for alternative trading systems.		
ATS-R	Quarterly report of alternative trading system activities.		
AW	Amendment Withdrawal Request.		
AW WD	Withdrawal of an Amendment Registration Withdrawal Request.		
BD	This form is used to apply for registration as a broker or dealer of securities, or as a government securities broker or dealer, and to amend a registration. It provides background information on the applicant and the nature of its		1490

	business. It includes lists of the executive officers and general partners of the company. It also contains information on any past securities violations.		
BD Package	See Form BD.		
BD-N	Form for notice of registration as a broker-dealer for the purpose of trading security futures products pursuant to section 15(b)(11) of the Securities Exchange Act of 1934.		
BD-W	Uniform Request for Broker-Dealer Withdrawal.		122
BW-3	Transactional World Bank filing.	Obsolete	
CA-1	Application for registration or for exemption from registration as a clearing agency and for amendment to registration pursuant to the Securities Exchange Act of 1934 ("the Act").		1853
CB	Notification form filed in connection with certain tender offers, business combinations and right 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.		
CERTAMX	Certification by the American Stock Exchange approving securities for listing.		
CERTBSE	Certification by the Boston Stock Exchange approving securities for listing.		
CERTCBO	Certification by the Chicago Board of Options approving securities for listing.		
CERTCIN	Certification by the Cincinnati Stock Exchange approving securities for listing.		
CERTCSE	Certification by the Central Stock Exchange, formerly Midwest Stock Exchange, to approve listing of securities.		
CERTISE	Certification by the International Stock Exchange approving securities for listing.		
CERTNYS	Certification by the New York Stock Exchange approving securities for listing.		
CERTPAC	Certification by the Pacific Coast Stock Exchange approving securities for listing.		
CERTPBS	Certification by the Philadelphia Stock Exchange approving securities for listing.		
Compliance Guide	Division of Market Regulation: Compliance Guide to the Registration and Regulation of Brokers and Dealers.		
CORRESP	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.		
D	Companies selling securities in reliance on a Regulation D exemption or a Section 4(6) exemption from the registration provisions of the '33 Act must file a Form D as notice of such a sale. The form must be filed no later than 15 days after the first sale of securities. For additional information on Regulation D and Section 4(6) offerings, ask for a copy of the Regulation and the pamphlet entitled: "Q & A: Small Business and the SEC" from the Commission's Publications Unit or see the Small Business Section of the Commission's Web Site.		1972
DEF 14A	All other filed by non-management definitive proxy statements - typically an annual meeting proxy.		
DEF 14C	All types of definitive statements, excluding: mergers or acquisitions, contested solicitations and special meetings.		
DEF13E3	Filed as part of proxy materials. Initial statement preliminary form.		
DEFA14A	Additional proxy soliciting materials-definitive.		
DEFA14C	Additional information statement materials-definitive.		
DEFC14A	Definitive proxy statement in connection with contested solicitations.		

DEFC14C	Definitive information statement-contested solicitations.		
DEFM14A	Definitive proxy statement relating to merger or acquisition.		
DEFM14C	Definitive information statement relating to merger or acquisition.		
DEFN14A	Definitive proxy statement filed by non-management not in connection with contested solicitations.		
DEFR14A	Revised proxy soliciting materials - definitive.		
DEFR14C	Revised information statement materials - definitive.		
DEFS14A	Definitive proxy statement for special meeting.	Obsolete	
DEFS14C	Definitive information statement for special meeting.	Obsolete	
DEL AM	Annual and transition reports pursuant to Sections 13 and 15(d) where the Regulation S-K Item 405 box on the cover page is checked. (Eliminated in EDGAR Release 8.2, use Form 10-K).	Obsolete	
DEL AMR	Notification of removal of delaying amendment to a '33 Act registration statement.		
DFAN14A	Additional proxy soliciting materials-definitive-filed by non-management.		
DFRN14A	Revised definitive proxy statement filed by non-management.		
DSTRBRPT	Distribution of primary obligations Development Bank report.		
EF	Auto-effective statement: With relation to quarterly reports. Transition reports pursuant to Rule 13a-10 or 15d-10.		
ET	Transmittal form for Electronic Format Documents Under the Edgar system.		2083
EX	Exhibit to filing.		
F-1	This is the basic registration form authorized for certain foreign private issuers. It is used to register the securities of those eligible foreign issuers for which no other more specialized form is authorized or prescribed.		1981
F-10	This form may be used by eligible large publicly traded Canadian foreign private issuers to register any securities (except certain derivative securities). Form F-10 acts as a wraparound for the relevant Canadian offering documents. Unlike Forms F-7, F-8, F-9, and F-80, however, Form F-10 requires the Canadian issuer to reconcile its financial statements to U.S. Generally Accepted Accounting Principles ("GAAP").		2292
F-10EF	Auto-effective Registration statement for securities of certain Canadian issuers under the Securities Act of 1933.		
F-10POS	Post-effective amendment to an F-10EF registration.		
F-1MEF	Registration pursuant to Rule 462(b) of up to an additional 20% of securities for an offering that was registered on a Form F-1.		
F-2	This is an optional registration form that may be used by certain foreign private issuers that have an equity float of at least \$75 million worldwide or are registering non-convertible investment grade securities or have reported under the '34 Act for a minimum of three years. The form is somewhat shorter than Form F-1 because it uses delivery of filings made by the issuer under the '34 Act, particularly Form 20-F.	Obsolete	1982
F-2D	Registration of securities pursuant to dividend or interest re-investment plans.	Obsolete	
F-2MEF	Registration pursuant to Rule 462(b) of up to an additional 20% of securities for an offering that was registered on a Form F-2.	Obsolete	
F-3	This form may only be used by certain foreign private issuers that have reported under the '34 Act for a minimum of twelve months and that have a worldwide public market float of more than \$75 million. The form also may be used by eligible foreign private issuers to register offerings of non-convertible investment grade securities, securities to be sold by selling security holders, or securities to be issued to certain existing security holders. The form allows		1983

	'34 Act filings to be incorporated by reference.		
F-3ASR	Automatic shelf registration statement of securities of well-known seasoned issuers.		
F-3MEF	Registration pursuant to Rule 462(b) of up to an additional 20% of securities for an offering that was registered on a Form F-3.		
F-4	This form is used to register securities in connection with business combinations and exchange offers involving foreign private issuers.		2078
F-4EF	Auto effective registration statement for securities by certain foreign private issuers in connection with certain business combination transactions.		
F-4MEF	Registration statement filed under 462(b) to add securities to a prior related registration statement filed on Form F-4.		
F-4POS	Post-effective amendment to an F-4 registration.		
F-6	This form is used to register depository shares represented by American Depositary Receipts ("ADRs") issued by a depository against the deposit of the securities of a foreign issuer.		2001
F-6EF	Filing for American Depositary Receipt Shares to become effective immediately upon filing.		
F-6POS	Post-effective amendment to an F-6EF registration.		
F-7	This form is used by certain eligible publicly traded Canadian foreign private issuers to register rights offers extended to their U.S. shareholders. Form F-7 acts as a wraparound for the relevant Canadian offering documents. To be registered on Form F-7, the rights must be granted to U.S. shareholders on terms no less favorable than those extended to other shareholders.		2289
F-8	This form may be used by eligible large publicly traded Canadian foreign private issuers to register securities offered in business combinations and exchange offers. Form F-8 acts as a wraparound for the relevant Canadian offering or disclosure documents. The securities must be offered to U.S. holders on terms no less favorable than those extended to other holders.		2290
F-80	This form may be used by eligible large publicly traded Canadian foreign private issuers to register securities offered in business combinations and exchange offers. Form F-80 acts as a wraparound for the relevant Canadian offering or disclosure documents. The securities must be offered to U.S. holders on terms no less favorable than those extended to other holders.		
F-9	This form may be used by eligible large publicly traded Canadian foreign private issuers to register non-convertible investment grade securities. Form F-9 acts as a wraparound for the relevant Canadian offering documents.		2291
F-9EF	Auto-effective registration statement of certain investment grade debt or investment grade preferred securities of certain Canadian issuers under the Securities Act of 1933.		
F-9MEF	Registration statement filed under 462(b) to add securities to a prior related registration statement filed on Form F-9.	Obsolete	
F-9POS	Post-effective amendment to an F-9EF registration.		
Filer Manual	Filer Manual for EDGAR.		
F-N	Appointment of Agent for Service Process Foreign Bank, Insurance, Holdings, financial Subject.		2306
Focus Report (Form X-17A-5)	Every broker or dealer registered pursuant to Section 15 of the Exchange Act must file annually, on a calendar or fiscal year basis, a report audited by an independent public accountant.		
FWP	Filing under Securities Act Rules 163/433 of free writing prospectuses.		
F-X	Appointment of Agent for Service of Process and Undertaking.		2288
G-1	Registration statement for lenders other than commercial banks and brokers		

	that extend credit secured by registered equity securities (Federal Reserve Board).		
G-2	Deregistration statement for lenders registered pursuant to Regulation G (Federal Reserve Board).		
G-3	Statement of purpose of the proceeds of an extension of credit by a person other than a bank, broker, or dealer secured by registered equity securities (Federal Reserve Board).		
G-4	Quarterly Reports (Federal Reserve Board).		
G-405	Report on Finances and Operations of Government Securities Brokers and Dealers.		
ID	Uniform Application for identification numbers and passwords under the EDGAR pilot.		2084
Industry Guides	Securities Act, Exchange Act Industry Guides.		
MSD	This report is used by a bank or a separately identifiable department or division of a bank to apply for registration as a municipal securities dealer with the SEC, or to amend such registration.		1534
MSDW	Notice of withdrawal from registration as a municipal securities dealer pursuant to Rule 15Bc3-1.		1588
N-1	Registration statement for open-end management investment companies.		
N-14	This form is used to register securities issued by investment companies in connection with business combinations and mergers (1933 Act only).		2106
N-148C	Registration statement for closed-end investment company (business combinations).		
N-14AE	Initial statement with automatic effectiveness under Rule 488.		
N-14AE-24	Registration statement for investment companies business combination. Initial statement with automatic effectiveness with 24f-2 election.		
N-14EL-24	Registration statement for investment companies business combination. Initial statement with 24f-2 election.		
N-14MEF	Registration pursuant to Securities Act Rule 462(b) of up to an additional 20% of securities for an offering that was registered on Form N-14.		
N-17D-1	Report filed by Small Business Investment Company (SBIC) registered under the investment company act of 1940 and an affiliated bank, with respect to investments by the SBIC and the bank, submitted pursuant to paragraph (d)(3) of Rule 17d-1.		1839
N-17F-1	Certificate of Accounting of Securities and Similar investments in the custody of a number of a National Securities Exchange.		2205
N-17F-2	Certificate of Accounting of Securities and Similar Investments in the Custody of Management Investment Companies.		2198
N-18F-1	Notification of election pursuant to Rule 18f-1 under the Investment Company Act.		1846
N-1A	This form is used to register open-end management investment companies ("mutual funds").		2052
N-2	This form is used to register closed-end management investment companies ("closed-end funds").		
N-23-3	Notification of repurchase offer pursuant to Rule 23c-3 (17 CFR 270.23c-3).		2380
N-23C-1	Statement by Registered Closed-End Investment Company with Respect to Purchases of its own securities Pursuant to Rule N-23C-1 during the last calendar month.		1580
N-23C-2	Notice by closed-end investment companies of intention to call or redeem their own securities under Investment Company Act Rule 23c-2.		

N-23C-3	Notification of Repurchase Offer filed pursuant to rule 23c-3(b).		
N-23C3A	Notification of periodic repurchase offer Filed pursuant to Rule 23c-3(b) only.		
N-23C3B	Initial filing pursuant to Rule 23c-3(c) only.		
N-27D-1	Accounting of Segregated Trust Account.		1840
N-27E-1	Notice to periodic payment plan certificate holders of 18-month surrender rights with respect to periodic payment plan certificates.		1928
N-27F-1	Notice to periodic payment plan certificate holders of 45-day surrender rights with respect to periodic payment plan certificates.		1929
N-27I-1	Notice of right of cancellation and refund.		1930
N-27I-2	Notice of withdrawal right.		1931
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.		
N-3	This form is used to register insurance company separate accounts organized as management investment companies offering variable annuity contracts.		2124
N-30B-2	Periodic and interim reports mailed to shareholders.		
N-30D	Annual and semi-annual reports mailed to shareholders.		
N-4	This form is used to register insurance company separate accounts organized as unit investment trusts offering variable annuity contracts.		2125
N-5	Registration statement of small business investment company under the Securities Act of 1933 and the Investment Company Act of 1940.		993
N-54A	Notification of election to be subject to Sections 55 through 65 of the Investment Company Act of 1940 filed pursuant to Section 54(a) of the Act.		1937
N-54C	Notification of withdrawal of election to be subject to Sections 55 through 65 of the Investment Company Act of 1940 pursuant to Section 54[c] of the Act.		1938
N-6	Registration statement for separate accounts (Unit Investment Trusts).		
N-6C9	Appointment of agent for services of process for foreign banks and their finance subsidiaries offering or selling debt securities or non-voting preferred stock in the United States under Rule 6c-9 under the Investment Company Act of 1940.		2174
N-6E1-1	Notification of Claim of Exemption Pursuant to Rule 6e-2 or 6e-3(T) Under The Investment Company Act of 1940.		1130
N-6F	Notice of intent to elect to be subject to sections 55 through 65 of the Investment Company Act of 1940.		1936
N-8A	Notification of registration filed pursuant to Section 8(a) of the Investment Company Act of 1940.		1102
N-8B-2	Registration statement of unit investment trusts which are currently issuing securities.		977
N-8B-3	Registration statement of unincorporated management investment companies currently issuing periodic payment plan certificates.		1838
N-8B-4	Registration statement of face-amount certificate companies.		1285
N-8F	Application for Deregistration of Certain Registered Investment Companies.		1691
N-CSR	Certified Shareholder Report of Registered Management Investment Companies.		2569
N-CSRS	Certified semi-annual shareholder report of registered management investment companies.		
NO ACT	No action letter. An SEC letter indicating that no civil or criminal action will be taken against an individual engaging in a particular activity; sent in response		

	to a written request for clarification when the legality of the activity in question is not well-established. No Action Letters are not electronically filed, but may be found in LIVEDGAR.		
N-PX	Annual Report of Proxy Voting Record of Registered Management Investment Company. Form N-PX is to be used by a registered management investment company, other than a small business investment company registered on Form N-5 (239.24 and 274.5 of this chapter), to file reports with the Commission, not later than August 31 of each year, containing the registrant's proxy voting record for the most recent twelve-month period ended June 30, pursuant to section 30 of the Investment Company Act of 1940 and rule 30b1-4 thereunder (17 CFR 270.30b1-4). The Commission may use the information provided on Form N-PX in its regulatory, disclosure review, inspection, and policymaking roles.		
N-Q	Quarterly schedule of portfolio holdings of registered management investment companies. Form N-Q is to be used by management investment companies, other than small business investment companies registered on Form N-5 (239.24 and 274.5 of this chapter), filed with the Commission, not later than 60 days after the close of the first and third fiscal quarters, pursuant to rule 30b1-5 under the Investment Company Act of 1940 (17 CFR 270.30b1-5). The Commission may use the information provided on Form N-Q in its regulatory, disclosure review, inspection, and policymaking roles.		
N-SAR	This is a report to the Commission filed by registered investment companies on a semi-annual and annual basis, at the end of the corresponding fiscal periods. Unit investment trusts, however, are required to file this form only once a year, at the end of the calendar year. The form contains information about the type of fund that is reporting sales charges, 12b-1 fees, sales of shares, identity of various entities providing services to the investment company, portfolio turnover rate, and selected financial information.		2100
N-SAR Supplement	N-SAR Instruction Guide. The N-SAR is the Semi-Annual Report for Registered Investment Companies.		
N-SAR-A	Semi-annual report for management companies filed on Form N-SAR.		
N-SAR-AT	Periodic reports for registered investment companies. Transitional semi-annual report.		
N-SAR-B	Periodic reports for registered investment companies. Annual report for management companies.		
N-SAR-BT	Periodic reports for registered investment companies. Transitional annual report.		
N-SAR-U	Annual report for unit investment trusts filed on Form N-SAR.		
NT 10-K	Form 12b-25, notification of late filing. Form 10-K 405, 10-K, 10-KSB 405, 10-KSB.		
NT 10-Q	Form 12b-25, notification of late filing. Form 10-Q, or 10-QSB.		
NT 11-K	Form 12b-25, notification of late filing. Form 11-K.		
NT 15D2	Form 12b-25, notification of late filing. Special report pursuant to section 15d-2.		
NT-NCSR	Notice under Exchange Act Rule 12b-25 of inability to timely file Form N-CSR (annual or semi-annual report).		
NT-N-SAR	Periodic reports for registered investment companies. Request for extension of time for filing form N-SAR.		
NTFN-SAR	Notice of late filing for form N-SAR.		
PILOT	Initial operation report, amendment to initial operation report and quarterly report for pilot trading systems operated by self-regulatory organizations.		
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).		

POS AM	Post-effective amendments.		
POS AMC	Post-effective amendment to an application or declaration under the act.		
POS AMI	Post-effective amendments to registration statements for face-amount certificate companies.		
POS EX	Post-effective amendment filed solely to add exhibits to a registration statement.		
POS462B	Post-effective amendment to Securities Act Rule 462(b) registration statement.		
POS462C	Post-effective amendment to a registration statement filed under Rule 462[c].		
POSASR	Post-effective Amendment to an automatic shelf registration statement on Form S-3ASR or Form F-3ASR.		
PRE 14A	Preliminary proxy statement not related to a contested matter or merger / acquisition.		
PRE 14C	All preliminary information statements, excluding, mergers, contested solicitations and special meetings.		
PRE13E3	Schedule 13E-3 filed as part of proxy materials, Initial statement-preliminary form.		
PREA14A	Preliminary proxy.		
PREC14A	Preliminary proxy statements - contested solicitations.		
PREC14C	Preliminary information statements - contested solicitations.		
PREM14A	Preliminary proxy statements relating to merger or acquisition.		
PREM14C	Preliminary information statements relating to merger or acquisition.		
PREN14A	Non-management preliminary proxy statements not involving contested solicitations.		
PRER14A	Revised preliminary materials Proxy soliciting materials.		
PRER14C	Revised preliminary materials: Information statements.		
PRES14A	Preliminary proxy materials: Preliminary special meeting (Eliminated with EDGAR Release 8.2, use Form PRE 14A).	Obsolete	
PRES14C	Preliminary information statements: Preliminary special meeting (Eliminated with EDGAR Release 8.2, use Form PRE 14A).	Obsolete	
PRRN14A	Non-management revised preliminary proxy soliciting materials for both contested solicitations and other situations.		
PX14A6G	Definitive materials: Notice of exempt solicitation.		
PX14A6N	Notice of exempt solicitation pursuant to Rule 14a6(g).		
QRTLRYRPT	Periodic Development Bank filing, submitted quarterly.		
R31	Form for Reporting Covered Sales and Covered Round Turn Transactions Under Section 31 of the Securities Exchange Act of 1934.		
Reg 12B	Regulation 12B - Registration statements pursuant to Section 12(b) and 12 (g) of the 1934 Act.		
Reg 13A	Regulation 13A - Reports of issuers of securities registered pursuant to Section 12.		
Reg 13D-G	Regulation 13D and 13G - Securities Ownership (Part 240) ('34 Act).		
Reg 14A	State law governs the circumstances under which shareholders are entitled to vote. When a shareholder vote is required and any person solicits proxies with respect to securities registered under Section 12 of the 1934 Act, that person generally is required to furnish a proxy statement containing the information specified by Schedule 14A. The proxy statement is intended to provide security holders with the information necessary to enable them to vote in an informed manner on matters intended to be acted upon at security	See also SC 14A	

	holders' meetings, whether the traditional annual meeting or a special meeting. Typically, a security holder is also provided with a "proxy card" to authorize designated persons to vote his or her securities on the security holder's behalf in the event the holder does not vote in person at the meeting. Copies of definitive (final) proxy statements and proxy card are filed with the Commission at the time they are sent to security holders. For further information about the applicability of the Commission's proxy rules, see Section 14(a) of the 1934 Act and Regulation 14A. Certain preliminary proxy filings relating to mergers, consolidations, acquisitions and similar matters are non-public upon filing; all other proxy filings are publicly available. Interpretive Responsibility: Division of Corporation Finance - Office of the Chief Counsel.		
Reg 14C	Schedule 14C sets forth the disclosure requirements for information statements. Generally, a company with securities registered under Section 12 of the '34 Act must send an information statement to every holder of the registered security who is entitled to vote on any matter for which the company is not soliciting proxies. (If the company solicits proxies, Regulation 14C/Schedule 14A may be required).		
Reg 14D	Disclosure Requirements and Minimum Time for Tender Offers.		
Reg 14E	Tender Offer Rules.	Obsolete	
Reg 15D	Reports of Registrants Under the Securities Act of 1933.		
Reg A	Regulation A - Conditional Small Issues Exemption From Registration Under the Securities Act of 1933.		
Reg BTR	Regulation defining Blackout Trading Restriction pursuant to Section 306(a) of the Sarbanes-Oxley Act of 2002.		
Reg C	Registration and Filing Requirements.		
Reg CE	Regulation CE - Coordinated Exemptions For Certain Issues of Securities Exempt Under State Law.		
Reg D	Companies selling securities in reliance on a Regulation D exemption or a Section 4(6) exemption from the registration provisions of the '33 Act must file a Form D as notice of such a sale. The form must be filed no later than 15 days after the first sale. The exact form type is usually REGDEX, but may be a REG D-1 or similar.		
Reg E	Exemption for Securities of Small Business Investment Companies.		
Reg FD	Fair Disclosure.		
Reg G	Regulation G - Disclosure of Non-GAAP Financial Measures.		
Reg M-A	Mergers & Acquisitions		
Reg S	Exemption of the 1933 Act for the offshore offerings and sale of securities. The SEC does not require the specific filing for Reg S offers, but the sale is reported as Item 9 of Form 8-K.		
Reg S-B	Regulation S-B, Integration Disclosure System for Small Business Issuers.		2345
Reg S-K	Part 229 - Standard Instructions for Filing Forms Under Securities Act of 1933, Securities Exchange Act of 1934 and Energy Policy and Conservation Act of 1975.		
Reg S-T	Regulation S-T.		2351
Reg S-X	Part 210 - Requirements for Financial Statements Under the Securities Act of 1933, and the Securities Exchange Act of 1934.		
Rule 0-2	Application for deregistration pursuant to Rule 0-2.		
Rule 8b-25 (a)	Filing by investment company of application requesting extension of time for filing certain information, document or report.		
Rule 12b-25	Notification of inability to timely file form N-SAR.		
Rule 12g3-2	Exemptions for American Depositary Receipts and Certain Foreign		

	Securities.		
Rule 13e-1	Purchase of securities by the issuer during a third-party tender offer.		
Rule 13e-3	Going Private Transactions by Certain Issuers of their Affiliates.		
Rule 13e-4	Tender Offers By Issuers.	Obsolete	
Rule 144	Persons deemed not to be engaged in a distribution and therefore not underwriters.		
Rule 23c-2 (b)	Notice by closed-end investment companies of intention to call or redeem their own securities.		
Rule 24F-2	Rule 24F-2 notice.		
Rule 30b2-1	Annual and semi-annual reports mailed to shareholders.		
Rule 35-APP	Statement concerning proposed transaction for which no form of application is prescribed filed pursuant to Rule 20(e).		
Rule 35-CERT	Certificate concerning terms and conditions filed pursuant to Rule 24.		
Rule 425	Filing of certain prospectuses and communications in connection with business combination transactions.		
Rule 45B-3	Transitional statement concerning extensions of credit filed pursuant to Rule 45(b)(3).		
Rule 473	Filing of certain delaying amendments.		
Rule 477	Withdrawal of a registration statement.		
Rule 482	Filing by certain investment companies of Rule 482 advertising in accordance with Rule 497.		
Rule 498	Profiles for certain open-end management investment companies.		
Rules 16a-1 to 16e-1	1934 Act Rules -- 16a-1 to 16e-1.		
Rules 800, 801, 802	Exemptions for Cross-Border Rights Offerings, Exchange Offers and Business Combinations.		
RW	Registration Withdrawal Request.		
RW WD	Withdrawal of a Registration Withdrawal Request.		
S-1	This is the basic registration form. It can be used to register securities for which no other form is authorized or prescribed, except securities of foreign governments or political sub-divisions thereof.		870
S-11	This form is used to register securities of certain real estate companies, including real estate investment trusts.		907
S-11MEF	Registration pursuant to Rule 462(b) of up to an additional 20% of securities for an offering that was registered on a form S-11.		
S-1MEF	Registration pursuant to Rule 462(b) of up to an additional 20% of securities for an offering that was registered on a form S-1.		
S-2	This is a simplified optional registration form that may be used by companies that have been required to report under the '34 Act for a minimum of three years and have timely filed all required reports during the 12 calendar months and any portion of the month immediately preceding the filing of the registration statement. Unlike Form S-1, it permits incorporation by reference from the company's annual report to stockholders (or annual report on Form 10-K) and periodic reports. Delivery of these incorporated documents as well as the prospectus to investors may be required.	Obsolete	1380
S-20	This form may be used to register standardized options where the issuer undertakes not to issue, clear, guarantee or accept an option registered on Form S-20 unless there is a definitive options disclosure document meeting the requirements of Rule 9b-1 of the '34 Act.		2013

S-2MEF	Registration pursuant to Rule 462(b) of up to an additional 20% of securities for an offering that was registered on a form S-2.	Obsolete	
S-3	This is the most simplified registration form and it may only be used by companies that have been required to report under the '34 Act for a minimum of twelve months and have met the timely filing requirements set forth under Form S-2. Also, the offering and issuer must meet the eligibility tests prescribed by the form. The form maximizes incorporating by reference information from '34 Act filings.		1379
S-3ASR	Automatic shelf registration statement of securities of well-known seasoned issuers.		
S-3D	Registration of securities pursuant to dividend or interest re-investment plans which become effective immediately upon filing.		
S-3DPOS	Registration of securities pursuant to dividend or interest reinvestment plans which becomes effective automatically upon filing: Post-effective amendments.		
S-3MEF	Registration pursuant to Rule 462(b) of up to an additional 20% of securities for an offering that was registered on a form S-3.		
S-4	This form is used to register securities in connection with business combinations and exchange offers.		2077
S-4EF	Securities issued in connection with the formation of a bank or savings and loan, or holding company in compliance with General Instruction G: Initial statement.		
S-4 POS	Securities issued in connection with the formation of a bank or savings and loan, or holding company in compliance with General Instruction G: Post-effective amendment.		
S-4MEF	Registration statement filed under rule 462(b) to add securities to a prior related registration statement filed on Form S-4.		
S-6	This form is used to register securities issued by unit investment trusts (1933 Act only).		649
S-6EL24	Registration statement for unit investment trusts: Initial statement with 24f-2 election.		
S-8	This form is used for the registration of securities to be offered to an issuer's employees pursuant to certain plans.		1398
S-8 POS	Securities to be offered to employees pursuant to employee benefit plans: Post-effective amendments.		
S-B	Registration statement for securities of foreign governments and subdivisions thereof under the Securities Act of 1933 (Schedule B).		
SB-1	This form may be used by certain "small business issuers" to register offerings of up to \$10 million of securities, provided that the company has not registered more than \$10 million in securities offerings during the preceding twelve months. This form requires less detailed information about the issuer's business than Form S-1. Generally, a "small business issuer" is a U.S. or Canadian company with revenues and public market float less than \$25 million.		2338
SB-1MEF	New Registration statement filed under Rule 462(b) to add securities to a prior related registration statement filed on Form SB-1.		
SB-2	This form may be used by "small business issuers" to register securities to be sold for cash. This form requires less detailed information about the issuer's business than Form S-1.		2335
SB-2MEF	Registration pursuant to Rule 462(b) of up to an additional 20% of securities for an offering that was registered on a form SB-2.		
S-BMEF	New registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-B.		
SC 13D	This Schedule discloses beneficial ownership of certain registered equity		

	<p>securities. Any person or group of persons who acquire a beneficial ownership of more than 5% of a class of registered equity securities of certain issuers must file a Schedule 13D reporting such acquisition together with certain other information within ten days after such acquisition. Moreover, any material changes in the facts set forth in the Schedule generally precipitates a duty to promptly file an amendment on Schedule 13D. The Commission's rules define the term "beneficial owner" to be any person who directly or indirectly shares voting power or investment power (the power to sell the security).</p>		
SC 13E1	Statement of issuer required by Rule 13e-1.		
SC 13E-3	This schedule must be filed by certain persons engaging in "going private" transactions. The schedule must be filed by any company or an affiliate of a company who engages in a business combination, tender offer, or stock purchase that has the effect of causing a class of the company's equity securities registered under the 1934 Act (1) to be held by fewer than 300 persons, or (2) to be de-listed from a securities exchange or inter-dealer quotation system. The filer must disclose detailed information about the transaction, including whether the filer believes the transaction to be fair.		
SC 13E4	Issuer tender offer statement. Also known as a "self tender". Replaced by SC TO-I.	Obsolete	
SC 13E-4F	This schedule may be used by a Canadian foreign private issuer that makes an issuer tender offer for its equity shares (provided that U.S. holders hold less than 40 percent of the class of shares subject to the offer). It serves as a wraparound for the relevant Canadian disclosure documents. The Canadian issuer must comply with relevant Canadian tender offer regulations.		
SC 13G	Schedule 13G is a much abbreviated version of Schedule 13D that is only available for use by a limited category of "persons" (such as banks, broker/dealers, and insurance companies) and even then only when the securities were acquired in the ordinary course of business and not with the purpose or effect of changing or influencing the control of the issuer.		
SC 14A	State law governs the circumstances under which shareholders are entitled to vote. When a shareholder vote is required and any person solicits proxies with respect to securities registered under Section 12 of the 1934 Act, that person generally is required to furnish a proxy statement containing the information specified by Schedule 14A. The proxy statement is intended to provide security holders with the information necessary to enable them to vote in an informed manner on matters intended to be acted upon at security holders' meetings, whether the traditional annual meeting or a special meeting. Typically, a security holder is also provided with a "proxy card" to authorize designated persons to vote his or her securities on the security holder's behalf in the event the holder does not vote in person at the meeting. Copies of definitive (final) proxy statements and proxy card are filed with the Commission at the time they are sent to security holders. For further information about the applicability of the Commission's proxy rules, see Section 14(a) of the 1934 Act and Regulation 14A. Certain preliminary proxy filings relating to mergers, consolidations, acquisitions and similar matters are non-public upon filing; all other proxy filings are publicly available.	See also Reg 14A	
SC 14C	Schedule 14C sets forth the disclosure requirements for information statements. Generally, a company with securities registered under Section 12 of the '34 Act must send an information statement to every holder of the registered security who is entitled to vote on any matter for which the company is not soliciting proxies. (If the company solicits proxies, Regulation 14C/Schedule 14A may be required).	See also Reg 14C	
SC 14D-1	Any person, other than the issuer itself (see Schedule 13E-4), making a tender offer for certain equity securities registered pursuant to Section 12 of the '34 Act, which offer, if accepted, would cause that person to own over 5 percent of that class of the securities, must at the time of the offer file a Schedule 14D-1. This schedule must be filed with the Commission and sent to certain other parties, such as the issuer and any competing bidders. In addition, Regulation 14D sets forth certain requirements that must be	Obsolete	

	complied with in connection with a tender offer.		
SC 14D-1F	Tender offer statement pursuant to Rule 14d-1(b) under Securities Exchange Act of 1934.		
SC 14D-9	This schedule must be filed with the Commission when an interested party, such as an issuer, a beneficial owner of securities, or a representative of either, makes a solicitation or recommendation to the shareholders with respect to a tender offer which is subject to Regulation 14D.		
SC 14D-9C	Written communication by the subject company relating to a third party tender offer.		
SC 14D-9F	Schedule 14D-9F may be used by a Canadian foreign private issuer or by any of its directors or officers when the issuer is the subject of a tender offer filed on Schedule 14D-1F. The schedule is used to respond to tender offers. The schedule serves as a wraparound for the relevant Canadian disclosure documents. In addition, the filer must comply with all relevant Canadian requirements.		
SC 14F-1	Statement regarding changing in majority of directors pursuant to Rule 14f-1: Initial statement.		
SC 15G	Risk Disclosure Document Relating to the Penny Stock Market.		
SC TO	Tender offer statement under Section 14(d)(1) or 13(e)(1) of the Securities Exchange Act of 1934.		
SC TO-C	Written communication relating to an issuer or third party.		
SC TO-I	Tender offer statement by Issuer. Replaces SC 13E-4 as of January 2000.		
SC TO-T	Tender offer statement by Third Party. Replaces SC 14D-1 as of January 2000.		
SE	Form for exhibits of registrants filing under the EDGAR pilot.		2082
SIP	Registration of, and reporting by securities information processors.		1939
Small Business Forms	Description of Small Business Forms and Associated Regulations.		
SP 15D2	Special Financial Report pursuant to Rule 15d-2.		
SR	This form is used as a report by first time registrants under the Act of sales of registered securities and use of proceeds therefrom. The form is required at specified periods of time throughout the offering period, and a final report is required after the termination of the offering.	Obsolete	
SUPPL	Voluntary supplemental material filed pursuant to Section 11(a) of the Securities Act of 1933 by foreign issuers.		
T-1	This form is a statement of eligibility and qualification of a corporation to act as a trustee under the Trust Indenture Act of 1939.		1836
T-2	This form is basically the same as Form T-1 except it is to be used for individual, rather than corporate trustees.		1849
T-3	This form is used as an application for qualification of indentures pursuant to the Trust Indenture Act of 1939, but only when securities to be issued thereunder are not required to be registered under the Securities Act of 1933.		1919
T-4	This form is used to apply for an exemption from certain provisions of the Trust Indenture Act.		1920
T-6	Form T-6 Application for eligibility of a foreign person to act as an institutional trustee.		2275
TA-1	This form is used to apply for registration as a transfer agent or to amend such registration. It provides information on the company's activities and operation.		1528
TA-2	Form to be used by transfer agents registered pursuant to Section 17A of the		2113

	Securities Exchange Act of 1934 for the annual report of transfer agent activities.		
TA-W	Notice of withdrawal from registration as transfer agent.		1669
TH	Notification of Reliance on Temporary Hardship Exemption.		2348
U-1	Application or declaration that includes an issue or sale of securities, acquisition or sale of assets.	Obsolete	1476
U-12(I)-A	Statement pursuant to Section 12(I) of act by person employed or retained by a registered holding company or a subsidiary thereof.	Obsolete	1381
U-12(I)-B	Annual Statement - Statement pursuant to Section 12(I) of act by person regularly employed or retained by holding company or a subsidiary thereof.	Obsolete	979
U-13-1	Application for approval of mutual service company, or declaration with respect to organization and conduct of business of subsidiary service company pursuant to Rule 13-22.	Obsolete	1925
U-13-60	Annual Report for mutual and subsidiary service companies.	Obsolete	1926
U-13E-1	Report to be filed pursuant to Rule U-13E-1 by an affiliate service company.	Obsolete	1888
U-2	Change of rights, guaranty or assumption of liability, or transaction subject to the rules under Section 12(b) or 12[c] of Holding Company Act.		
U-3	Statement of purpose of credit to be extended under Section 221.3(w) of Federal Reserve Regulation U (Federal Reserve Board).		
U-33-S	Annual Report concerning foreign utility companies.	Obsolete	2373
U-3A-2	Statement by holding company claiming exemption under Rule 3A-2 from provisions of Holding Company Act.	Obsolete	1834
U-3A3-1	Twelve-month statement by bank claiming exemption under rules of the Commission pursuant to Section 3(a) of Holding Company Act.	Obsolete	1835
U-57	Notification of foreign utility company status filed under Section 33(a) of the Public Utility Holding Company Act of 1935 as amended.	Obsolete	2372
U5A	Notification of registration filed under Section 5(a) of the Holding Company Act.	Obsolete	1843
U5B	Registration statement filed pursuant to Section 5 of the Holding Company Act.	Obsolete	1844
U5S	Annual report for holding companies registered pursuant to section 5 of the act ('35 Act).	Obsolete	1306
U-6B-2	Certificate of Notification of security issue, renewal or guaranty filed pursuant to Rule 20(d).	Obsolete	242
U-7D	Certificate pursuant to Rule 7(d) of the Holding Company Act.	Obsolete	1771
U-9C-3	Quarterly report concerning energy and gas-related companies pursuant to Rule 58 of the Act.	Obsolete	2422
U-A	Facing sheet for amendments to applications, declarations, reports and statements.		1841
UNDER	Information pursuant to Item 4 of Form F-6.		
U-R-1	Declarations as to solicitations pursuant to Rule U-62.	Obsolete	1927
X-1	Record of borrowers of facts concerning credit collateralized by securities.		
X-15AA-1	Application for registration as a national securities association of affiliated securities association.		893
X-15AJ-1	Amendatory and/or supplementary statement to registration statement.		894
X-15AJ-2	Annual consolidated supplement.		895
X-17A-19	FOCUS REPORT: Report of change in membership status.		1414
X-17A-1A	FOCUS REPORT: Missing/Lost/Stolen/Counterfeit Securities Report.		1666

X-17A-5	FOCUS REPORT: Part I - Report of Financial Conditions.		1705
X-17A-5	FOCUS REPORT: Schedule I & General Instructions.		1675
X-17A-5	FOCUS REPORT: Report of Financial Conditions.		1705
X-17A-5	FOCUS REPORT: Part IIA - SEC 1696 & Instructions.		
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