

UNITED STATES  
SECURITIES AND EXCHANGE  
COMMISSION  
Washington, D.C. 20549

FORM TA-1

OMB Approval	
OMB Number:	3235-0084
Expires:	June 30, 2009
Estimated average burden hours per response	..... 2.00

UNIFORM FORM FOR REGISTRATION AS A TRANSFER AGENT AND FOR AMENDMENT  
TO REGISTRATION PURSUANT TO SECTION 17A OF THE  
SECURITIES EXCHANGE ACT OF 1934

GENERAL: Form TA-1 is to be used to register or amend registration as a transfer agent with the Comptroller of the Currency, the Board of Governors of the Federal Reserve System, the Federal Deposit Insurance Corporation or the Securities and Exchange Commission pursuant to Section 17A of the Securities Exchange Act of 1934.  
Read all instructions before completing this form. Please print or type all responses.

Form Version: 3.2.0

Check to show blank form for printing

1(a). Filer CIK:  1(b). Filer CCC:

1(c). Live/Test Filing?  Live  Test

1(d). Return Copy  Yes

1(e). Is this filing an amendment to a previous filing?  Yes

1(e)(i). File Number: 084 -

The registrant may provide a single e-mail address for contact purposes.

1(f)(i). Contact Name:  1(f)(ii). Contact Phone Number:  1(f)(iii). Contact E-mail Address:

The registrant may provide additional e-mail addresses for those persons the filer would like to receive notification e-mails regarding the filing.

1(g). Notification E-mail Address:

2. Appropriate regulatory agency (check one) :

- Securities and Exchange Commission
- Board of Governors of the Federal Reserve System
- Federal Deposit Insurance Corporation
- Comptroller of the Currency
- Office of Thrift Supervision

3(a). Full Name of Registrant:

3(a)(i). Previous name, if being amended:

3(b). Financial Industry Number Standard (FINS) number:

3(c). Address of principal office where transfer agent activities are, or will be, performed:

3(c)(i). Address 1

3(c)(ii). Address 2

3(c)(iii). City

3(c)(iv). State or Country

3(c)(v). Postal Code

3(d). Is Mailing address different from response to Question 3c?  
If "yes," provide address(es):

Yes

No

3(d)(i). Address 1

3(d)(ii).Address 2

3(d)(iii).City

3(d)(iv).State or Country

3(d)(v).Postal Code

3(e). Telephone Number  
(Include Area Code)

4. Does registrant conduct, or will it conduct, transfer agent activities at  
any location other than that given in question 3c above?  
If "yes," provide address(es):

Yes

No

4(a)(i). Address 1

4(a)(ii). Address 2

4(a)(iii). City

4(a)(iv). State or Country

4(a)(v). Postal Code

5. Does registrant act, or will it act, as a transfer agent solely for its own  
securities and/or securities of an affiliate(s)?

Yes

No

6. Has registrant, as a named transfer agent, engaged, or will it engage,  
a service company to perform any transfer agent functions?

Yes

No

If "yes," provide the name(s) and address(es) of all service companies engaged, or that will be  
engaged, by the registrant to perform its transfer agent functions:

6(a). Name:

6(b). File Number:  -

6(c)(i). Address 1

6(c)(ii). Address 2

6(c)(iii). City

6(c)(iv). State or Country

6(c)(v). Postal Code

7. Has registrant been engaged, or will it be engaged, as a service  
company by a named transfer agent to perform transfer agent functions?

Yes

No

If "yes," provide the name(s) and File Number(s) of the named transfer agent(s) for which the  
registrant has been engaged, or will be engaged, as a service company to perform transfer  
agent functions:

7(a). Name:

7(b). File Number:

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7(c)(i). Address 1

7(c)(ii). Address 2

7(c)(iii). City

7(c)(iv). State or Country

7(c)(v). Postal Code

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**Completion of Question 8 on this form is required by all independent, non-issuer registrants whose appropriate regulatory authority is the Securities and Exchange Commission. Those registrants who are not required to complete Question 8 should select "Not Applicable".**

8. Is registrant a:

- Corporation  
 Partnership  
 Sole Proprietorship  
 Other   
 Not Applicable

**Section for Initial Registration and for Amendments Reporting Additional Persons.  
(Corporation or Partnership)**

8(a)(i). Full Name

8(a)(ii). Relationship Start Date

8(a)(iii). Title or Status

8(a)(iv). Ownership Code

- NA - 0 to 5%  
 A - 5% up to 10%  
 B - 10% up to 25%  
 C - 25% up to 50%  
 D - 50% up to 75%  
 E - 75% up to 100%

8(a)(v). Control Person

8(a)(vi). Relationship End Date

**Section for Initial Registration and for Amendments Reporting Additional Persons.  
(Sole Proprietorship or Other)**

8(a)(i). Full Name

8(a)(ii). Relationship Start Date

8(a)(iii). Title or Status

8(a)(iv). Description of Authority

8(a)(v). Relationship End Date

**9. Does any person or entity not named in the answer to Question 8:**

9(a). directly or indirectly, through agreement or otherwise exercise or have the power to exercise control over the management or policies of applicant; or . . . . Yes No

9(a)(i). Exact name of each person or entity

9(a)(ii). Description of the Agreement or other basis

9(b). wholly or partially finance the business of applicant, directly or indirectly, in any manner other than by a public offering of securities made pursuant to

Yes No

the Securities Act of 1933 or by credit extended in the ordinary course of business by suppliers, banks and others ? . . . . .

**9(b)(i).** Exact name of each person or entity

**9(b)(ii).** Description of the Agreement or other basis

**10.Applicant and Control Affiliate Disciplinary History:**

The following definitions apply for purposes of answering this Question 10

- Control affiliate - An individual or firm that directly or indirectly controls, is under common control with, or is controlled by applicant. Included are any employees identified in 8(a), 8(b), 8(c) of this form as exercising control. Excluded are any employees who perform solely clerical, administrative support of similar functions, or who, regardless of title, perform no executive duties or have no senior policy making authority.
- Investment or investment related - Pertaining to securities, commodities, banking, insurance, or real estate (including, but not limited to, acting as or being associated with a broker-dealer, investment company, investment adviser, futures sponsor, bank, or savings and loan association).
- Involved - Doing an act of aiding, abetting, counseling, commanding, inducing, conspiring with or failing reasonably to supervise another in doing an act.

**10(a).** In the past ten years has the applicant or a control affiliate been convicted of or plead guilty or nolo contendere ("no contest") to:

**10(a)(1).** a felony or misdemeanor involving: investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, or bribery, forgery, counterfeiting or extortion? . . . . . Yes No

**10(a)(1)(i).** The individuals named in the Action

<b>10(a)(1)(ii).</b> Title of Action	<b>10(a)(1)(iii).</b> Date of Action
<input type="text"/>	<input type="text"/>

**10(a)(1)(iv).** The Court or body taking the Action and its location

**10(a)(1)(v).** Description of the Action

**10(a)(1)(vi).** The disposition of the proceeding

**10(a)(2).** any other felony? . . . . . Yes No

**10(a)(2)(i).** The individuals named in the Action

<b>10(a)(2)(ii).</b> Title of Action	<b>10(a)(2)(iii).</b> Date of Action
<input type="text"/>	<input type="text"/>

**10(a)(2)(iv).** The Court or body taking the Action and its location

**10(a)(2)(v).** Description of the Action

**10(a)(2)(vi).** The disposition of the proceeding

**10(b).** Has any court in the past ten years:

**10(b)(1).** enjoined the applicant or a control affiliate in connection with any investment-related activity? . . . . . Yes No

**10(b)(1)(i).** The individuals named in the Action

<b>10(b)(1)(ii).</b> Title of Action	<b>10(b)(1)(iii).</b> Date of Action

**10(b)(1)(iv).** The Court or body taking the Action and its location

**10(b)(1)(v).** Description of the Action

**10(b)(1)(vi).** The disposition of the proceeding

**10(b)(2).** found that the applicant or a control affiliate was involved in a violation of investment-related statutes or regulations? . . . . . Yes No

**10(b)(2)(i).** The individuals named in the Action

<b>10(b)(2)(ii).</b> Title of Action	<b>10(b)(2)(iii).</b> Date of Action

**10(b)(2)(iv).** The Court or body taking the Action and its location

**10(b)(2)(v).** Description of the Action

**10(b)(2)(vi).** The disposition of the proceeding

**10(c).** Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:

**10(c)(1).** found the applicant or a control affiliate to have made a false statement or omission? . . . . . Yes No

**10(c)(1)(i).** The individuals named in the Action

<b>10(c)(1)(ii).</b> Title of Action	<b>10(c)(1)(iii).</b> Date of Action

**10(c)(1)(iv).** The Court or body taking the Action and its location

**10(c)(1)(v).** Description of the Action

**10(c)(1)(vi).** The disposition of the proceeding

**10(c)(2).** found the applicant or a control affiliate to have been involved in a violation of its regulations or statutes? . . . . . Yes No

**10(c)(2)(i).** The individuals named in the Action

<b>10(c)(2)(ii).</b> Title of Action	<b>10(c)(2)(iii).</b> Date of Action
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**10(c)(2)(iv).** The Court or body taking the Action and its location

**10(c)(2)(v).** Description of the Action

**10(c)(2)(vi).** The disposition of the proceeding

**10(c)(3).** found the applicant or a control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted? . . . . . Yes No

**10(c)(3)(i).** The individuals named in the Action

<b>10(c)(3)(ii).</b> Title of Action	<b>10(c)(3)(iii).</b> Date of Action
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**10(c)(3)(iv).** The Court or body taking the Action and its location

**10(c)(3)(v).** Description of the Action

**10(c)(3)(vi).** The disposition of the proceeding

**10(c)(4).** entered an order denying, suspending or revoking the applicant's or a control affiliate's registration or otherwise disciplined it by restricting its activities? . . . . . Yes No

**10(c)(4)(i).** The individuals named in the Action

<b>10(c)(4)(ii).</b> Title of Action	<b>10(c)(4)(iii).</b> Date of Action
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**10(c)(4)(iv).** The Court or body taking the Action and its location

**10(c)(4)(v).** Description of the Action

**10(c)(4)(vi).** The disposition of the proceeding

**10(d).** Has any other Federal regulatory agency or any state regulatory agency: **10(d)(1).** ever found the applicant or a control affiliate to have made a false statement or omission or to have been dishonest, unfair, or unethical? . . . . . Yes No

**10(d)(1)(i).** The individuals named in the Action

<b>10(d)(1)(ii).</b> Title of Action	<b>10(d)(1)(iii).</b> Date of Action
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**10(d)(1)(iv).** The Court or body taking the Action and its location

**10(d)(1)(v).** Description of the Action

**10(d)(1)(vi).** The disposition of the proceeding

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**10(d)(2).** ever found the applicant or a control affiliate to have been involved in a violation of investment-related regulations or statutes? . . . . . Yes No

**10(d)(2)(i).** The individuals named in the Action

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<b>10(d)(2)(ii).</b> Title of Action	<b>10(d)(2)(iii).</b> Date of Action

**10(d)(2)(iv).** The Court or body taking the Action and its location

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**10(d)(2)(v).** Description of the Action

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**10(d)(2)(vi).** The disposition of the proceeding

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**10(d)(3).** ever found the applicant or a control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? . . . . . Yes No

**10(d)(3)(i).** The individuals named in the Action

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<b>10(d)(3)(ii).</b> Title of Action	<b>10(d)(3)(iii).</b> Date of Action

**10(d)(3)(iv).** The Court or body taking the Action and its location

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**10(d)(3)(v).** Description of the Action

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**10(d)(3)(vi).** The disposition of the proceeding

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**10(d)(4).** in the past ten years entered an order against the applicant or a control affiliate in connection with investment-related activity? . . . . . Yes No

**10(d)(4)(i).** The individuals named in the Action

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<b>10(d)(4)(ii).</b> Title of Action	<b>10(d)(4)(iii).</b> Date of Action

**10(d)(4)(iv).** The Court or body taking the Action and its location

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**10(d)(4)(v).** Description of the Action

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**10(d)(4)(vi).** The disposition of the proceeding

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**10(d)(5).** ever denied, suspended, or revoked the applicant's or a control affiliate's registration or license, or prevented it from associating with an investment-related business, or otherwise disciplined it by restricting its activities? . . . . . Yes No

**10(d)(5)(i).** The individuals named in the Action

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<b>10(d)(5)(ii).</b> Title of Action	<b>10(d)(5)(iii).</b> Date of Action

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**10(d)(5)(iv).** The Court or body taking the Action and its location

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**10(d)(5)(v).** Description of the Action

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**10(d)(5)(vi).** The disposition of the proceeding

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**10(d)(6).** ever revoked or suspended the applicant's or a control affiliate's license as an attorney or accountant? . . . . . Yes No

**10(d)(6)(i).** The individuals named in the Action

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**10(d)(6)(ii).** Title of Action

**10(d)(6)(iii).** Date of Action

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**10(d)(6)(iv).** The Court or body taking the Action and its location

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**10(d)(6)(v).** Description of the Action

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**10(d)(6)(vi).** The disposition of the proceeding

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**10(e).** Has any self-regulatory organization or commodities exchange ever:  
**10(e)(1).** found the applicant or a control affiliate to have made a false statement or omission? . . . . . Yes No

**10(e)(1)(i).** The individuals named in the Action

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**10(e)(1)(ii).** Title of Action

**10(e)(1)(iii).** Date of Action

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**10(e)(1)(iv).** The Court or body taking the Action and its location

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**10(e)(1)(v).** Description of the Action

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**10(e)(1)(vi).** The disposition of the proceeding

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**10(e)(2).** found the applicant or a control affiliate to have been involved in a violation of its rules? . . . . . Yes No

**10(e)(2)(i).** The individuals named in the Action

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**10(e)(2)(ii).** Title of Action

**10(e)(2)(iii).** Date of Action

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**10(e)(2)(iv).** The Court or body taking the Action and its location

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**10(e)(2)(v).** Description of the Action

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**10(e)(2)(vi).** The disposition of the proceeding

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**10(e)(3).** found the applicant or a control affiliate to have been the cause of an investment-related business losing its authorization to do business? . . . . . Yes No

**10(e)(3)(i).** The individuals named in the Action

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<b>10(e)(3)(ii).</b> Title of Action	<b>10(e)(3)(iii).</b> Date of Action

**10(e)(3)(iv).** The Court or body taking the Action and its location

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**10(e)(3)(v).** Description of the Action

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**10(e)(3)(vi).** The disposition of the proceeding

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**10(e)(4).** disciplined the applicant or a control affiliate by expelling or suspending it from membership, by barring or suspending its association with other members, or by otherwise restricting its activities? . . . . . Yes No

**10(e)(4)(i).** The individuals named in the Action

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<b>10(e)(4)(ii).</b> Title of Action	<b>10(e)(4)(iii).</b> Date of Action

**10(e)(4)(iv).** The Court or body taking the Action and its location

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**10(e)(4)(v).** Description of the Action

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**10(e)(4)(vi).** The disposition of the proceeding

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**10(f).** Has any foreign government, court, regulatory agency, or exchange ever entered an order against the applicant or a control affiliate related to investments or fraud? . . . . . Yes No

**10(f)(1)(i).** The individuals named in the Action

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<b>10(f)(1)(ii).</b> Title of Action	<b>10(f)(1)(iii).</b> Date of Action

**10(f)(1)(iv).** The Court or body taking the Action and its location

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**10(f)(1)(v).** Description of the Action

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**10(f)(1)(vi).** The disposition of the proceeding

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**10(g).** Is the applicant or a control affiliate now the subject of any proceeding that could result in a yes answer to questions 10(a) - 10(F)? Yes No

**10(g)(1)(i).** The individuals named in the Action

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<b>10(g)(1)(ii).</b> Title of Action	<b>10(g)(1)(iii).</b> Date of Action

**10(g)(1)(iv).** The Court or body taking the Action and its location

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10(g)(1)(v). Description of the Action

10(g)(1)(vi). The disposition of the proceeding

10(h). Has a bonding company denied, paid out on, or revoked a bond for the applicant or a control affiliate? . . . . . Yes No

10(h)(1)(i). The individuals named in the Action

10(h)(1)(ii). Title of Action

10(h)(1)(iii). Date of Action

10(h)(1)(iv). The Court or body taking the Action and its location

10(h)(1)(v). Description of the Action

10(h)(1)(vi). The disposition of the proceeding

10(i). Does the applicant or a control affiliate have any unsatisfied judgments or liens against it? . . . . . Yes No

10(i)(1)(i). The individuals named in the Action

10(i)(1)(ii). Title of Action

10(i)(1)(iii). Date of Action

10(i)(1)(iv). The Court or body taking the Action and its location

10(i)(1)(v). Description of the Action

10(i)(1)(vi). The disposition of the proceeding

**ATTENTION: INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACT  
CONSTITUTE FEDERAL CRIMINAL VIOLATIONS. See 18 U.S.C. 1001 and 15 U.S.C. 78ff  
(a)**

SIGNATURE: The registrant submitting this form, and as required, the SEC supplement and Schedules A-D, And the executing official hereby represent that all the information contained herein is true, correct and complete.

11(a). Signature of Official responsible for Form:

11(b). Telephone number:

11(c). Title of Signing Officer:

11(d).Date signed (Month/Day/Year):

**12. Related Documents/Attachments**

12(a). File Name:

12(b). Type of Attachment:

- COVER
- CORRESP
- GRAPHIC

**12(c).** Type of Attachment  
Additional Description:

**12(d).** Attachment Description:

**12(e).** File: