

Instructions for Wire Transfer (FEDWIRE) of SEC Filing Fees

United States Securities and Exchange Commission

Note: All companies that sell their securities to investors in United States markets are required to file certain information about their finances, ownership, and management with the SEC on a periodic basis. Other companies, such as mutual funds, and certain individuals who own securities are required to file reports with the SEC as well. There is a fee involved in many of these filings; the information that follows is designed for filers who anticipate submitting fee payments via wire transfer. The language is fairly technical.

Introduction

Entities required to submit SEC filings and the appropriate fees should be aware that the Federal Reserve mandated a change in the FEDWIRE format affecting banks and/or wire transfer services. These changes take effect between June 23, 1997 and December 29, 1997, depending on the initiating bank and/or wire service's agreement with the Federal Reserve. Filers should check with their bank and/or wire service for the appropriate wire transfer format.

This change affects SEC filers in several ways, such as:

- The format contains enhanced spacing to allow additional information about the wire in some of the fields.
- The previous format contained alphabetic acronym field identifiers (e.g., OBI=, RFB=) while the new tags are numeric (e.g., 2000, 3000, 4320). The FEDWIRE guide, which follows, provides explanations for each required numeric tag.
- The SEC adds a specific field to identify the payor, regardless of whether the payor is the registrant (see tag 6000).

Filers should note that inputting the special characters used to configure the wire in a readable format is the responsibility of the Federal Reserve or the bank and/or wire service.

Instructions

- **The following instructions only pertain to wire transfers.** These instructions do not discuss other methods of remitting fees to the SEC, such as lockbox transactions. You may contact the Branch of Fee Account Services at (202) 942-8989 for additional information on these other methods.
- The Federal Reserve **changed** the structure of the current FEDWIRE format to improve processing of wire transfers.

- Between June 23, 1997 and December 29, 1997, all fee payments to the SEC submitted via wire are converting to the new FEDWIRE format as shown in this document. This conversion will occur during the time frame noted above, according to each bank's or wire transfer service's specific agreement with the Federal Reserve.
- Because this phase-in occurs over a six-month period, this FEDWIRE guide provides information enabling the sender to remit fees in either the old or new format. The SEC required information in both formats is comparable.

General Information

- Mellon Bank in Pittsburgh, Pennsylvania, is the U.S. Treasury designated depository for SEC filing fee payments. The hours of operation at Mellon Bank are 8:30 a.m. to 6:00 p.m. eastern time.
- Any bank or wire transfer service may initiate wire transfers of filing fee payments through the FEDWIRE system to Mellon Bank. A filing entity does **not** need to establish an account at Mellon in order to remit filing fee payments.
- **To ensure proper credit and prompt filing acceptance, it is critical to include:**
 - *the SEC's account number at Mellon Bank (9108739) and*
 - *the payor's SEC-assigned CIK (Central Index Key) number (also known as the SEC-assigned registrant or payor account number) in all wire transfers of SEC filing fees.* You may refer to the [examples below](#) for the proper format.
- Wire transfers are not instantaneous. The time required to process a wire transfer through the FEDWIRE system, from origination to receipt by Mellon Bank, varies substantially. It is important that all filers discuss with their bank or wire transfer service their unique procedures and timing.
- The SEC advises filers to allow sufficient time to complete all transactions prior to submission of filings registering securities. These filings will not be accepted if sufficient funds have not been received by the SEC at the time of filing. Such filings include:
 - Registration statements pursuant to 6(b) of the Securities Act of 1933 that provides for the registration of securities and mandates the receipt of the appropriate fee payment upon filing (*e.g.*, filing submission types such as S-1, S-2, S-3, N-1A, N-2, F-1, F-2, and 24F-2NT); and
 - Transactional filings pursuant to the Securities Exchange Act of 1934 (*e.g.*, form types such as PRE CON, PREM14A* and

PREM14C* (*except when filed by a registered investment company)).

- All filers are advised to obtain from their bank or wire transfer service the "**FED**" **reference number** of the wire transfer. Having this number can greatly facilitate tracing the funds if any problems do occur.
- If a wire transfer of SEC filing fees does not contain the required information in the proper format, the SEC may not be able to identify the payor and **the acceptance of filings may be delayed**. To ensure proper credit, it is critical that all required information be provided to the sending bank or wire transfer service. SEC data must be inserted in the proper fields. The most critical data are the SEC's account number at Mellon Bank and the SEC-assigned account number identified as the CIK number. For additional information on filing fee procedures, please refer to 17 CFR 202.3a, Instructions for Filing Fees. If you have any questions, please contact the Branch of Fee Account Services at (202) 942-8989.

New FEDWIRE Field Tags and Terminology

Tag	Terminology	Format
{2000}	Transaction Dollar Amount - Total Wire Value (Example: \$250.00 formatted is 000000025000)	Total wire amount, no commas or decimals. The last two positions of the transaction dollar amount are for cents. 12 positions total.
{3100}	Sending (Initiating) Bank's ABA Number and Sending (Initiating) Bank's Name ABA = American Bankers Association	000123790 (9 positions) XYZ Bank
{3400}	Receiving Bank's ABA Number and Receiving Bank's Name	043000261 (9 positions) MELLON BANK PITTS
{4200}	Beneficiary Information (SEC's Account number at Mellon Bank, which always should be 9108739), Name of the beneficiary (which always should be Securities and Exchange Commission).	9108739 Securities and Exchange Commission
{4320}	Reference to Beneficiary. Only use this field if the SEC registrant and the payor are different. In this field, the unique CIK number is used for the registrant. In this field, the initials "CIK" should be entered immediately followed by the registrant's CIK number. (If the registrant and payor are the same, use only the {6000})	CIK350001

field.)

{5000}	Originator Information - Originating customer account number from sending bank, name of originating company address, city, state, and zip code.	12345 ABC CO 123 ABC PLAZA NEW YORK NY 10258
{6000}	Originator (Payor) to Beneficiary Information. This is the unique SEC identifier known as the CIK of the payor. Enter the initials "CIK" followed immediately by payor's CIK number. (If the registrant is not the payor, enter the registrant's CIK in the {4320} field, as shown above).	CIK1057656

NOTE: The numeric tags displayed in bold contain the wire information that you provide to the banks and/or wire service sending the wire. Your bank and/or wire service or the Federal Reserve will automatically enter the required special characters where appropriate prior to sending the wire to Mellon Bank.

Example and Description of the New Fedwire Format

Definition of New Fed Tag Values	New Fed Tag	Value
Transaction Dollar Amount (total wire value) with no decimal, no comma(s) (12 positions) (Example: \$250.00 = 000000025000)	{2000}	000000025000
Sending Bank's ABA Number (9 positions), and Sending Bank's Name	{3100}	000123790 XYZ BANK
Receiving Bank's ABA Number (9 positions), and Receiving Bank's Name	{3400}	043000261 MELLON BANK PITTS
Beneficiary Information (BNF) (SEC's Account Number at Mellon Bank) Beneficiary Name	{4200}	9108739 Securities & Exchange Comm
Reference to Beneficiary (RFB) Registrant's SEC-assigned CIK number if payor and registrant are different. In this field, enter the initials "CIK" followed immediately by the SEC-assigned CIK number. (Do not use spaces, blanks, or special characters).	{4320}	CIK350001
Originator Information (ORG) Originating customer account number from sending bank; name of originating company; and originator's address, city, state, and zip code.	{5000}	12345 ABC COMPANY 123 ABC PLAZA NEW YORK NY 10258
Originator to Beneficiary Information, (OBI) used to identify the SEC CIK number of the payor. In this field, enter the initials as "CIK" followed immediately by the SEC-assigned CIK number. An	{6000}	CIK1057656

example of this is CIK1057656. (Do not use spaces, blanks, or special characters.)

Examples

New Fedwire Format — Third Party Payor Submitting Payment for Filing

In this example: ABC Company, CIK1057656 is the payor having its wire payment submitted to Mellon Bank, and

XYZ Company, CIK 350001 is the registrant. See Tags {4320} (use when registrant and payor are not the same, and therefore have different CIK numbers) and {6000} (always payor's CIK).

New Fed Tag	Value
{2000}	000000025000
{3100}	000123790 XYZ BANK
{3400}	043000261MELLON BANK PITTS
{4200}	9108739 SECURITIES AND EXCHANGE COMMISSION
{4320}	CIK350001
{5000}	12345 ABC CO 123 ABC PLAZA NEW YORK NY 10258
{6000}	CIK1057656

New Fedwire Format — Registrant is the Payor

In this example: JJJ CO, CIK84685 is the payor and the registrant; therefore, tag {4320} is not used. Tag {6000} contains the CIK information for payment to match with the right account at the SEC.

New Fed Tag	Value
{2000}	000000025000
{3100}	00034690 NEW BANK
{3400}	043000261MELLON BANK PITTS
{4200}	9108739 SECURITIES AND EXCHANGE COMMISSION
{5000}	37774 JJJ CO 100 BIG PLAZA ALBANY NEW YORK NY 12714
{6000}	CIK84685

<http://www.sec.gov/info/edgar/fedwire.htm>