

Please photocopy this form, complete, and submit to the Commission's designee

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

OMB APPROVAL	
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**Registration Form  
Lost and Stolen Securities Program**

<b>A. Name of Institution.</b>		FINS Identification No.:
Mailing address: (Number and Street) (City) (State) (Zip Code)		
Name of person to Whom the bills should be directed:	Title:	Telephone Number: ( )
Name of Person Responsible for Institution's Compliance with Rule 17f-1 (if different from above):	Title:	Telephone Number: ( )
<b>B. Type of Institution.</b> Check all classifications listed below that describe the institution.		
<input type="checkbox"/> 1. Federal Reserve System Member. <input type="checkbox"/> 2. Bank whose deposits are insured by the Federal Deposit Insurance Corporation. <input type="checkbox"/> 3. National Securities Exchange. <input type="checkbox"/> 4. National Securities Exchange member. <input type="checkbox"/> 5. National Securities Exchange member firm. <input type="checkbox"/> 6. Registered Securities Association. <input type="checkbox"/> 7. Registered Securities Association member. <input type="checkbox"/> 8. Securities broker. <input type="checkbox"/> 9. Securities dealer. <input type="checkbox"/> 10. Municipal Securities dealer. <input type="checkbox"/> 11. Registered transfer agent. <input type="checkbox"/> 12. Registered clearing agency. <input type="checkbox"/> 13. Participant in a registered clearing agency.		
<b>C. Size of Institution.</b> Check the line below that describes the size of the Institution.		
Banks (those who checked 1 or 2 of B, above) <input type="checkbox"/> More than \$1 billion in deposits <input type="checkbox"/> \$500 million to \$1 billion in deposits <input type="checkbox"/> Less than \$500 million in deposits		
Securities Organization (those who checked 3 through 10 of B, above) <input type="checkbox"/> More than \$25 million in annual revenues <input type="checkbox"/> \$5 million to \$25 million in annual revenues <input type="checkbox"/> \$500,000 to \$5 million in annual revenues <input type="checkbox"/> Less than \$500,000 in annual revenues		
Non-Bank Transfer Agents (those who checked only Classification 11 of B, above) <input type="checkbox"/> That issued 100,000 shares or more last year <input type="checkbox"/> That issued less than 100,000 shares last year		
<b>A. Registration of Access Stations.</b>	Number of primary access stations:	Primary access station fee:
(See Special Instructions – Part II)	Number of secondary access stations:	Secondary access station fee:
<b>B. Optional Prompt Written confirmation Service.</b> (Check one)		
<input type="checkbox"/> We do not desire prompt written confirmation service. <input type="checkbox"/> We do desire prompt written confirmation service and agree to pay the fee for this service.		
<b>C. Agreement to Pay Fees.</b>		
We will participate in the Lost and Stolen Securities Program as a direct Inquirer. We agree to pay the Commission's designee the annual registration fee for each primary access station and for each secondary access station. We also agree to pay in advance, semi-annual usage fees, charges for optional services we request, and all sales, use and excise taxes, or other taxes, which may be levied on or in connection with the furnishing of the facilities or services of the Commission's designee. We understand that all fees are due and payable within ten days of the date of invoice.		
Signature of Authorized Institutional representative:		Primary access station fee:
Name of authorized Institutional Representative: (Please type or print)		Secondary access station fee:
Title of Authorized Institutional Representative: (Please type or print)		Effective date:

**PART III – INDIRECT INQUIRER**

We will participate in the Lost and Stolen Securities program as an Indirect Inquirer. We have entered into an agreement with the following registered director Inquirer, who will make inquiries on our behalf and we have a copy of this agreement on file available for inspection. We are aware that we will receive no direct confirmations from the Commission’s designee and that the institution that makes inquiries for us may pass through to us the costs of using the system on our behalf as well as additional service charges.

Name of Registered Direct Inquirer:

Name of Authorized Institutional Representative: *(Please type or print)*

Title of Authorized Institutional Representative: *(Please type or print)*

Effective date:

**PART IV**

**A. Agreement.** After reading the statement below, please sign in the space provided.

We understand that our participation in the Lost and Stolen securities Program is required by Rule 17f-1 (17 CFR §240,17f-1) under the Securities Exchange Act of 1934, as amended. We agree that we will make reports of missing, lost, counterfeit and stolen securities and make inquiries relative thereto, in accordance with Rule 17f-1 and instructions of the Commission or its designee.

We understand that the Securities and Exchange Commission has designated Securities Information Center, P.O. Box 9151, Boston, Massachusetts 02205-9151 (until September 30, 2002) to operate the Lost, Missing, Stolen and Counterfeit Securities Information System. The Commission’s designee will perform its work in a businesslike manner and in accordance with reasonable standards of care. It does not, however, guarantee the accuracy of any information contained in the records of the System or of the responses to Inquires concerning missing, lost, counterfeit and stolen securities furnished by it. The Commission’s designee shall not be liable for any unintentional delays, or for any damages arising therefrom or occasioned thereby, nor will it be liable for non-performance or interruption of services due to fire, storms, strikes, labor disputes or any causes beyond its control or due to the act or omission of any other person, firm or corporation.

Name of Registered Authorized Institutional Representative:

Date:

Name of Authorized Institutional Representative: *(Please type or print)*

Title of Authorized Institutional Representative: *(Please type or print)*

**B. Names and Signatures of Persons Making Reports on Behalf of the Institution.**

All reports of missing, lost, counterfeit or stolen securities and all reports of recoveries must be submitted on Form X-17F-1A and signed by an individual whose signature is on file with the Commission’s designee. All individuals having this authority should fill in the spaces below (attach additional pages on institution letterhead if necessary).

Signature of Authorized Institutional Representative

Date:

Name of Authorized Institutional Representative: *(Please type or print)*

Title of Authorized Institutional Representative: *(Please type or print)*

Signature of Authorized Institutional Representative

Date:

Name of Authorized Institutional Representative: *(Please type or print)*

Title of Authorized Institutional Representative: *(Please type or print)*

Signature of Authorized Institutional Representative:

Date:

Name of Authorized Institutional Representative: *(Please type or print)*

Title of Authorized Institutional Representative: *(Please type or print)*

Signature of Authorized Institutional Representative:

Date:

Name of Authorized Institutional Representative: *(Please type or print)*

Title of Authorized Institutional Representative: *(Please type or print)*

## Instructions for Registration Form Lost and Stolen Securities Program

### Completion and Filing of the Form.

All institutions completing and filing this form should fill in Part I and Part IV and either Part II or Part III of the form. Completed forms should be returned to the Commission's designee. The Commission's designee currently is, and until September 30, 2002 will continue to be securities Information Center, P.O. Box 9151, Boston, Massachusetts 02205-9151. The designee to operate the program after September 30, 2002 will be selected in accordance with the federal procurement procedures.

### Who Should Use This Form.

This form should be completed and filed by all institutions subject to Rule 17f-1 (CFR §240.17f-1) which are not exempt from the registration provisions of the rule and

1. Who have not submitted a Registration Form for the Lost and Stolen Securities Program to the Commission's designee, or
2. Who have submitted a Registration Form for the Lost and Stolen Securities Program to the Commission's designee and registered as Indirect Inquirer and desire to amend their prior registration form to either update the information submitted OR change their inquiry participation status.
  - The institution subject to Rule 17f-1 are as follows: every national securities exchange, member thereof, registered securities association, broker-dealer municipal securities dealer, registered transfer agent, registered clearing agency, participant therein, member of the Federal Reserve System and bank whose deposits are insured by the Federal Deposit Insurance Corporation.
  - Brokers and dealers whose only business is conducted on a national securities exchange and who do not conduct a public business, and brokers and dealers who limit their business to sales of variable contracts or limited partnership, are exempt from the registration provisions of Rule 17f-1. See 17 CFR §240.17f-1(b).

### Who Should Not Use This Form.

Institution should not complete or file this form if they have previously registered as an Indirect Inquirer in the Lost and Stolen securities Program by submission of a registration form to the Commission's designee and the data submitted thereon is current they do not desire to change their inquiry participation status. If an institution does not submit this form, the prior election of inquiry participation status will continue and be binding.

### *Special Instructions*

#### **Part I**

##### **A. FINS (Financial Industry Number Standard) Numbers**

If a company is uncertain as to whether it has a FINS number, it should consult the Depository Trust Company data base, its self-regulatory organization or its trade association. If an institution has not been assigned a FINS number, a number may be obtained at no cost by writing the Depository Trust Company, Attention: FINS Publication, 55 Water Street, 51<sup>st</sup> floor, New York, New York 10041. Information can also be obtained by accessing the Securities Information Center's website at [www.secic.com](http://www.secic.com), under *SIC and Registration*.

##### **B. Type of Institution**

If no classification describes the institution, the institution is not subject to Rule 17f-1. If the institution desires to participate in the Lost and Stolen Securities Program as a "permissive inquirer," a special application must be made to the Commission pursuant to paragraph (e) of Rule 17f-1 in accordance with the instructions given in Securities Exchange Act Release No. 12832 at 42 RF 41024 (August 12, 1977).

#### **Part II – Election of Inquiry Participation Status**

##### **A. Direct Inquirer**

To register as a Direct Inquirer, complete items A, B and C of Part II, in addition to Part I and Part IV. Direct Inquirers will be able to make inquiries of the database directly and will be charged usage fees and registration fees as described in the Appendix of Securities Exchange Act Release No. 15289.

##### **B. Registration of Access Stations**

Access stations are described in the Description of the System included in Securities Exchange Act Release No. 15289. An Institution registering as a Direct Inquirer must have at least one primary access station. Institutions establishing secondary access stations should append to this form a list of the titles, addresses, and names of the responsible individual for each secondary access station.

NOTE – Registrants should note that usage fees and registration fees have increased since Securities Exchange Act Release No. 15289 was published in 1978. To obtain current pricing information, registrants should contact the Commission's designee.

### **Part III – Election of Inquiry Participation Status**

#### **Indirect Inquirer**

To register as an Indirect Inquirer, complete Part III, in addition to Part I and Part IV. Indirect Inquirers will not be able to make inquiries directly of the system and must make arrangements with a registered Direct Inquirer to inquire on their behalf. Indirect Inquirers should be aware that the institution making inquiries on their behalf may assess costs and service charges.

Indirect Inquirers should make reports of loss directly.