

DFIN Regulatory Filing Coverage – Global Investment Companies – U.S.

Form Submission Types

Form N-1A - Open-End Fund (OEF)

Registration Statement Types	N-8A, N-1A, 485APOS, 485BPOS, 485BXT, POS AMI, 497, 497J, AW, RW, N-8F
Registration Statement for Business Combination	N-14, 425
Summary Prospectus	497K
Certified Shareholder Reports	N-CSR, N-CSRS
Annual Census Report	N-CEN
Portfolio Holdings Report	NPORT-NP, NPORT-P
Annual Report of Proxy Voting	N-PX
Fidelity Bond	40-17G
Certificate of Accounting	40-17F2
Annual Notice of Securities Sold	24F-2NT
Schedule of Portfolio Holdings for Money Market Funds	N-MFP3
Current Report for Money Market Fund Material Events	N-CR
Current Report for Liquidity Events	N-RN

Form N-2 – Closed-End Fund (CEF) (Listed/Non-Listed)

Registration Statement Types	N-8A, N-2, N-2ASR, N-2 POSASR, N-2MEF, POS462B, POS462C, POS 8C, POS AMI, POS EX, 486APOS, 486BPOS, 486BXT, 424B1, 424B2, 424B3, 424B4, 424B5, 424B7, 424B8, AW, RW, N-8F
Registration Statement for Business Combination	N-14 8C, 425
Certified Shareholder Reports	N-CSR, N-CSRS
Annual Census Report	N-CEN
Portfolio Holdings Report	NPORT-NP, NPORT-P
Annual Report of Proxy Voting	N-PX
Fidelity Bond	40-17G
Annual Notice of Securities Sold	24F-2NT (CEF-Interval Funds Only)
Current Report for Liquidity Events	N-RN
Free Writing Prospectus	FWP
Rule 482 advertising	497AD
Registration of a class of securities on an exchange pursuant to section 12(b) or 12(g)	8-A12B, 8-A12G
Notice to call or redeem own securities	N-23C-2
Notification of periodic repurchase	N-23C3A, N-23C3B, N-23C3C
Tender Offer Statements	SC TO-I, SC TO-C, SC TO-T
Proxy Statements	PRE 14A, PRER14A, DEF 14A, DEFA14A, DEFR14A
Section 13 – Beneficial Ownership	SCHEDULE 13G, SCHEDULE 13D
Section 16 – Beneficial Ownership	3, 4, 5
Notice of proposed sale of securities	144
Withdraw from Exchange	25

Form Submission Types

Form N-2 – Business Development Company (BDC) (Listed/Non-Listed)

Registration Statement Types	N-6F, N-54A, N-2, N-2ASR, N-2 POSASR, N-2MEF, POS462B, POS462C, POS 8C, POS EX, 486APOS, 486BPOS, 486BXT, 424B1, 424B2, 424B3, 424B4, 424B5, 424B7, 424B8, AW, RW, N-54C
Registration Statement for Business Combination	N-14 8C, 425
Annual Report	10-K
Quarterly Report	10-Q
Current Report	8-K
Fidelity Bond	40-17G
Current Report for Liquidity Events	N-RN
Free Writing Prospectus	FWP
Rule 482 advertising	497AD
Registration of a class of securities on an exchange pursuant to section 12(b) or 12(g)	8-A12B, 8-A12G
Tender Offer Statements	SC TO-I, SC TO-C, SC TO-T
Proxy Statements	PRE 14A, PRER14A, DEF 14A, DEFA14A, DEFR14A
Section 13 – Beneficial Ownership	SCHEDULE 13G, SCHEDULE 13D
Section 16 – Beneficial Ownership	3, 4, 5
Notice of proposed sale of securities	144
Withdraw from Exchange	25

Business Development Company (BDC) – Privately Offered

General Form of Registration of Securities	10-12G
Notification of election by BDCs	N-6F, N-54A
Notice of Exempt Offering of Securities	D
Annual Report	10-K
Quarterly Report	10-Q
Current Report	8-K
Fidelity Bond	40-17G
Tender Offer Statements	SC TO-I, SC TO-C, SC TO-T
Proxy Statements	PRE 14A, PRER14A, DEF 14A, DEFA14A, DEFR14A
Section 13 – Beneficial Ownership	SCHEDULE 13G, SCHEDULE 13D
Section 16 – Beneficial Ownership	3, 4, 5

DFIN Regulatory Filing Coverage – Global Investment Companies – U.S.

Form Submission Types	
Form N-4 – Variable Annuity and Non-Variable Annuity	
Form N-6 – Variable Life	
Registration Statement Types	N-8A, N-4, N-6, 485APOS, 485BPOS, 485BXT, POS AMI, 497, 497J, AW, RW, N-8F
Summary Prospectus	497VPI, 497VPU
Substitution-related supplement and correspondence	497VPSUB
Notice Document	N-VP
Financial Statements	N-VPFS
Annual Census Report	N-CEN
Annual and semi-annual reports mailed to investment company shareholders pursuant to Rule 30e-1 (other than those required to be submitted as part of Form N-CSR)	N-30D
Periodic and interim reports mailed to investment company shareholders (other than annual and semi-annual reports mailed to shareholders pursuant to Rule 30e-1)	N-30B-2
Annual Notice of Securities Sold	24F-2NT
Free Writing Prospectus	FWP
Rule 482 advertising	497AD

Form Submission Types	
Other EDGAR Forms	
Other Registration Forms	S-1, S-11, S-20, S-3, S-4, S-6, S-8, F-1, F-10, F-3, F-4, F-6, F-7, F-8
Other Reports	10-D, 11-K, 18-K, 20-F, 40-F, 6-K, ABS-15G, ABS-EE, SD
Exemptive Applications	40-6B, 40-APP, 40-OIP
Form 13F - Institutional Investment Managers, 13(f) securities	13F-HR, 13F-NT, 13F-CTR
Form SHO - Institutional Investment Managers – short position/short sale activity	SHO
Form 13H - Large Traders	13H, 13H-A, 13H-Q, 13H-T, 13H-I, 13H-R
Broker-Dealers	X-17A-5 (Part III), 17HACON, 17HQCON
Transfer Agents	TA-1, TA-2, TA-W
IARD Forms	
Form PF – Investment Adviser – Private Funds	PF
CFTC – XML Preparation	
Form CPO-PQR – Commodity Pool Operators	CPO-PQR

DFIN Regulatory Filing Coverage – Global Investment Companies – EU

LONG NAME	ACRONYM
European PRIIPs Template	EPT 2.0
European PRIIPs Template	EPT 2.1
Comfort European PRIIPs Template	CEPT (RHP and Price)
Comfort European PRIIPs Template	CEPT V2.0 (RHP and Price)
European MiFID Template	EMT 4.0
European MiFID Template	EMT 4.1
Fair Value Price Template	FVPT
DC Workplace Pensions Template	DCPT
Key Information Document (Europe)	PRIIPs KID
Key Information Document (UK)	PRIIPs KID UK
Performance Scenario Report – Monthly	PRIIPs Performance Scenario
Key Investor Information Document	UCITS KIID