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Form N-SAR XML Technical Specification

Version 1

~~April~~ No sooner than January 14, 2013~~2012~~

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DRAFT DISCLAIMER:

This draft Form N-SAR XML Technical Specification, posted before Commission approval of potential regulatory changes in this release, is provided as a service to our filing community to assist filers, agents, and software developers in their preparation of responses to potential changes the staff anticipates. Since this is a draft technical specification, the SEC retains the right to change any part of the technical specification before the new system release is made final. In addition, the final Form N-SAR XML Technical Specification is subject to Commission approval and may be revised before approval or not approved at all. Similarly, the posting of the draft technical specification does not indicate Commission approval of any pending proposed changes relating to the potential changes reflected in the draft technical specification. The changes outlined in this draft technical specification, if approved, are scheduled to take effect ~~on April 9,~~no sooner than January 14, 2013-2012. The final version of the technical specification will be made available if approved by the Commission ~~on or about April 9, 2012~~no sooner than January 14, 2013, on the SEC's Public Website.

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1. INTRODUCTION

1.1 Purpose

This document details the valid structure and content of the N-SAR Electronic Data Gathering, Analysis, and Retrieval (EDGAR) Extensible Markup Language (XML) submission types. The following tables list the submission types for N-SAR.

Table 1-1: NSAR

SUBMISSION TYPE	DESCRIPTION
NSAR-A	Semi-Annual Report
NSAR-A/A	Amendment to Semi-Annual Report
NSAR-AT	Transition Semi-Annual Report
NSAR-AT/A	Amendment to Transition Semi-Annual Report
NSAR-B	Annual Report
NSAR-B/A	Amendment to Annual Report
NSAR-BT	Transition Annual Report
NSAR-BT/A	Amendment to Transition Annual Report
NSAR-U	Annual Report for Unit Investment Trusts
NSAR-U/A	Amendment to an Annual Report for Unit Investment Trusts

Table 1-2: NSAR-U

SUBMISSION TYPE	DESCRIPTION
NSAR-U	Semi-Annual Report <u>Annual Report for Unit Investment Trusts</u>
NSAR-U/A	Amendment to Semi-Annual Report <u>Amendment to an Annual Report for Unit Investment Trusts</u>

This specification provides the basis for creating the aforementioned submission types for Form N-SAR XML submissions. Filers must use this technical specification to generate a Form N-SAR XML filing that can be successfully parsed by the EDGAR system.

The Form N-SAR submission file must conform to the EDGAR Form N-SAR Submission Taxonomy. This taxonomy is comprised of a collection of XML Schema Definition (.xsd) files that define the structures of EDGAR Form N-SAR submissions.

The NSAR XML submissions can be transmitted to the SEC via the EDGAR FilerWeb (<https://www.edgarfiling.sec.gov/>) or the “Transmit XML Submission” option from the EDGAR OnlineForms/XML Website (<https://www.onlineforms.edgarfiling.sec.gov/>).

In order to use the EDGAR FilerWeb or OnlineForms/XML Website, you must have a Central Index Key (CIK) and EDGAR access codes (password, CIK confirmation code (CCC)). If you currently have a CIK and access codes, you can proceed to the EDGAR FilerWeb or OnlineForms/XML Website to submit your submission. If you do not have access codes, you

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will need to obtain access codes through the EDGAR Filer Management website, <https://www.filermanagement.edgarfiling.sec.gov>. For further information regarding how to obtain access codes, refer to the “Becoming an EDGAR Filer” section of the EDGAR Filer Manual, Volume I (General Information).

For further information regarding the EDGAR FilerWeb or OnlineForms/XML Website, specifically in regards to the transmission of filer-constructed submissions, refer to the Filer-Constructed XML Submissions section of the EDGAR Filer Manual, Volume II (EDGAR Filing).

All volumes of the Filer Manual are available on the SEC’s Public Website: <http://www.sec.gov>.

1.2 Summary of Changes

The following corrections have been made to the draft technical specifications (also redlined in the document):

- The expected date was changed to be no later than the fourth quarter of 2012.
- Table 1-1 was updated to remove the NSAR-U references.
- Table 1-2 was updated with the correct NSAR-U descriptions.
- The “Max Length” description in Table 3-1 was updated to include more than string elements.
- The “date” data type outlined in Section 3.2 was updated to reflect the mm-dd-yyyy format.
- The “decimal” data type outlined in Section 3.2 was updated to correctly identify the constraints.
- A new data type of “-decimal” was created in Section 3.2.
- The “integer” data type outlined in Section 3.2 was updated to correctly identify the constraints.
- A new data type of “-integer” was created in Section 3.2
- The “street” elements on pages 3-6 and 3-28, used to capture the Registrant’s address, were updated to allow a maximum of 82 characters to account for both the EDGAR standard street 1 and street 2 fields.
- The “seriesTotal” element on page 3-6, used to capture the series or portfolios the Registrant has at the end of the period, has been updated to allow for 4 characters to account for a maximum of 1000.
- The “custodianMaint” element on page 3-10 was removed and the “isPursuantRule17f4” element’s level and order was adjusted accordingly.
- The “irsNumber” elements on page 3-10 and 3-11 have been updated to be conditionally required based on the parent being provided. These fields are no longer optional and should be “00-0000000” if the IRS number is unknown.
- Questions 70 through 76 have been further broken down, beginning on page 3-18. The element “questions70 76” has been removed and a new “question70” element was created.
- New elements “question71”, “seriesInfo”, and “seriesId”, have been created to capture the restructuring on page 3-20.

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- New elements “questions82 76”, “seriesInfo”, and “seriesId” have been created to capture the restructuring of Questions 70 through 76, beginning on page 3-20.
- Many of the “integer” data types on page 3-21 have been updated to allow negative values. Their data type has been changed to “-integer”.
- The “netAssetsPerShare” and “netAssetsPerShareSecondClassOpenEndComp” elements on page 3-23 have been updated to allow negative values. Their data type has been changed to “-Decimal”.
- The “m2mNetAssetMoneyMarketFunds” element on page 3-23 has been updated to allow 5 digits before the decimal.
- The “cityOf” element in the signature block on page 3-26 has been updated to restrict the field to 30 characters. The change was also made to the NSAR-U schema, identified on page 3-29.
- The “name” fields for the Signer and Witness on pages 3-26 and 3-27 have been updated to allow 150 characters. The change was also made to the NSAR-U schema, identified on page 3-29.
- The “title” fields for the Signer and Witness on pages 3-26 and 3-27 have been updated to allow 60 characters. The change was also made to the NSAR-U schema, identified on page 3-29.
- Bullet number 3 of Section 5.2.2.1 on page 5-2 was updated to ensure the full range of EDGAR exhibits is permitted.
- Table 5-1 on page 5-3 was corrected to account for the “EU-1” document type and exhibits.
- Table 7-1 on page 6-2 was updated to include sample NSAR-A (with ICT N-4), NSAR-A (with ICT S-6), and NSAR-U/A submission files.

The following corrections have been made to the draft technical specifications (also redlined in the document) after the draft posted on 7/26/2012:

- Updated the “o#1” description in the table on page 3-3 to indicate including these elements will cause the submission to suspend.
- The “seriesId” element on page 3-5 was updated to correctly reference a maximum of 1 as outlined in the schema.
- The “rptClassId” element was updated to correctly reference the “classId” element within the schema on page 3-5.
- The “rptIncludeAllClassesFlag” element on page 3-5 was updated to correctly reference a maximum of 1 as outlined in the schema.
- The “administrator” element on page 3-7 was updated to correctly reference a maximum of 1000 as outlined in the schema.
- The “ofNext” element was made optional on page 3-14.
- The “assetValue” and “annualFeeRate” elements on page 3-14 have been made conditionally required based on the parent being provided.

2. EDGAR SCHEMA FILES

Table 2: Form N-SAR Schema Files describes the schema files that the EDGAR system uses to validate Form NSAR submissions. These schemas are considered part of this specification and are distributed with this document.

Table 2-1: Form N-SAR Schema Files

XML Schema File	Scope of File
eis_Common.xsd	Defines the common elements for all EDGAR submissions
eis_NSAR_Common.xsd	Defines the common elements for a Form N-SAR submission
eis_NSAR_Filer.xsd	Defines the elements for a Form N-SAR submission
eis_NSARU_Filer.xsd	Defines the elements for an NSAR-U submission
eis_Common_SC.xsd	Defines the Series and Class elements for all EDGAR submissions
eis_CountryCodes.xsd	Defines the Country codes to be used for a Form N-SAR submission
eis_stateCodes.xsd	All State Codes

The schema files define the valid data elements for a Form N-SAR submission, the hierarchy and sequencing of these elements, data types, valid values, maximum lengths, and number of occurrences, etc.

It is recommended that you download these files and use them for your own validation prior to submitting a filing. This will greatly reduce the likelihood of receiving an EDGAR Suspense error. These schema files contain several annotations that describe the nature of the content of some of the elements.

EDGAR performs several validation checks that are not related to the schema files, so it is possible for a submission to meet all the schema constraints and still be SUSPENDED or BLOCKED. For instance, EDGAR verifies that each CIK/CCC pair is valid.

2.1 Schema Table Column Definitions

We assume the filer is familiar with the basics of the XML language, Namespaces, and the XML Schema Definition language. If not, you can find numerous references on the World Wide Web. One recommended website that provides several useful tutorials and examples is <http://www.w3schools.com/>.

The table below highlights the schema language features used most heavily in the EDGAR NSAR submission schema files. These are:

Table 2-2: Schema Language

Indicator	Purpose
<sequence>	Specifies that child elements must appear in a specific order. This indicator is used with each element hierarchy. Elements must always appear in the order shown in Sections 3.4.1.1 and 3.4.1.2
<choice>	Specifies that only one of the child elements can be present within the containing element.
<minOccurs>	Specifies the minimum number of times that an element can occur
<maxOccurs>	Specifies the maximum number of times that an element can occur

The default value for the <minOccurs> and <maxOccurs> indicators is 1. An optional field will have a <minOccurs> value of zero.

This excerpt is from the eis_NSAR_Filer.xsd schema file and includes some of these indicators:

```
<xs:complexType name="BROKER_INFO">
  <xs:sequence>
    <xs:element name="broker" type="BROKER" maxOccurs="10"/>
    <xs:element name="aggregateCommission" type="ns3:INTEGER_NONNEGATIVE_11"/>
  </xs:sequence>
</xs:complexType>
```

This is a sample of XML that conforms to the schema definition above:

```
<edgarSubmission>
  ...
  <brokerInfo>
    <broker>
      <brokerName>a</brokerName>
      <irsNumber>00_0000000</irsNumber>
      <grossCommission>12345678912</grossCommission>
    </broker>
    <aggregateCommission>12345678912</aggregateCommission>
  </brokerInfo>
  ...
</edgarSubmission>
```

3. XML SCHEMAS

This section summarizes the restrictions and constraints imposed on the content of the eight NSAR submission types. These rules are enforced by the schema files and by EDGAR submission processing applications.

The schema files cannot enforce all the rules concerning data content, so it is possible for a submission to satisfy all the schema constraints and still be **SUSPENDED** or **BLOCKED** by EDGAR.

3.1 Schema Table Column Definitions

The following defines the columns in the two schema summation tables provided in Sections 3.4.1.1 and 3.4.1.2:

Table 3-1: Column Definitions for the Tables in Section 3-4

Column Name	Description
Level	Depth of element in the XML node hierarchy.
Order	Order in which elements must appear.
Data Type	See Table 3.2 for a detailed description.
Element Name	Name of the XML element. This is case-sensitive
Max Length	Maximum length for string elements. EDGAR database stores up to this number of characters. "Unlimited" means no maximum length constraint for the element value.
Data Value Constraint	The paragraph that describes the data value constraint for the element. The values specified are case sensitive.
Max Occur	Maximum times a set of elements may be repeated. The maximum occurrence is 1, if not specified.
Applicability of Element	Indicates applicability of the element. m = Mandatory o = Optional NA = Does not apply. EDGAR uses this element for server-side processing. Do not provide a value for this element.

3.2 Data Type Constraints

Each entry in the “Data Type” column of these tables will be one of these values:

Data Type	Constraints										
boolean	<p>Indicate a “true” value with either a “1” or the word “true.”</p> <p>Indicate a “false” value with either a “0” or the word “false.”</p> <p>A boolean element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.</p>										
date	<p>Must be of the format YYYY-MM-DDMM-DD-YYYY. A date element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. Do not include a date element at all if your goal is to not provide an optional date.</p>										
decimal	<p>Only valid characters are 0-9 and a period. Cannot contain commas, a minus sign, a dollar sign, or parentheses. EDGAR stores up to four decimal places.</p> <p>A decimal element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. Do not include a decimal element at all if your goal is to not provide an optional number.</p> <p>Minimum allowable value = 0.0</p> <p>Maximum allowable value = 999999999999.9999The Max Length for decimal fields contains notation in the format of x.y. X represents the number of characters permitted before the decimal and Y represents the number of characters permitted after the decimal.</p>										
<u>-decimal</u>	<u>Same as noted above for decimal, except negative values are permitted; the minus sign is allowable.</u>										
<u>integer</u>	<p><u>Only valid characters are 0-9. Cannot contain commas, a minus sign, a dollar sign, or parentheses.</u></p> <p><u>An integer element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.</u></p>										
<u>-integer</u>	<u>Same as noted above for integer, except negative values are permitted; the minus sign is allowable.</u>										
string	<p>Should be no longer than the length shown in the tables in Sections 3.4.1.1 and 3.4.1.2.</p> <p>EDGAR stores values in the <footnote>, <signatureName>, and <contactEmailAddress> elements exactly as provided. All other values are stored in the database as uppercase.</p> <p>You must use special escape sequences to represent these four characters:</p> <table data-bbox="581 1341 1034 1572"> <tr> <th>Character</th><th>Escape Sequence</th></tr> <tr> <td><</td><td>&lt; or &#60;</td></tr> <tr> <td>></td><td>&gt; or &#62;</td></tr> <tr> <td>&</td><td>&amp; or &#38;</td></tr> <tr> <td>“</td><td>&quot; or &#34;</td></tr> </table>	Character	Escape Sequence	<	< or <	>	> or >	&	& or &	“	" or "
Character	Escape Sequence										
<	< or <										
>	> or >										
&	& or &										
“	" or "										
ID, IDREF	Used for linking footnotes to data fields. Must start with a capital “F,” which must be followed by a number from 1 to 99										
NV	These fields cannot have a value. They are parent element nodes that contain other XML elements. These elements need to be present for proper validation.										
Attr	Attribute property for an XML element										

3.3 Applicability of Schema Elements

Each entry in the submission/document type columns in the tables in Sections 3.4.1.1 and 3.4.1.2 will have one of these values:

Value	Description
m	Mandatory
m#	Conditional Mandatory. The element is mandatory if its parent element is included. The element cannot be included if its parent is not included.
m#1	Conditional Mandatory. The element is mandatory if specific values are provided for other elements.
m#2	This element is required for correct processing of the submission type.
m#3	This element is required for correct processing of Closed-End Investment ICTs.
o	Optional
o#1	Optional in the Schema but not applicable to the submission. <u>Inclusion of element in filing will cause submission to suspend.</u>
NA	Does not apply to submission type. EDGAR uses this field for server-side processing. Do not provide a value for this element.
blank	Does not apply to submission type.

3.4 Mapping of NSAR Submission Schemas to Submission Types

3.4.1.1 Mapping of NSAR Submission Schema to Submission Type

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
1	1	NV	edgarSubmission			1	m	m	m	m	m	m	m	m
2	1	String	schemaVersion	5		1	o	o	o	o	o	o	o	o
2	2	NV	headerData			1	m	m	m	m	m	m	m	m
3	1	String	submissionType	10	SUBMISSION_TYPE	1	m	m	m	m	m	m	m	m
3	2	NV	filerInfo			1	m	m	m	m	m	m	m	m
4	1	String	liveTestFlag		LIVE_TEST_TYPE	1	m	m	m	m	m	m	m	m
4	2	NV	flags			1	o	o	o	o	o	o	o	o
5	1	boolean	confirmingCopyFlag		"true" or "false"	1	o	o	o	o	o	o	o	o
5	2	boolean	returnCopyFlag		"true" or "false"	1	o	o	o	o	o	o	o	o
5	3	boolean	overrideInternetFlag		"true" or "false"	1	o	o	o	o	o	o	o	o
4	1	String	accessionNumber			1	NA	m#2	NA	m#2	NA	m#2	NA	m#2
4	2	NV	contact			1	o	o	o	o	o	o	o	o
5	1	NV	contactNamePhone			1	o	o	o	o	o	o	o	o
6	1	String	name	30		1	o	o	o	o	o	o	o	o
6	2	String	phoneNumber	20		1	o	o	o	o	o	o	o	o
5	1	String	contactEmail	80		1	o	o	o	o	o	o	o	o
4	1	NV	filer			1	m	m	m	m	m	m	m	m
5	1	String	filerId	10		1	m	m	m	m	m	m	m	m
5	2	String	filerCcc	8		1	m	m	m	m	m	m	m	m
5	3	String	filerFileNumber	17		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
4	1	NV	coregs			1	o	o	o	o	o	o	o	o

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
5	1	NV	filer			1	m#	m#	m#	m#	m#	m#	m#	m#
6	1	String	filerId	10		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	fileCcc	8		1	m#	m#	m#	m#	m#	m#	m#	m#
6	3	String	filerFileNumber	17		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
4	1	NV	sros			1	m	m	m	m	m	m	m	m
5	1	String	srold		SRO TYPE	13	m	m	m	m	m	m	m	m
4	1	Date	periodOfReport			1	m	m	m	m	m	m	m	m
4	1	String	invCompany		INV_COMPANY TYPE	1	m	m	m	m	m	m	m	m
4	1	NV	notifications			1	o	o	o	o	o	o	o	o
5	1	String	internetNotificationAddress	80		Unlimited	m#	m#	m#	m#	m#	m#	m#	m#
3	1	NV	seriesClasses			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
4	1	NV	reportSeriesClass			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
5	1	boolean	rptIncludeAllSeriesFlag		"true" or "false"	1	m#	m#	m#	m#	m#	m#	m#	m#
5	2	NV	rptSeriesClassInfo			Unlimited	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	1	String	seriesId	10		Unlimited 1	m#	m#	m#	m#	m#	m#	m#	m#
7	1	boolean	includeAllClassesFlag		"true" or "false"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	String	rptClassId classId	10		Unlimited	m#	m#	m#	m#	m#	m#	m#	m#
4	2	NV	reportClass			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
5	1	boolean	rptIncludeAllClassesFlag		"true" or "false"	Unlimited 1	m#	m#	m#	m#	m#	m#	m#	m#
5	2	String	rptClassId	10		Unlimited	m#	m#	m#	m#	m#	m#	m#	m#
2	3	NV	formData			1	m	m	m	m	m	m	m	m
3	1	Date	reportDate			1	m	m	m	m	m	m	m	m
3	2	String	isTransition	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	3	String	isAmendment	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	4	NV	registrantInfo			1	m	m	m	m	m	m	m	m
4	1	String	name	150		1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
4	2	String	fileNumber	17		1	m	m	m	m	m	m	m	m
4	3	String	phoneNumber	20		1	m	m	m	m	m	m	m	m
4	4	NV	registrantAddress			1	m	m	m	m	m	m	m	m
5	1	String	street	4082		1	m	m	m	m	m	m	m	m
5	2	String	city	30		1	m	m	m	m	m	m	m	m
5	3	NV	stateOrCountry			1	m	m	m	m	m	m	m	m
6	1	String	state		US STATE CODES	1	m	m	m	m	m	m	m	m
6	2	String	foreignCountry		COUNTRY CODE	1	m	m	m	m	m	m	m	m
5	4	NV	code			1	m	m	m	m	m	m	m	m
6	1	String	zipCode	10		1	m	m	m	m	m	m	m	m
6	2	String	foreignPostalCode	10		1	m	m	m	m	m	m	m	m
3	5	String	isFirstFiling	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	6	String	isLastFiling	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	7	String	isSmallBusiness	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	8	String	isUIT	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	9	String	hasSeries	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	10	Integer	seriesTotal	34		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
3	11	NV	seriesInfo			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
4	1	NV	series			1000	m#	m#	m#	m#	m#	m#	m#	m#
5	1	String	seriesNumber	1000		1	m#	m#	m#	m#	m#	m#	m#	m#
5	2	String	seriesId	10		1	m#	m#	m#	m#	m#	m#	m#	m#
5	3	String	seriesName	150		1	m#	m#	m#	m#	m#	m#	m#	m#
5	4	String	isLastFiling	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
3	12	NV	adviserInfo			1	o	o	o	o	o	o	o	o
4	1	NV	seriesInvestAdviser	1		1000	o	o	o	o	o	o	o	o
5	1	String	seriesId	10		1	m#	m#	m#	m#	m#	m#	m#	m#
5	2	NV	investAdviser			1000	m#	m#	m#	m#	m#	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
5	2	Attr	adviserType		adviserType	1	m#	m#	m#	m#	m#	m#	m#	m#
6	1	String	name	150		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	fileNumber	17		1	m#	m#	m#	m#	m#	m#	m#	m#
6	3	String	city	30		1	m#	m#	m#	m#	m#	m#	m#	m#
6	4	NV	stateOrCountry			1	m#	m#	m#	m#	m#	m#	m#	m#
7	1	String	state	2	US STATE CODES	1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	String	foreignCountry	2	COUNTRY CODE	1	m#	m#	m#	m#	m#	m#	m#	m#
6	5	NV	code			1	m#	m#	m#	m#	m#	m#	m#	m#
7	1	String	zipCode	10		1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	String	foreignPostalCode	10		1	m#	m#	m#	m#	m#	m#	m#	m#
3	13	NV	administratorInfo			1	o	o	o	o	o	o	o	o
4	1	NV	seriesAdministrator			1000	m#	m#	m#	m#	m#	m#	m#	m#
5	1	String	seriesId	10		1	m#	m#	m#	m#	m#	m#	m#	m#
5	2	NV	administrator			Unlimited 1000	m#	m#	m#	m#	m#	m#	m#	m#
6	1	String	name	150		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	fileNumber	17		1	o	o	o	o	o	o	o	o
6	3	String	city	30		1	m#	m#	m#	m#	m#	m#	m#	m#
6	4	NV	stateOrCountry			1	m#	m#	m#	m#	m#	m#	m#	m#
7	1	String	state		US STATE CODES	1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	String	foreignCountry		COUNTRY CODE	1	m#	m#	m#	m#	m#	m#	m#	m#
6	5	NV	code			1	m#	m#	m#	m#	m#	m#	m#	m#
7	1	String	zipCode	10		1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	String	foreignPostalCode	10		1	m#	m#	m#	m#	m#	m#	m#	m#
3	14	NV	underwriterInfo			1	o	o	o	o	o	o	o	o
4	1	NV	seriesUnderwriters			1000	m#	m#	m#	m#	m#	m#	m#	m#
5	1	String	seriesId	10		1	m#	m#	m#	m#	m#	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
5	2	NV	underwriter			1000	m#	m#	m#	m#	m#	m#	m#	m#
6	1	String	name	150		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	fileNumber	17		1	m#	m#	m#	m#	m#	m#	m#	m#
6	3	String	city	30		1	m#	m#	m#	m#	m#	m#	m#	m#
6	4	NV	stateOrCountry			1	m#	m#	m#	m#	m#	m#	m#	m#
7	1	String	state		US STATE CODES	1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	String	foreignCountry		COUNTRY CODE	1	m#	m#	m#	m#	m#	m#	m#	m#
6	5	NV	code			1	m#	m#	m#	m#	m#	m#	m#	m#
7	1	String	zipCode	10		1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	String	foreignPostalCode	10		1	m#	m#	m#	m#	m#	m#	m#	m#
3	15	NV	shareholderInfo			1	o	o	o	o	o	o	o	o
4	1	NV	seriesShreholderAgent			1000	m#	m#	m#	m#	m#	m#	m#	m#
5	1	String	seriesId	10		1	m#	m#	m#	m#	m#	m#	m#	m#
5	2	NV	shareholderAgent			1000	m#	m#	m#	m#	m#	m#	m#	m#
5	3	String	name	150		1	m#	m#	m#	m#	m#	m#	m#	m#
5	4	String	fileNumber	17		1	m#	m#	m#	m#	m#	m#	m#	m#
5	5	String	city	30		1	m#	m#	m#	m#	m#	m#	m#	m#
5	6	String	state	2	US STATE CODES	1	m#	m#	m#	m#	m#	m#	m#	m#
5	7	String	zip	10		1	m#	m#	m#	m#	m#	m#	m#	m#
3	16	NV	accountantInfo			1	m	m	m	m	m	m	m	m
4	1	NV	seriesAccontants			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	NV	accountant			1000	m	m	m	m	m	m	m	m
6	1	String	name	150		1	m	m	m	m	m	m	m	m
6	2	String	fileNumber	17		1	o#1	o#1	o#1	o#1	o#1	o#1	o#1	o#1
6	3	String	city	30		1	m	m	m	m	m	m	m	m
6	4	NV	stateOrCountry			1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
7	1	String	state		US STATE CODES	1	m	m	m	m	m	m	m	m
7	2	String	foreignCountry		COUNTRY CODE	1	m	m	m	m	m	m	m	m
6	5	NV	code			1	m	m	m	m	m	m	m	m
7	1	String	zipCode	10		1	m	m	m	m	m	m	m	m
7	2	String	foreignPostalCode	10		1	m	m	m	m	m	m	m	m
3	17	NV	brokerDealerInfo			1	o	o	o	o	o	o	o	o
4	1	NV	seriesBrokerDealers			1000	m#	m#	m#	m#	m#	m#	m#	m#
5	1	String	seriesId	10		1	m#	m#	m#	m#	m#	m#	m#	m#
5	2	NV	brokerDealers			1000	m#	m#	m#	m#	m#	m#	m#	m#
6	1	String	name	150		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	fileNumber	17		1	m#	m#	m#	m#	m#	m#	m#	m#
3	18	NV	custodianInfo			1	m	m	m	m	m	m	m	m
4	1	NV	seriesCustodians			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	NV	custodian			1000	m	m	m	m	m	m	m	m
5	2	Attr	custodianType		custodianType	1	m	m	m	m	m	m	m	m
6	2	String	name	150		1	m	m	m	m	m	m	m	m
6	3	String	fileNumber	17		1	o#1	o#1	o#1	o#1	o#1	o#1	o#1	o#1
6	4	String	city	30		1	m	m	m	m	m	m	m	m
6	5	NV	stateOrCountry			1	m	m	m	m	m	m	m	m
7	1	String	state	2	US STATE CODES	1	m	m	m	m	m	m	m	m
7	2	String	foreignCountry	2	COUNTRY CODE	1	m	m	m	m	m	m	m	m
6	6	NV	code			1	m	m	m	m	m	m	m	m
7	1	String	zipCode	10		1	m	m	m	m	m	m	m	m
7	2	String	foreignPostalCode	10		1	m	m	m	m	m	m	m	m
6	6	NV	typeOfCustody		TYPE OF CUSTODY	1	m	m	m	m	m	m	m	m
3	19	NV	custodianMaintInfo			1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
4	1	NV	seriesCustodianMaint			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	NV	seriesCustodianMaint			1	m	m	m	m	m	m	m	m
65	42	String	isPursuantRule17f4	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	20	NV	familyInfo			1	m	m	m	m	m	m	m	m
4	1	NV	seriesInvestCompanies			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	String	hasFamily	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
5	3	Integer	numberOfMemeber	4		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
5	4	String	familyID	10		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
3	21	NV	portfolioInfo			1	m	m	m	m	m	m	m	m
4	1	NV	brokerInfo			1	o	o	o	o	o	o	o	o
5	1	NV	broker			10	m#	m#	m#	m#	m#	m#	m#	m#
6	1	String	brokerName	150		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	irsNumber	10		1	em#	em#	em#	em#	em#	em#	em#	em#
6	3	Integer	grossCommission	11		1	m#	m#	m#	m#	m#	m#	m#	m#
5	2	Integer	aggregateCommission	11		1	m#	m#	m#	m#	m#	m#	m#	m#
4	2	NV	principalInfo			1	o	o	o	o	o	o	o	o
5	1	NV	principals			10	m#	m#	m#	m#	m#	m#	m#	m#
6	1	String	entityName	150		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	irsNumber	10		1	em#	em#	em#	em#	em#	em#	em#	em#
6	3	Integer	purchases	11		1	m#	m#	m#	m#	m#	m#	m#	m#
6	4	Integer	sales	11		1	m#	m#	m#	m#	m#	m#	m#	m#
5	2	NV	aggPurchaseSales			1	m#	m#	m#	m#	m#	m#	m#	m#
6	1	Integer	totalPurchases	11		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	Integer	totalSales	11		1	m#	m#	m#	m#	m#	m#	m#	m#
4	3	NV	endPeriodHoldingInfo			1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
5	1	NV	seriesEndPeriodHoldings			1000	m	m	m	m	m	m	m	m
6	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
6	2	NV	endPEriodHoldings			1	m	m	m	m	m	m	m	m
7	1	String	grossRevenueExceeds15Percent	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	NV	regBrokerDealer			30	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
7	2	Attr	securityType		securityType	1	m#	m#	m#	m#	m#	m#	m#	m#
8	1	String	brokerName	150		1	m#	m#	m#	m#	m#	m#	m#	m#
8	2	String	irsNumber	10		1	em#	em#	em#	em#	em#	em#	em#	em#
8	3	Integer	securityValue	11		1	m#	m#	m#	m#	m#	m#	m#	m#
6	3	NV	participationInfo			1	m	m	m	m	m	m	m	m
7	1	String	saleOfShares	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	receiptOfResearch	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	3	String	receiptOfQuotations	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	4	String	executePortfolioTransactions	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	5	String	receiptTelephoneWireServc	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	6	String	brokerDealerAffiliated	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	7	String	arrangementCreditAffiliated	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	8	String	arrangementCreditRegistrant	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	9	String	other	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	22	NV	shareInfo			1	m	m	m	m	m	m	m	m
4	1	String	isOpenEndedInvComp	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	2	NV	monthlySalesRepurchaseInfo			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
5	1	NV	seriesMonthlySaleRepurchase			1000	m#	m#	m#	m#	m#	m#	m#	m#
5	1	String	seriesId	10		1	m#	m#	m#	m#	m#	m#	m#	m#
5	2	NV	monthlyAVInfo			6	m#	m#	m#	m#	m#	m#	m#	m#
6	1	Integer	newSales	11		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	Integer	reinvDividendsDistribution	11		1	m#	m#	m#	m#	m#	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
6	3	Integer	other	11		1	m#	m#	m#	m#	m#	m#	m#	m#
6	4	Integer	redeemedRepurchased	11		1	m#	m#	m#	m#	m#	m#	m#	m#
5	3	NV	total			1	m#	m#	m#	m#	m#	m#	m#	m#
6	1	Integer	newSales	11		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	Integer	reinvDividendsDistribution	11		1	m#	m#	m#	m#	m#	m#	m#	m#
6	3	Integer	other	11		1	m#	m#	m#	m#	m#	m#	m#	m#
6	4	Integer	redeemedRepurchased	11		1	m#	m#	m#	m#	m#	m#	m#	m#
5	4	Integer	totalNAV	11		1	m#	m#	m#	m#	m#	m#	m#	m#
4	3	NV	frontEndSaleInfo			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
5	1	NV	seriesFrontEndSale			1000	m#	m#	m#	m#	m#	m#	m#	m#
6	1	String	seriesId	10		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	frontEndSaleDeducted	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
6	3	Integer	totalFrontEndSalesCollected	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	4	Decimal	maxSalesLoadRate	2,2		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	5	Decimal	minSalesLoadRate	2,2		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	6	Integer	netAmountRetained	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	7	Integer	payoutAmount	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	8	Integer	amountPaidNonaffiliated	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	9	Integer	amountPaidCaptiveRetail	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
4	4	NV	deferredSaleInfo			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
5	1	NV	seriesDeferredSale			1000	m#	m#	m#	m#	m#	m#	m#	m#
6	1	String	seriesId	10		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	deferredSaleImposed	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
6	3	Integer	totalDeferredSalesLoad	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	4	String	reainAllMoney	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	5	Integer	netAmountRetained	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
4	5	NV	redemptionFeeInfo			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
5	1	NV	seriesRedemptionFee			1000	m#	m#	m#	m#	m#	m#	m#	m#
6	1	String	seriesId	10		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	redemptionFeeImposed	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
6	3	Integer	totalAmount	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
4	6	NV	accountMaintenanceInfo			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
5	1	NV	seriesAccountMaintenance			1000	m#	m#	m#	m#	m#	m#	m#	m#
6	1	String	seriesId	10		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	accountMaintenanceFee	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
4	7	NV	twelveBOneInfo			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
5	1	NV	seriesTwelveBOne			1000	m#	m#	m#	m#	m#	m#	m#	m#
6	1	String	seriesId	10		1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	hasDistributionPursuantRule12b1	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
6	3	String	useAssetsAsPayment	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	4	Integer	advertisingPercentage	3		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	5	Integer	printingMailingPercentage	3		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	6	Integer	underwriterPaymentPercentage	3		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	7	Integer	brokerDealerPaymentPercentage	3		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	8	Integer	salesPersonnelPaymentPercentage	3		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	9	Integer	loanPaymentPercentage	3		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	10	Integer	otherPercentage	3		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	11	Integer	unallocatedPaymentPercentage	3		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	12	Integer	totalAmountPaidDirectly	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	13	Integer	totalUnreimbursedPayments	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
3	23	NV	questions45_54			1	m	m	m	m	m	m	m	m
4	1	NV	seriesInfo			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	NV	contractInfo			1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
6	1	String	hasAdvisoryContract	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	2	String	paidMultipleAdvisers	1	"Y" or "N"	1	o	o	o	o	o	o	o	o
6	3	String	advisoryFeeBasedOnAssets	1	"Y" or "N"	1	o	o	o	o	o	o	o	o
6	4	NV	feeRate			1	o	o	o	o	o	o	o	o
7	1	Decimal	singleFeeRate	2,3		1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	NV	annualFeeInfo			1	m#	m#	m#	m#	m#	m#	m#	m#
8	1	NV	first			1	m	m	m	m	m	m	m	m
9	1	Integer	asestValue	11		1	m	m	m	m	m	m	m	m
9	2	Decimal	annualFeeRate	1,3		1	m	m	m	m	m	m	m	m
8	2	NV	ofNext			1	m#	m#	m#	m#	m#	m#	m#	m#
9	1	Integer	asestValue	11		1	m#	m#	m#	m#	m#	m#	m#	m#
9	2	Decimal	annualFeeRate	1,3		1	m#	m#	m#	m#	m#	m#	m#	m#
8	3	NV	over			1	m	m	m	m	m	m	m	m
9	1	Integer	asestValue	11		1	m	m	m	m	m	m	m	m
9	2	Decimal	annualFeeRate	1,3		1	m	m	m	m	m	m	m	m
5	3	NV	advisoryFeeInfo			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	1	String	feeBasedOnIncome	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
6	2	String	feeBasedOnIncomeAssets	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
6	3	String	feeBasedOnInvestment	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
6	4	String	feeBasedOnAssetIncomeInvestment	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
6	5	NV	expenseInfo			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
7	1	String	expenseRequired	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	String	reductionBasedOnAssets	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
7	3	String	reductionBasedOnIncome	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	6	NV	servicesProvided				m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
7	1	String	occupancyOfficeRental	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	String	clericalBookkeeping	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
7	3	String	accountingService	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	4	String	independentAuditor	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	5	String	outsideCounsel	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	6	String	registrationFilingFees	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	7	String	stationerySupplies	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	8	String	interestedDirectorsSalaries	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	9	String	disinterestedDirectorsSalaries	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	10	String	officersSalaries	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	11	String	shareholdersReport	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	12	String	determineOfferingRedemptionPrice	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	13	String	tradingDepartment	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	14	String	prospectusPreparation	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
7	15	String	other	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
3	24	NV	miscInfo			1	m	m	m	m	m	m	m	m
4	1	NV	question_55			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	String	hasOutstandingOverdrafts	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
5	3	String	hasOutstandingBankLoad	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	2	NV	question_56			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	String	hasNonInvCompAdvClients	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	3	NV	question_57			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	String	hasStockSplitOrDividend	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	25	NV	classification			1	m	m	m	m	m	m	m	m
4	1	NV	question58			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
5	2	NV	insuranceComplInfo			1	m	m	m	m	m	m	m	m
6	1	String	isSeparateInsuranceComp	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	2	String	hasVariableAnnuityContracts	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	3	String	scheduledPremiumVarLifeContracts	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	4	String	flexPremiumVarLifeContracts	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	5	String	otherInsuranceProducts	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
4	2	NV	question59			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	String	isManagementInvestComp	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	3	NV	question60A			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	String	wasDiversifiedInvestComp	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	4	NV	question60B			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	String	isDiversifiedInvestComp	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	5	NV	question61			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	Integer	minInitialInvestment	11		1	m	m	m	m	m	m	m	m
4	6	NV	questions62_65			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	NV	investSecurity			1	m	m	m	m	m	m	m	m
6	1	String	investPrimarilySecurities	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	2	NV	shortTermMaturities			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
7	1	-Decimal	usTreasury	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	-Decimal	stateMunicipalTaxFree	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	3	-Decimal	usGovernmentAgency	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	4	-Decimal	allOther	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
7	5	-Decimal	repurchaseAgreement	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	6	-Decimal	bankCertDepositDomestic	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	7	-Decimal	bankCertDepositForeign	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	8	-Decimal	commercialPaperTax	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	9	-Decimal	options	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	10	-Decimal	bankersAcceptance	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	11	-Decimal	timeDeposits	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
6	3	NV	interLongTermMaturities			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
7	1	-Decimal	usTreasury	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	-Decimal	stateMunicipalTaxFree	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	3	-Decimal	usGovernmentAgency	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	4	-Decimal	allOther	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	5	-Decimal	corporate	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
7	6	-Decimal	investOtherDebtSec	3,1		1	m#	m#	m#	m#	m#	m#	m#	m#
6	4	NV	maturityPeriod			1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
7	1	Integer	maturityDays	3		1	m#	m#	m#	m#	m#	m#	m#	m#
7	2	Decimal	maturityYears	2,1		1	m#	m#	m#	m#	m#	m#	m#	m#
6	5	String	paymentInsuredByOtherEntity	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	6	String	isDelinquentPaymentPrincipal	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	7	String	isNavBasedOnDelinquent	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
4	7	NV	question66			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	NV	investEquitySecurity			1	m	m	m	m	m	m	m	m
6	1	String	isInvestEquitySecurity	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	2	String	aggressiveCapitalAppreciation	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	3	String	capitalAppreciation	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	4	String	growth	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
6	5	String	growthAndIncome	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	6	String	income	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	7	String	totalReturn	1	"Y" or "N"	1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
4	8	NV	question67			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	String	isBalanceFund	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	9	NV	question68			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	String	isEngagedPreciousMetals	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
5	2	String	securitiesLocatedOutsideUS	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	10	NV	question69			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	String	isIndexFund	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	26	NV	—questions70_76			4	m	m	m	m	m	m	m	m
3	26	NV	—question70			1	m	m	m	m	m	m	m	m
4	1	NV	seriesInfo			1000	m	m	m	m	m	m	m	m
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
5	2	NV	investmentPractices			1	m	m	m	m	m	m	m	m
6	1	NV	repurchaseAgreement			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	2	NV	optionsEquity			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	3	NV	optionsDebtSecurities			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
6	4	NV	optionsStockIndices			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	5	NV	interestRateFutures			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	6	NV	stockIndexFutures			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	7	NV	optionsOnFutures			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	8	NV	optionsStockIndexFutures			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	9	NV	otherCommodityFutures			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	10	NV	investRestrictedSecurities			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	11	NV	investSharesOtherInvestComp			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	12	NV	investSecuritiesForeign			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
6	13	NV	currencyExchange			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	14	NV	loadingPortfolioSecurities			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	15	NV	borrowingMoney			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	16	NV	exemptedAffiliatedPerson			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	17	NV	marginPurchases			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	18	NV	shortSelling			1	m	m	m	m	m	m	m	m
7	1	String	isPermitted	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
7	2	String	isEngagedIn	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
<u>3</u>	<u>26</u>	<u>NV</u>	<u>__question71</u>			<u>1</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>
<u>4</u>	<u>1</u>	<u>NV</u>	<u>__seriesInfo</u>			<u>1000</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>
<u>5</u>	<u>1</u>	<u>String</u>	<u>__seriesId</u>	<u>10</u>		<u>1</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>
5	3	NV	portfolioTurnover			1	m	m	m	m	m	m	m	m
6	1	Integer	purchases	11		1	m	m	m	m	m	m	m	m
6	2	Integer	sales	11		1	m	m	m	m	m	m	m	m
6	3	Integer	monthlyAverage	11		1	m	m	m	m	m	m	m	m
6	4	Integer	percentTurnover	<u>34</u>		1	m	m	m	m	m	m	m	m
<u>3</u>	<u>26</u>	<u>NV</u>	<u>__questions72_76</u>			<u>1</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>	<u>m</u>

DRAFT

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
4	1	NV	<u>seriesInfo</u>			1000	m	m	m	m	m	m	m	m
5	1	String	<u>seriesId</u>	10		1	m	m	m	m	m	m	m	m
5	4	NV	incomeStatement			1	m	m	m	m	m	m	m	m
6	1	Integer	numberOfMonths	2		1	m	m	m	m	m	m	m	m
6	2	Integer	netInterestIncome	11		1	m	m	m	m	m	m	m	m
6	3	Integer	netDividendIncome	11		1	m	m	m	m	m	m	m	m
6	4	Integer	acctMaintenanceFee	11		1	m	m	m	m	m	m	m	m
6	5	Integer	netOtherIncome	11		1	m	m	m	m	m	m	m	m
6	6	-Integer	advisoryFees	11		1	m	m	m	m	m	m	m	m
6	7	-Integer	administratorFees	11		1	m	m	m	m	m	m	m	m
6	8	-Integer	salariesCompensation	11		1	m	m	m	m	m	m	m	m
6	9	-Integer	shareholderSrvFees	11		1	m	m	m	m	m	m	m	m
6	10	-Integer	custodianFees	11		1	m	m	m	m	m	m	m	m
6	11	-Integer	postage	11		1	m	m	m	m	m	m	m	m
6	12	-Integer	printingExpenses	11		1	m	m	m	m	m	m	m	m
6	13	-Integer	directorFees	11		1	m	m	m	m	m	m	m	m
6	14	-Integer	registrationFees	11		1	m	m	m	m	m	m	m	m
6	15	-Integer	taxes	11		1	m	m	m	m	m	m	m	m
6	16	-Integer	interest	11		1	m	m	m	m	m	m	m	m
6	17	-Integer	bookkeepingFees	11		1	m	m	m	m	m	m	m	m
6	18	-Integer	auditingFees	11		1	m	m	m	m	m	m	m	m
6	19	-Integer	legalFees	11		1	m	m	m	m	m	m	m	m
6	20	-Integer	paymentsPursuantRule12b1	11		1	m	m	m	m	m	m	m	m
6	21	-Integer	amortizationOrgExpenses	11		1	m	m	m	m	m	m	m	m
6	22	-Integer	shareholderMeetingExpenses	11		1	m	m	m	m	m	m	m	m
6	23	-Integer	otherExpenses	11		1	m	m	m	m	m	m	m	m
6	24	-Integer	totalExpenses	11		1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
6	25	Integer	expenseReimbursements	11		1	m	m	m	m	m	m	m	m
6	26	Integer	netInvestmentIncome	11		1	m	m	m	m	m	m	m	m
6	27	Integer	realizedCapGains	11		1	m	m	m	m	m	m	m	m
6	28	Integer	realizedCapLosses	11		1	m	m	m	m	m	m	m	m
6	29	Integer	netUnrealizedAppreciation	11		1	m	m	m	m	m	m	m	m
6	30	Integer	netUnrealizedDepreciation	11		1	m	m	m	m	m	m	m	m
6	31	Integer	totalIncomeDividends	11		1	m	m	m	m	m	m	m	m
6	32	Integer	dividendsSecondClassOpenEndComp	11		1	m	m	m	m	m	m	m	m
6	33	Integer	totalCapGains	11		1	m	m	m	m	m	m	m	m
5	5	NV	paymentOutstanding			1	m	m	m	m	m	m	m	m
6	1	Decimal	dividendsNetInvestIncome	3,4		1	m	m	m	m	m	m	m	m
6	2	Decimal	dividendsSecondClassOpenEndComp	3,4		1	m	m	m	m	m	m	m	m
6	3	Decimal	distributionCapitalGains	3,4		1	m	m	m	m	m	m	m	m
6	4	Decimal	otherDistribution	3,4		1	m	m	m	m	m	m	m	m
5	6	NV	balanceSheet			1	m	m	m	m	m	m	m	m
6	1	Integer	cash	11		1	m	m	m	m	m	m	m	m
6	2	Integer	repurchaseAgreement	11		1	m	m	m	m	m	m	m	m
6	3	Integer	shortTermDebtSecurities	11		1	m	m	m	m	m	m	m	m
6	4	Integer	longTermDebtSecurities	11		1	m	m	m	m	m	m	m	m
6	5	Integer	preferredStock	11		1	m	m	m	m	m	m	m	m
6	6	Integer	commonStock	11		1	m	m	m	m	m	m	m	m
6	7	Integer	optionsEquities	11		1	m	m	m	m	m	m	m	m
6	8	Integer	optionsFutures	11		1	m	m	m	m	m	m	m	m
6	9	Integer	otherInvestments	11		1	m	m	m	m	m	m	m	m
6	10	Integer	receivablesPortInstrumentsSoldAway	11		1	m	m	m	m	m	m	m	m
6	11	Integer	receivablesAffiliatedPersons	11		1	m	m	m	m	m	m	m	m
6	12	Integer	otherReceivables	11		1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
6	13	Integer	allOtherAssets	11		1	m	m	m	m	m	m	m	m
6	14	Integer	totalAssets	11		1	m	m	m	m	m	m	m	m
6	15	Integer	payablePortfolioInstrumentsPurchased	11		1	m	m	m	m	m	m	m	m
6	16	Integer	amountOwedAffiliatedPersons	11		1	m	m	m	m	m	m	m	m
6	17	Integer	seniorLongTermDebt	11		1	m	m	m	m	m	m	m	m
6	18	Integer	reverseRepurchaseAgree	11		1	m	m	m	m	m	m	m	m
6	19	Integer	shortSales	11		1	m	m	m	m	m	m	m	m
6	20	Integer	writtenOptions	11		1	m	m	m	m	m	m	m	m
6	21	Integer	allOtherLiabilities	11		1	m	m	m	m	m	m	m	m
6	22	Integer	seniorEquity	11		1	m	m	m	m	m	m	m	m
6	23	Integer	netAssetCommonShare	11		1	m	m	m	m	m	m	m	m
6	24	Integer	outstandingShares	11		1	m	m	m	m	m	m	m	m
6	25	Integer	outstandingSharesSecondClassOpenEndComp	11		1	m	m	m	m	m	m	m	m
6	26	Decimal	netAssetsPerShare	5,2		1	m	m	m	m	m	m	m	m
6	27	Decimal	netAssetsPerShareSecondClassOpenEndComp	5,2		1	m	m	m	m	m	m	m	m
6	28	Decimal	m2mNetAssetMoneyMarketFunds	35,4		1	m	m	m	m	m	m	m	m
6	29	Integer	totalNumberShareholderAcct	11		1	m	m	m	m	m	m	m	m
6	30	Integer	totalValueAssetsSegregatedAcct	11		1	m	m	m	m	m	m	m	m
5	7	NV	averageNetAsset			1	m	m	m	m	m	m	m	m
6	1	NV	dailyMonthlyAvg			1	m	m	m	m	m	m	m	m
7	1	Integer	dailyAvg	11		1	m	m	m	m	m	m	m	m
7	2	Integer	monthlyAvg	11		1	m	m	m	m	m	m	m	m
5	8	NV	marketPrice			1	m	m	m	m	m	m	m	m
6	1	Decimal	marketPricePerShare	5,2		1	m	m	m	m	m	m	m	m
3	27	NV	attachments			1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
4	1	String	hasAttachments	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	2	String	hasInternalControlRpt	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	3	String	hasMatterHolderVote	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	4	String	hasSecurityInvestPolicies	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	5	String	hasLegalProceedings	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	6	String	hasChangesInSecurityDebt	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	7	String	hasDefaultArrearsSeniorSec	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	8	String	hasChangesInControl	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	9	String	hasTermsOfSecurities	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	10	String	hasRevalOfAssetsOrCapital	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	11	String	hasChangesInCertifyingAcct	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	12	String	hasChangesInAcctPrinciples	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	13	String	hasMergers	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	14	String	hasActionPursuantRule2a7	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	15	String	hasTransactionPursuantRule10f3	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	16	String	hasPursuantExemptiveOrder	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	17	String	hasExhibits	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	18	String	hasSubItem77Q2	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	19	String	hasSubItem77Q3	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	28	NV	subsidiariesInfo			1	m	m	m	m	m	m	m	m
4	1	String	hasInvestCompSub	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
4	2	NV	subsidiary			90	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
5	1	String	fileNumber	17		1	m#	m#	m#	m#	m#	m#	m#	m#
5	2	String	name	150		1	m#	m#	m#	m#	m#	m#	m#	m#
3	29	NV	annualSupplementInfo			1	o#1	o#1	o#1	o#1	m#2	m#2	m#2	m#2
4	1	NV	question_80			1000	m#	m#	m#	m#	m#	m#	m#	m#
5	1	String	seriesId	10		1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
5	2	String	isurerName	150		1	m	m	m	m	m	m	m	m
5	3	String	secondInsurerName	150		1	m	m	m	m	m	m	m	m
5	4	Integer	aggregateFaceAmount	11		1	m	m	m	m	m	m	m	m
4	2	NV	questions81_84			1	m#	m#	m#	m#	m#	m#	m#	m#
5	1	NV	seriesInfo			1000								
6	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
6	2	String	hasSharedBonds	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	3	Integer	numberOfCovered	3		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	4	String	hasDeductible	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	5	Integer	amountOfDeductible	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	6	String	hasClaimsFormed	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	7	Integer	amountOfClaim	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
6	8	String	hasLosses	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	9	Integer	amountOfLosses	11		1	m#1	m#1	m#1	m#1	m#1	m#1	m#1	m#1
4	3	NV	question85			1	m#	m#	m#	m#	m#	m#	m#	m#
5	1	NV	seriesInfo			1000	m	m	m	m	m	m	m	m
6	1	String	seriesId	10		1	m	m	m	m	m	m	m	m
6	2	String	coveredUnderOmissionsPolicy	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
6	3	String	hasOmissionsPolicyClaims	1	"Y" or "N"	1	m	m	m	m	m	m	m	m
3	30	NV	closedEndInfo			1	m#3	m#3	m#3	m#3	m#3	m#3	m#3	m#3
4	1	NV	salesRepurchaseRedemption			1	m#	m#	m#	m#	m#	m#	m#	m#
5	1	NV	commonSales			1	m	m	m	m	m	m	m	m
6	1	Integer	amountOfDebt	11		1	m	m	m	m	m	m	m	m
6	2	Integer	amountPaid	11		1	m	m	m	m	m	m	m	m
5	2	NV	commonRepurRedemp			1	m	m	m	m	m	m	m	m
6	1	Integer	amountOfDebt	11		1	m	m	m	m	m	m	m	m
6	2	Integer	amountPaid	11		1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
5	3	NV	preferredSales			1	m	m	m	m	m	m	m	m
6	1	Integer	amountOfDebt	11		1	m	m	m	m	m	m	m	m
6	2	Integer	amountPaid	11		1	m	m	m	m	m	m	m	m
5	4	NV	preferredRepurRedemp			1	m	m	m	m	m	m	m	m
6	1	Integer	amountOfDebt	11		1	m	m	m	m	m	m	m	m
6	2	Integer	amountPaid	11		1	m	m	m	m	m	m	m	m
5	5	NV	debtSecSales			1	m	m	m	m	m	m	m	m
6	1	Integer	amountOfDebt	11		1	m	m	m	m	m	m	m	m
6	2	Integer	amountPaid	11		1	m	m	m	m	m	m	m	m
5	6	NV	debtSecRepurRedemp			1	m	m	m	m	m	m	m	m
6	1	Integer	amountOfDebt	11		1	m	m	m	m	m	m	m	m
6	2	Integer	amountPaid	11		1	m	m	m	m	m	m	m	m
4	2	NV	classInfo			25	o	o	o	o	o	o	o	o
5	1	String	name	150		1	m#	m#	m#	m#	m#	m#	m#	m#
5	2	String	cusipOfNasdaq	10		1	m#	m#	m#	m#	m#	m#	m#	m#
5	3	String	tickerSymbol	10		1	m#	m#	m#	m#	m#	m#	m#	m#
4	3	String	exceedOneNotesBonds	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
4	4	String	exceedOneUncoveredOpts	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
4	5	String	exceedOneMarginLoans	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
4	6	String	exceedOnePreferredStock	1	"Y" or "N"	1	m#	m#	m#	m#	m#	m#	m#	m#
3	31	NV	signatureBlock			1	m	m	m	m	m	m	m	m
4	1	String	cityOf	5930		1	m	m	m	m	m	m	m	m
4	2	NV	stateCountry			1	m	m	m	m	m	m	m	m
5	1	String	state		US STATE CODES	1	m	m	m	m	m	m	m	m
5	2	String	foreignCountry		COUNTRY CODE	1	m	m	m	m	m	m	m	m
4	3	Date	signatureDate			1	m	m	m	m	m	m	m	m
4	4	NV	signer			1	m	m	m	m	m	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-A	NSAR-A/A	NSAR-AT	NSAR-AT/A	NSAR-B	NSAR-B/A	NSAR-BT	NSAR-BT/A
5	1	String	name	50 150		1	m	m	m	m	m	m	m	m
5	2	String	title	50 60		1	m	m	m	m	m	m	m	m
4	5	NV	witness			1	m	m	m	m	m	m	m	m
5	1	String	name	50 150		1	m	m	m	m	m	m	m	m
5	2	String	title	50 60		1	m	m	m	m	m	m	m	m

3.4.1.2 Mapping of NSAR-U Submission Schema to Submission

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-U	NSAR-U/A
1	1	NV	edgarSubmission			1	m	m
2	1	String	schemaVersion	5		1	o	o
2	2	NV	headerData			1	m	m
3	1	String	submissionType	10	SUBMISSION TYPE	1	m	m
3	2	NV	filerInfo			1	m	m
4	1	String	liveTestFlag		LIVE TEST TYPE	1	m	m
4	2	NV	flags			1	o	o
5	1	boolean	confirmingCopyFlag		"true" or "false"	1	o	o
5	2	boolean	returnCopyFlag		"true" or "false"	1	o	o
5	3	boolean	overrideInternetFlag		"true" or "false"	1	o	o
4	1	String	accessionNumber			1	NA	m
4	2	NV	contact			1	o	o
5	1	NV	contactNamePhone			1	o	o
6	1	String	name	30		1	o	o
6	2	String	phoneNumber	20		1	o	o

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-U	NSAR-U/A
5	1	String	contactEmail	80		1	o	o
4	1	NV	filer			1	m	m
5	1	String	filerId	10		1	m	m
5	2	String	filerCcc	8		1	m	m
5	3	String	filerFileNumber	17		1	m#1	m#1
4	1	NV	coregs			1	o	o
5	1	NV	filer			1	m#	m#
6	1	String	filerId	10		1	m#	m#
6	2	String	fileCcc	8		1	m#	m#
6	3	String	filerFileNumber	17		1	m#1	m#1
4	1	NV	sros			1	m	m
5	1	String	srold		SRO_TYPE	13	m	m
4	1	Date	periodOfReport			1	m	m
4	1	String	invCompany		INV_COMPANY_TYPE	1	m	m
4	1	NV	notifications			1	o	o
5	1	String	internetNotificationAddress	80		Unlimited	m#	m#
2	3	NV	formData			1	m	m
3	1	Date	reportDate			1	m	m
3	1	Attr	periodType		"annual"	1	m	m
3	2	String	isTransition	1	"Y" or "N"	1	m	m
3	3	String	isAmendment	1	"Y" or "N"	1	m	m
3	4	NV	registrantInfo			1	m	m
4	1	String	name	150		1	m	m
4	2	String	fileNumber	17		1	m	m
4	3	String	phoneNumber	20		1	m	m
4	4	NV	registrantAddress			1	m	m
5	1	String	street	4082		1	m	m
5	2	String	city	30		1	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	NSAR-U	NSAR-U/A
5	3	NV	stateOrCountry			1	m	m
6	1	String	state		US STATE CODES	1	m	m
6	2	String	foreignCountry		COUNTRY CODE	1	m	m
5	4	NV	code			1	m	m
6	1	String	zipCode	5		1	m	m
6	2	String	foreignPostalCode	10		1	m	m
3	5	String	isFirstFiling	1	"Y" or "N"	1	m	m
3	6	String	isLastFiling	1	"Y" or "N"	1	m	m
3	7	String	isSmallBusiness	1	"Y" or "N"	1	m	m
3	8	String	isUIT	1	"Y" or "N"	1	m	m
3	9	NV	signatureBlock			1	m	m
4	1	String	cityOf	5030		1	m	m
4	2	NV	stateCountry			1	m	m
5	1	String	state		US STATE CODES	1	m	m
5	2	String	foreignCountry		COUNTRY CODE	1	m	m
4	3	Date	signatureDate			1	m	m
4	4	NV	signer			1	m	m
5	1	String	name	50150		1	m	m
5	2	String	title	5060		1	m	m
4	5	NV	witness			1	m	m
5	1	String	name	50150		1	m	m
5	2	String	title	5060		1	m	m

4. DATA VALUE CONSTRAINTS

4.1 LIVE_TEST_TYPE

These are the valid values for the <LIVE_TEST_TYPE> element in the submission file:

VALUE
LIVE
TEST

4.2 SRO_TYPE

These are the valid values for a <SRO_TYPE> element in the primary document:

VALUE	VALUE
NONE	ISE
AMEX	NSX
ARCA	NYSE
BSE	PCX
CBOE	NASD
CHX	PHLX
FINRA	

4.3 INV_COMPANY_TYPE

These are the valid values for a <INV_COMPANY_TYPE> element in the submission file:

VALUE
N-1A
N-1
N-2
N-3
N-4
N-5
N-6
S-1 or S-3
S-6

4.4 periodType

These are the valid values for the periodType attribute in the submission file:

VALUE
semi-annual

VALUE
annual

4.5 adviserType

These are the valid values for the adviserType attribute in the submission file:

VALUE
A
S

4.6 custodianType

These are the valid values for the custodianType attribute in the submission file:

VALUE
C
S

4.7 securityType

These are the valid values for the securityType attribute in the submission file:

VALUE
D
E

4.8 TYPE_OF_CUSTODY

These are the valid values for the <typeofCustody> element in the submission file:

VALUE
E01
E02
E03
E04
E05
E06

4.9 SERIES_ID_TYPE

A valid EDGAR series identifier of this type is one of the following:

- A nine digit number preceded by the letter 'S'
- The word 'ALL'
- The number '0'

4.10 SERIES_ID_TYPE2

A valid EDGAR series identifier of this type is one of the following:

- A nine digit number preceded by the letter 'S'
- The number '0'

5. BASIC SUBMISSION CONSTRUCTION

5.1 General Formatting of XML Files

The following rules apply to the submission file of an XML-format NSAR or NSAR-U submission:

1. The filename must end with an “.xml” extension.
2. The file cannot be compressed in any fashion.
3. We strongly recommend you format the submission as shown in the provided sample files. This makes the raw XML files easier to view in a text editor. The submission of ASCII XML files with no line breaks, while legal XML, is strongly discouraged. XML filings are required to be posted on public websites. While usually formatted via style sheets, the raw XML is frequently available for inspection and should be readable by a person. A single line XML file is not viewer-friendly and should be avoided.
4. The `<?xml version="1.0"?>` declaration line is optional; however, if it is included it must be the first line in the file. Any text entered before this line, even white space, will cause a SUSPENSE error. The version value must be “1.0.” Any other value for version will cause a SUSPENSE error.
5. For an XML element with a data value, keep the begin tag, data value, and end tag on the same line of text. Otherwise, you could get a schema violation error. As an example, for a filer ID value which cannot be longer than 10 characters, this specification is correct:

```
<cik>1212121212</cik>
```

6. The specification below will result in a parsing error because the extraneous white space and line feeds will be counted as part of the length of the data value. In other words, the CIK value will be regarded as longer than 10 characters.

```
<cik>
1212121212
</cik>
```

5.2 XML Submission File Rules

The following rules are specific to the submission file:

1. The order of any `<notificationEmailAddress>` element in the `<notificationAddresses>` element block does not matter. EDGAR will generate a WARNING for any duplicate values in the `<notificationEmailAddress>` element.
2. The submission file must conform to the `eis_NSAR_Filer.xsd` or `eis_NSARU_filer.xsd` XML schema file. Any violation of this schema will result in the suspension of the filing.

5.2.1 Primary Document

EDGAR will construct the “document of record” from the XML submission that will be disseminated. The following provides information regarding the constructed primary document:

1. The <schemaVersion> element should not be included. If you do provide a value for this element, EDGAR will generate a WARNING and discard the value and replace it with the correct value.
2. The following elements will be removed, if provided:
 - <ccc>
 - <returnCopy>
 - <contactData>
 - <notificationAddresses>
 - <formVersion>
3. The <stateOrCountry> element should not be included. If you do provide a value for this element, EDGAR will replace the value with the correct value.

5.2.2 Supporting Documents

5.2.2.1 Document Attachments for NSAR Submission Types

The <documents> element block specifies supporting documents. The following rules apply to this <documents> element block:

1. The submission file may also contain additional supporting documents. The additional support documents are specified using the <documents> element block. The order of the <documents> specifications does not matter, e.g., CORRESP documents may appear before the COVER document, and vice versa.
2. Allowable file extensions are .xml, .xsd, .pdf, .txt, .htm, .jpg, and .gif.
3. The allowable document types are shown in the Table 5-1. Supporting Document Maximum Allowed. The full range of EDGAR exhibits is permitted. Details can be found in the Volume 2 of the Filer’s Manual, page E-5.

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4. You may enclose no more than 610 documents. The document count limits by type are provided in Table 5-1. Supporting Document Maximum Allowed

Table 5-1: Supporting Document Maximum Allowed

Document Type	Maximum Allowed
CORRESP	100
COVER	10
<u>EU-1</u>	<u>1</u>
GRAPHIC EXHIBITS	500

5. The names of attached document files must follow the EDGAR file naming convention:
 - File names cannot exceed 32 characters, including the file extension.
 - Valid characters are lowercase letters, digits 0-9, up to one underscore, up to one hyphen, and up to one period.
 - First character must be a letter.
 - Spaces are not allowed.
 - File name must have a file type extension.
 - File extension of the primary document must be .xml.
 - File extension of all other documents must be .xml, .xsd, .pdf, .txt, .htm, .jpg, and .gif.
6. The <description> is optional, but all other elements must be present and must have a value.
7. The <contents> element must contain a MIME encoded document. You can use any standard 64-character set based MIME encoding algorithm to create a MIME document.
8. The XML for an enclosed supporting document looks like this:

[illegible]

5.2.2.2 Document Attachments for NSAR-U Submission Types

The attachments for NSAR-U submissions follow the same rules listed above for NSAR submissions but must also include a document attachment of type ‘NSAR-U’.

6. ERROR REPORTING

EDGAR will generate an error for each violation of an XML schema constraint, as well as for each violation of an NSAR filing business rule. The schema files do not enforce all error checks, so it is possible to construct a submission that meets all the schema constraints yet is still SUSPENDED.

This table summarizes the errors that can result from violations of schema constraints and EDGAR business rules. This is not an all-inclusive list.

Table 6-1: Submission Errors and Severity

Error Condition	Severity
Elements not in sequence prescribed in Sections 3.4.1.1 and 3.4.1.2	SUSPENDED
Inclusion of XML-stylesheet reference or any other Processing Instruction	SUSPENDED
Inclusion of an element not prescribed in the schema	SUSPENDED
String value exceeds maximum length constraint	SUSPENDED
Element constrained by a Choice List has an invalid value	SUSPENDED
Mandatory element has no value or an invalid value	SUSPENDED
Special character (&, <, >) not provided as escape sequence	SUSPENDED
Date, Boolean, or Decimal element does not have a value	SUSPENDED
Duplicate Reporting Owner CIK	SUSPENDED
Duplicate Notification Address	WARNING
“NA” or blank field has a value	WARNING
Invalid Issuer CIK	SUSPENDED
Invalid Reporting Owner CIK and/or CCC	SUSPENDED
Improperly formatted email address	SUSPENDED
Exceeding a “Max Occur” limit from Sections 3.4.1.1 and 3.4.1.2 (e.g., more than 10 Reporting Owners or more than 30 Derivative Securities)	SUSPENDED
Invalid content in an enclosed ASCII document. Refer to the EDGAR Filer Manual for details.	SUSPENDED or WARNING
Invalid content in an enclosed HTML document. Refer to the EDGAR Filer Manual for details.	SUSPENDED or WARNING
Invalid content in an enclosed PDF document. Refer to the EDGAR Filer Manual for details.	SUSPENDED or WARNING
Enclosed graphic document that is not referenced by an HTML document	SUSPENDED
Any XML schema violation not mentioned in previous table row	SUSPENDED

You may sometimes get multiple error messages reporting the same error. The XML parser EDGAR used to process an NSAR submission generates messages that are rather technical in nature and require an understanding of the XML schema language. Whenever possible, EDGAR also generates a more “friendly” error message to give a precise description of the error.

7. EXAMPLE NSAR SUBMISSION FILES

Table 7-1. Sample Submission Files provides a list of sample submission files.

Table 7-1: Sample Submission Files

Submission Type	Submission File
NSAR-AT	sampleNSARAT.xml
<u>NSAR-U/A</u>	<u>sampleNSARUA.xml</u>
<u>NSAR-A</u>	<u>sampleNSARA_N4.xml</u>
<u>NSAR-A</u>	<u>sampleNSARA_S6.xml</u>

APPENDIX A. US STATE CODES

These are the valid designators for the <state> element in the primary document. These codes are values for the 54 U.S. states and territories.

Code	State Name
AL	ALABAMA
AK	ALASKA
AZ	ARIZONA
AR	ARKANSAS
CA	CALIFORNIA
CO	COLORADO
CT	CONNECTICUT
DE	DELAWARE
DC	DISTRICT OF COLUMBIA
FL	FLORIDA
GA	GEORGIA
GU	GUAM
HI	HAWAII
ID	IDAHO
IL	ILLINOIS
IN	INDIANA
IA	IOWA
KS	KANSAS
KY	KENTUCKY
LA	LOUISIANA
ME	MAINE
MD	MARYLAND
MA	MASSACHUSETTS
MI	MICHIGAN
MN	MINNESOTA
MS	MISSISSIPPI
MO	MISSOURI
MT	MONTANA
NE	NEBRASKA
NV	NEVADA
NH	NEW HAMPSHIRE
NJ	NEW JERSEY
NM	NEW MEXICO
NY	NEW YORK
NC	NORTH CAROLINA
ND	NORTH DAKOTA
OH	OHIO
OK	OKLAHOMA
OR	OREGON
PA	PENNSYLVANIA

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Code	State Name
RI	RHODE ISLAND
SC	SOUTH CAROLINA
SD	SOUTH DAKOTA
TN	TENNESSEE
TX	TEXAS
UT	UTAH
VT	VERMONT
VA	VIRGINIA
WA	WASHINGTON
WV	WEST VIRGINIA
WI	WISCONSIN
WY	WYOMING
PR	PUERTO RICO
VI	VIRGIN ISLANDS, U.S.

APPENDIX B. COUNTRY CODES

These are the valid designators for the <foreignCountry> element in the primary document.

Code	Country Name
A0	ALBERTA, CANADA
A1	BRITISH COLUMBIA, CANADA
Z4	CANADA (FEDERAL LEVEL)
A2	MANITOBA, CANADA
A3	NEW BRUNSWICK, CANADA
A4	NEWFOUNDLAND, CANADA
A5	NOVA SCOTIA, CANADA
A6	ONTARIO, CANADA
A7	PRINCE EDWARD ISLAND, CANADA
A8	QUEBEC, CANADA
A9	SASKATCHEWAN, CANADA
B0	YUKON, CANADA
B2	AFGHANISTAN
Y6	ALAND ISLANDS
B3	ALBANIA
B4	ALGERIA
B5	AMERICAN SAMOA
B6	ANDORRA
B7	ANGOLA
1A	ANGUILLA
B8	ANTARCTICA
B9	ANTIGUA AND BARBUDA
C1	ARGENTINA
1B	ARMENIA
1C	ARUBA
C3	AUSTRALIA
C4	AUSTRIA
1D	AZERBAIJAN
C5	BAHAMAS
C6	BAHRAIN
C7	BANGLADESH
C8	BARBADOS
1F	BELARUS
C9	BELGIUM
D1	BELIZE
G6	BENIN
D0	BERMUDA
D2	BHUTAN
D3	BOLIVIA
1E	BOSNIA AND HERZEGOVINA

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Code	Country Name
B1	BOTSWANA
D4	BOUVET ISLAND
D5	BRAZIL
D6	BRITISH INDIAN OCEAN TERRITORY
D9	BRUNEI DARUSSALAM
E0	BULGARIA
X2	BURKINA FASO
E2	BURUNDI
E3	CAMBODIA
E4	CAMEROON
E8	CAPE VERDE
E9	CAYMAN ISLANDS
F0	CENTRAL AFRICAN REPUBLIC
F2	CHAD
F3	CHILE
F4	CHINA
F6	CHRISTMAS ISLAND
F7	COCOS (KEELING) ISLANDS
F8	COLOMBIA
F9	COMOROS
G0	CONGO
Y3	CONGO, THE DEMOCRATIC REPUBLIC OF THE
G1	COOK ISLANDS
G2	COSTA RICA
L7	COTE D'IVOIRE
1M	CROATIA
G3	CUBA
G4	CYPRUS
2N	CZECH REPUBLIC
G7	DENMARK
1G	DJIBOUTI
G9	DOMINICA
G8	DOMINICAN REPUBLIC
H1	ECUADOR
H2	EGYPT
H3	EL SALVADOR
H4	EQUATORIAL GUINEA
1J	ERITREA
1H	ESTONIA
H5	ETHIOPIA
H7	FALKLAND ISLANDS (MALVINAS)
H6	FAROE ISLANDS
H8	FIJI
H9	FINLAND

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Code	Country Name
I0	FRANCE
I3	FRENCH GUIANA
I4	FRENCH POLYNESIA
2C	FRENCH SOUTHERN TERRITORIES
I5	GABON
I6	GAMBIA
2Q	GEORGIA
2M	GERMANY
J0	GHANA
J1	GIBRALTAR
J3	GREECE
J4	GREENLAND
J5	GRENADA
J6	GUADELOUPE
J8	GUATEMALA
Y7	GUERNSEY
J9	GUINEA
S0	GUINEA-BISSAU
K0	GUYANA
K1	HAITI
K4	HEARD ISLAND AND MCDONALD ISLANDS
X4	HOLY SEE (VATICAN CITY STATE)
K2	HONDURAS
K3	HONG KONG
K5	HUNGARY
K6	ICELAND
K7	INDIA
K8	INDONESIA
K9	IRAN, ISLAMIC REPUBLIC OF
L0	IRAQ
L2	IRELAND
Y8	ISLE OF MAN
L3	ISRAEL
L6	ITALY
L8	JAMAICA
M0	JAPAN
Y9	JERSEY
M2	JORDAN
1P	KAZAKSTAN
M3	KENYA
J2	KIRIBATI
M4	KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF
M5	KOREA, REPUBLIC OF
M6	KUWAIT

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Code	Country Name
1N	KYRGYZSTAN
M7	LAO PEOPLE'S DEMOCRATIC REPUBLIC
1R	LATVIA
M8	LEBANON
M9	LESOTHO
N0	LIBERIA
N1	LIBYAN ARAB JAMAHIRIYA
N2	LIECHTENSTEIN
1Q	LITHUANIA
N4	LUXEMBOURG
N5	MACAU
1U	MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF
N6	MADAGASCAR
N7	MALAWI
N8	MALAYSIA
N9	MALDIVES
O0	MALI
O1	MALTA
1T	MARSHALL ISLANDS
O2	MARTINIQUE
O3	MAURITANIA
O4	MAURITIUS
2P	MAYOTTE
O5	MEXICO
1K	MICRONESIA, FEDERATED STATES OF
1S	MOLDOVA, REPUBLIC OF
O9	MONACO
P0	MONGOLIA
Z5	MONTENEGRO
P1	MONTSERRAT
P2	MOROCCO
P3	MOZAMBIQUE
E1	MYANMAR
T6	NAMIBIA
P5	NAURU
P6	NEPAL
P7	NETHERLANDS
P8	NETHERLANDS ANTILLES
1W	NEW CALEDONIA
Q2	NEW ZEALAND
Q3	NICARAGUA
Q4	NIGER
Q5	NIGERIA
Q6	NIUE

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Code	Country Name
Q7	NORFOLK ISLAND
1V	NORTHERN MARIANA ISLANDS
Q8	NORWAY
P4	OMAN
R0	PAKISTAN
1Y	PALAU
1X	PALESTINIAN TERRITORY, OCCUPIED
R1	PANAMA
R2	PAPUA NEW GUINEA
R4	PARAGUAY
R5	PERU
R6	PHILIPPINES
R8	PITCAIRN
R9	POLAND
S1	PORTUGAL
S3	QATAR
S4	REUNION
S5	ROMANIA
1Z	RUSSIAN FEDERATION
S6	RWANDA
Z0	SAINT BARTHELEMY
U8	SAINT HELENA
U7	SAINT KITTS AND NEVIS
U9	SAINT LUCIA
Z1	SAINT MARTIN
V0	SAINT PIERRE AND MIQUELON
V1	SAINT VINCENT AND THE GRENADINES
Y0	SAMOA
S8	SAN MARINO
S9	SAO TOME AND PRINCIPE
T0	SAUDI ARABIA
T1	SENEGAL
Z2	SERBIA
T2	SEYCHELLES
T8	SIERRA LEONE
U0	SINGAPORE
2B	SLOVAKIA
2A	SLOVENIA
D7	SOLOMON ISLANDS
U1	SOMALIA
T3	SOUTH AFRICA
1L	SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS
U3	SPAIN
F1	SRI LANKA

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Code	Country Name
V2	SUDAN
V3	SURINAME
L9	SVALBARD AND JAN MAYEN
V6	SWAZILAND
V7	SWEDEN
V8	SWITZERLAND
V9	SYRIAN ARAB REPUBLIC
F5	TAIWAN, PROVINCE OF CHINA
2D	TAJIKISTAN
W0	TANZANIA, UNITED REPUBLIC OF
W1	THAILAND
Z3	TIMOR-LESTE
W2	TOGO
W3	TOKELAU
W4	TONGA
W5	TRINIDAD AND TOBAGO
W6	TUNISIA
W8	TURKEY
2E	TURKMENISTAN
W7	TURKS AND CAICOS ISLANDS
2G	TUVALU
W9	UGANDA
2H	UKRAINE
C0	UNITED ARAB EMIRATES
X0	UNITED KINGDOM
2J	UNITED STATES MINOR OUTLYING ISLANDS
X3	URUGUAY
2K	UZBEKISTAN
2L	VANUATU
X5	VENEZUELA
Q1	VIET NAM
D8	VIRGIN ISLANDS, BRITISH
X8	WALLIS AND FUTUNA
U5	WESTERN SAHARA
T7	YEMEN
Y4	ZAMBIA
Y5	ZIMBABWE

APPENDIX C. ACRONYMS

Acronym	Description
ASCII	American Standard Code for Information Interchange
CCC	CIK Confirmation Code
CIK	Central Index Key
EDGAR	Electronic Data Gathering, Analysis, and Retrieval
ICT	Investment Company Type
PDF	Portable Document Format
SEC	Securities and Exchange Commission
XML	Extensible Markup Language