EDGAR® SDR
XML Technical Specification

Version 3 **September 2015**

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1 INTRODUCTION

1.1 Purpose

This document details the valid structure and content of the SDR Electronic Data Gathering, Analysis, and Retrieval (EDGAR) Extensible Markup Language (XML) submission types. The following table lists the submission types for SDR.

Table 1-1: SDR Submission Types

SUBMISSION TYPE	DESCRIPTION
SDR	Application for SDR Registration
SDR/A	Interim Amendment
SDR-A	Annual Amendment
SDR-W	Application for Withdrawal from Registration

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

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

The SDR 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 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).

1.2 Summary of Changes

The following changes have been implemented:

- The schema file “eis_Common.xsd” was updated to include the new XBRL document types for submission form types SDR, SDR/A, SDR-A and SDR-W.
- Made the following changes to the document to make it 508 compliant:
    - Some of the column headers were not sufficient for JAWS to announce when it was entering data cells in the JAWS “Tables” mode. Enabled the “Repeat as header row at the top of each page” option to resolve the issue.
    - Some of the headings in the document did not follow a hierarchy. Corrected the issue by setting the hierarchical order. For example, Heading Level 1, Heading Level 2, Heading Level 3; or Caption or Body text for tables.
    - Lists, and the numbering of list items, were not sufficient for JAWS to identify and read. Mapped all the contents which appeared to be a list using the Numbering or Bullet list option.
    - Some of the tables in the document spanned across multiple pages with no repeated header rows, which was not sufficient for JAWS to announce the column heading of that cell in the table. Enabled the “Allow row to break across pages” and “Repeat as header row at the top of each page” options to resolve the issue.
    - Hyperlinks were not sufficient for JAWS to announce and navigate appropriately. Enabled hyperlinks and ensured JAWS read and navigated to the appropriate URLs.

Note to Filers: Submission form type SDR was updated to add the new XBRL document types to the Documents List. XBRL document types will be validated against the Standard EDGAR XBRL validation, which is currently used for exhibit Types EX-101. The naming convention for these new document types must also meet the standard XBRL document types naming convention used by EDGAR.

XBRL attachments will be validated against the existing Public Validation Criteria (PVC) in EDGAR. Failure to pass these validations will cause the submission to suspend.

2 EDGAR SCHEMA FILES

Table 2-1: SDR Schema Files describes the schema files that the EDGAR system uses to validate SDR submissions. These schemas are considered part of this specification and are distributed with this document.

Table 2-1: SDR Schema Files

XML Schema File	Scope of File
eis_SDR_Filer.xsd	Defines the elements for a SDR submission
eis_SDR_common.xsd	Defines the common elements for all EDGAR SDR submissions, Exhibit A, Exhibit B, Exhibit C, Exhibit G, Exhibit I and Exhibit T
eis_SDR_ExhibitA.xsd	Defines the elements for a SDR Exhibit A attachment
eis_SDR_ExhibitB.xsd	Defines the elements for a SDR Exhibit B attachment
eis_SDR_ExhibitC.xsd	Defines the elements for a SDR Exhibit C attachment
eis_SDR_ExhibitG.xsd	Defines the elements for a SDR Exhibit G attachment
eis_SDR_ExhibitI.xsd	Defines the elements for a SDR Exhibit I attachment
eis_SDR_ExhibitT.xsd	Defines the elements for a SDR Exhibit T attachment

The schema files define the valid data elements for a SDR 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 filing a submission. This will greatly reduce the likelihood of receiving an EDGAR Suspend 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 SDR 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 Section 3.4.
<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> indicator is 1. An optional field will have a <minOccurs> value of zero.

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

```
<xs:complexType name="APPLICANT_CATEGORY_TYPE">
   <xs:annotation>
      <xs:documentation>
         These elements are part of the APPLICANT_CATEGORY_TYPE group
      </xs:documentation>
   </xs:annotation>
   <xs:sequence>
      <xs:element name="applicantType" type="APPLICANT_TYPE" minOccurs="0"/>
      <xs:element name="applicantTypeOtherDesc" type="ns3:STRING_256_TYPE"
minOccurs="0"/>
      <xs:element name="applcntTypeConfFlag" type="ns1:TRUE_FALSE_TYPE"
minOccurs="0"/>
   </xs:sequence>
</xs:complexType>
   <xs:complexType name="CORP_ORG_INFO_TYPE">
      <xs:annotation>
         <xs:documentation>
            These elements are part of the CORP_ORG_INFO_TYPE group
         </xs:documentation>
      </xs:annotation>
   <xs:sequence>
      <xs:element name="dateOfCorporationOrg" type="ns1:DATE_TYPE"
minOccurs="0"/>
      <xs:element name="stateCorporationOrOrg" type="ns2:STATE_COUNTRY_CODE"
minOccurs="0"/>
      <xs:element name="corprtnOrgConfFlag" type="ns1:TRUE_FALSE_TYPE"
minOccurs="0"/>
   </xs:sequence>
</xs:complexType>
```

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

```
<applicantCategory>
   <applicantType>Swap Corporation</applicantType>
   <applicantTypeOtherDesc>This is sample text</applicantTypeOtherDesc>
   <applcntTypeConfFlag>false</applcntTypeConfFlag>
</applicantCategory>
<corpOrgInfo>
   <dateOfCorporationOrg>03-01-2003</dateOfCorporationOrg>
   <stateCorporationOrOrg>AL</stateCorporationOrOrg>
   <corprtnOrgConfFlag>true</corprtnOrgConfFlag>
</corpOrgInfo>
```

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

```
<xs:complexType name="CONTROL_PERSON_TYPE">
   <xs:annotation>
      <xs:documentation>
         These elements part of the repeatable CONTROL_PERSON_TYPE group
      </xs:documentation>
   </xs:annotation>
   <xs:sequence>
      <xs:element name="personTypeCode" type="PERSON_TYPE_CODE_TYPE"/>
      <xs:element name="personFirstName" type="ns1:STRING_30_TYPE"/>
      <xs:element name="personMiddleName" type="ns1:STRING_30_TYPE" minOccurs="0"/>
      <xs:element name="personLastName" type="ns1:STRING_30_TYPE"/>
      <xs:element name="personNameOfOrg" type="ns1:STRING_150_TYPE"/>
      <xs:element name="address" type="ns1:ADDRESS_TYPE"/>
      <xs:element name="agreementDescription" type="ns2:STRING_1500_TYPE"
minOccurs="0" maxOccurs="10"/>
   </xs:sequence>
</xs:complexType>
```

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

```
<controlPerson>
   <personTypeCode>1</personTypeCode>
   <personFirstName>John</personFirstName>
   <personMiddleName>Frank</personMiddleName>
   <personLastName>Doe</personLastName>
   <personNameOfOrg>Mega Swap Inc</personNameOfOrg>
   <address>
      <ns1:street1>1234 Swap Change Lane</ns1:street1>
      <ns1:street2>Suite #333</ns1:street2>
      <ns1:city>Fort Washington</ns1:city>
      <ns1:stateOrCountry>MD</ns1:stateOrCountry>
      <ns1:zipCode>22233</ns1:zipCode>
   </address>
   <agreementDescription>Sample description code ..</agreementDescription>
</controlPerson>
```

3 XML SCHEMAS

This section summarizes the restrictions and constraints imposed on the content of the SDR 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 table defines the columns in the two schema summation tables provided in Sections 3.4:

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 in Section 3.2 for a detailed description.
Element Name	Name of the XML element. This is case-sensitive.
Max Length	Maximum length for 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	Indicate a “true” value with either a “1” or the word “true.” Indicate a “false” value with either a “0” or the word “false.” A Boolean element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.
date	Must be of the format MM-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.
integer	Only valid characters are 0-9. Cannot contain commas, a minus sign, a dollar sign, or parentheses. An integer element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.

Data Type	Constraints
string	Should be no longer than the length shown in the tables in Section 3.4. EDGAR stores values in the <signatureName>, and <contactEmailAddress> elements exactly as provided. All other values are stored in the database as uppercase. You must use special escape sequences to represent these four characters: For the < character use the escape sequence “<” or “<”. For the > character use the escape sequence “>” or “>”. For the & character use the escape sequence “&” or “&”. For the “ character use the escape sequence “"” or “"”.
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 column in Section 3.4 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.
o	Optional
o#	Optional in the Schema. The value will be populated by EDGAR. Any value provided will be overwritten and a WARNING generated.
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 SDR Submission Schemas to Submission Types

Mapping of SDR and Variants Submission Schema to Submission Type

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	SDR	SDR/A	SDR-A	SDR-W
1	1	NV	edgarSubmission			1	m	m	m	m
2	1	String	schemaVersion	5		1	o	o	o	o
2	2	NV	headerData			1	m	m	m	m
3	1	String	submissionType		SUBMISSION_TYPE	1	m	m	m	m
3	2	NV	filerInfo			1	m	m	m	m
4	1	NV	Filer			1	m	m	m	m
5	1	NV	filerCredentials			1	m	m	m	m
6	1	String	Cik	10		1	m	m	m	m
6	2	String	Ccc	10		1	m	m	m	m
5	2	String	fileNumber	17		1	o	o	o	o
4	2	NV	Flags			1	o	o	o	o
5	3	Boolean	returnCopyFlag		"true" or "false"	1	o	o	o	o
5	4	Boolean	overrideInternetFlag		"true" or "false"	1	o	o	o	o
5	5	Boolean	confirmingCopyFlag		"true" or "false"	1	o	o	o	o
4	3	NV	Contact			1	m	m	m	m
5	6	String	contactName	150		1	m	m	m	m
5	7	String	contactPhoneNumber	20		1	m	m	m	m
5	8	String	contactEmailAddress	80		1	m	m	m	m
4	4	NV	Notifications			1	o	o	o	o
5	9	String	notificationEmailAddress	80		3	o	o	o	o
4	5	String	liveTestFlag			1	m	m	m	m
4	6	Date	startPeriod	8		1	NA	NA	o	NA
4	7	Date	endPeriod	8		1	NA	NA	o	NA
2	3	NV	formData			1	m	m	m	m
3	3	NV	principalInfo			1	m	m	m	m
4	8	String	applicantName	150		1	m	m	m	m
4	9	String	street1	40		1	m	m	m	m
4	10	String	street2	40		1	o	o	o	o
4	11	String	City	30		1	m	m	m	m
4	12	String	stateOrCountry			1	m	m	m	m

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	SDR	SDR/A	SDR-A	SDR-W
4	13	String	zipCode	10		1	m	m	m	m
4	14	String	amendedItemsList	256		1	o	o	o	o
4	15	String	amendedItemsAnnual	256		1	o	o	o	o
4	16	Boolean	confirmAccurateInformation		"true" or "false"	1	o	o	o	o
4	17	Boolean	prncpalConfFlag		"true" or "false"	1	o	o	o	o
3	2	NV	generalInfo			1	m	m	m	m
4	18	NV	business			1	m	m	m	m
5	10	NV	businessName			1	o	o	o	o
6	3	String	nameOnBusiness	150		1	o	o	o	o
6	4	Boolean	nameOnBusinessConfFlag		"true" or "false"	1	o	o	o	o
5	11	NV	previousBusinessName			1	o	o	o	o
6	5	String	previousBusinessName	150		1	o	o	o	o
6	6	Boolean	previousBusinessNameConfFlag		"true" or "false"	1	o	o	o	o
5	12	NV	businessAddress			1	m	m	m	m
6	7	String	street1	40		1	m	m	m	m
6	8	String	street2	40		1	o	o	o	o
6	9	String	city	30		1	m	m	m	m
6	10	String	stateOrCountry			1	m	m	m	m
6	11	String	zipCode	10		1	m	m	m	m
6	12	Boolean	businessAddressConfFlag		"true" or "false"	1	o	o	o	o
4	19	NV	officeInfo			1	m	m	m	m
5	13	NV	office			15	m	m	m	m
6	13	String	officeName	150		1	m	m	m	m
6	14	String	street1	40		1	m	m	m	m
6	15	String	street2	40		1	o	o	o	o
6	16	String	city	30		1	m	m	m	m
6	17	String	stateOrCountry			1	m	m	m	m
6	18	String	zipCode	10		1	m	m	m	m
5	14	Boolean	officeConfFlag		"true" or "false"	1	o	o	o	o
4	20	NV	successor			1	o	o	o	o
5	15	Boolean	successionFlag		"true" or "false"	1	o	o	o	o
5	16	Boolean	successionDateFlag		"true" or "false"	1	o	o	o	o

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	SDR	SDR/A	SDR-A	SDR-W
5	17	Date	successionDate	8		1	o	o	o	o
5	18	Boolean	predecessorNameAddressFlag		"true" or "false"	0	o	o	o	o
5	19	String	predecessorName	150		1	o	o	o	o
5	20	String	street1	40		1	o	o	o	o
5	21	String	street2	40		1	o	o	o	o
5	22	String	city	30		1	o	o	o	o
5	23	String	stateOrCountry			1	o	o	o	o
5	24	String	zipCode	10		1	o	o	o	o
5	25	Boolean	predecessorCikFlag		"true" or "false"	1	o	o	o	o
5	26	String	cik	10		1	m	m	m	m
5	27	Boolean	successor ConfFlag		"true" or "false"	1	o	o	o	o
4	21	NV	assetClasses			1	m	m	m	m
5	28	String	assetClassesList	256		1	m	m	m	m
5	29	Boolean	assetClassesConfFlag		"true" or "false"	1	o	o	o	o
4	22	NV	functionDescription			1	m	m	m	m
5	30	String	functionDescriptionPerformed	1K		1	m	m	m	m
5	31	Boolean	functionDescriptionConfFlag		"true" or "false"	1	o	o	o	o
4	23	NV	applicantCategory			1	o	o	o	o
5	32	String	applicantType		APPLICANT_TYPE	1	m	m	m	m
5	33	String	applicantTypeOtherDesc	256		1	o	o	o	o
5	34	Boolean	applcntTypeConfFlag		"true" or "false"	1	o	o	o	o
4	24	NV	corpOrgInfo			1	o	o	o	o
5	35	Date	dateOfCorporationOrg	8		1	o	o	o	o
5	36	String	stateCorporationOrOrg			1	o	o	o	o
5	37	Boolean	corprtnOrgConfFlag		"true" or "false"	1	o	o	o	o
4	25	NV	partnershipInfo			1	o	o	o	o
5	38	Date	filingPartnershipDate	8		1	o	o	o	o
5	39	String	placeOfPartnershipAgreement	150		1	o	o	o	o
5	40	Boolean	filingPrtnrConfFlag		"true" or "false"	1	o	o	o	o
4	26	NV	consentName			1	m	m	m	m
5	41	String	personNameOrOfficerTitle	150		1	m	m	m	m
5	42	String	applicantNameOrApplcblEntity	150		1	m	m	m	m
5	43	Boolean	consentNameConfFlag		"true" or "false"	1	o	o	o	o

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	SDR	SDR/A	SDR-A	SDR-W
4	27	NV	consentAddress			1	m	m	m	m
5	44	String	street1	40		1	m	m	m	m
5	45	String	street2	40		1	o	o	o	o
5	46	String	city	30		1	m	m	m	m
5	47	String	stateCountry			1	m	m	m	m
5	48	String	zipCode	10Nell		1	m	m	m	m
5	49	Boolean	consentAddressConfFlag		"true" or "false"	1	o	o	o	o
4	28	NV	consentPhone			1	m	m	m	m
5	50	String	phone	20		1	m	m	m	m
5	51	Boolean	consentPhoneConfFlag		"true" or "false"	1	o	o	o	o
3	4	NV	custodianInfo			1	NA	NA	NA	m
4	29	NV	custodian			20	m	m	m	m
5	52	NV	nameInfo			1	m	m	m	m
6	19	String	name	150		1	m	m	m	m
6	20	Boolean	nameConfFlag		"true" or "false"	1	o	o	o	o
5	53	NV	addressInfo			1	m	m	m	m
6	21	String	addressOneStreet1	40		1	m	m	m	m
6	22	String	addressOneStreet2	40		1	o	o	o	o
6	23	String	addressOneCity	30		1	m	m	m	m
6	24	String	addressOneStateCountry			1	m	m	m	m
6	25	String	addressOneZipCode	10		1	m	m	m	m
6	26	Boolean	addressOneConfFlag		"true" or "false"	1	o	o	o	o
6	27	Boolean	diffrentAddressFlag		"true" or "false"	1	o	o	o	o
6	28	String	addressTwoStreet1	40		1	o	o	o	o
6	29	String	addressTwoStreet2	40		1	o	o	o	o
6	30	String	addressTwoCity	30		1	o	o	o	o
6	31	String	addressTwoStateCountry			1	o	o	o	o
6	32	String	addressTwoZipCode	10		1	o	o	o	o
6	33	Boolean	addressTwoConfFlag		"true" or "false"	1	o	o	o	o
5	54	NV	phoneInfo			1	m	m	m	m
6	34	String	phone	20		1	m	m	m	m
6	35	Boolean	phoneConfFlag		"true" or "false"	1	o	o	o	o
3	5	NV	signatureInfo			1	m	m	m	m

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	SDR	SDR/A	SDR-A	SDR-W
4	30	Date	signatureDate	8		1	m	m	m	m
4	31	String	signatureApplicantName	150		1	m	m	m	m
4	32	String	signature	255		1	m	m	m	m
4	33	String	signatureTitle	60		1	m	m	m	m
4	34	Boolean	signatureConfflag		"true" or "false"	1	o	o	o	o
3	6	NV	nonapplicableExhibits			6	o	o	o	o
4	35	NV	exhibit			1	o	o	o	o
5	55	String	nonapplicableExhibitType		NON_APPLICABLE_EXHIBIT_TYPE	1	o	o	o	o
5	56	String	nonapplicableJustification	256		1	o	o	o	o
5	57	Boolean	confidential		"true" or "false"					
3	7	NV	documents			1	m#	m#	m#	m#
4	36	NV	document			unlimited	m#	m#	m#	m#
5	58	String	conformedName	32		1	m	m	m	m
5	59	String	conformedDocumentType		SUB DOCUMENT TYPE	1	m	m	m	m
5	60	String	description	255		1	o	o	o	o
5	61	String	contents			1	m	m	m	m
5	62	String	confidentiality		"true" or "false"	1	0	0	0	0

3.5 Mapping of SDR Exhibits

Mapping of SDR Exhibit A Schema

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Exhibit A
1	1	NV	controllingPersons			1	m
2	1	NV	controlPerson			Unlimited	m
3	1	String	personTypeCode		PERSON_TYPE_CODE_TYPE	1	m
3	2	String	personFirstName	30		1	o
3	3	String	personMiddleName	30		1	o
3	4	String	personLastName	30		1	o
3	5	String	personNameOfOrg	150		1	o

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Exhibit A
3	6	String	address			1	m
3	7	String	agreementDescription	1500		10	o

Mapping of SDR Exhibit B Schema

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Exhibit B
1	1	NV	chiefComplianceOfficers			1	m
2	1	NV	chiefComplianceOfficer			10	m
3	1	String	chiefComplianceOfficerFirstName	30		1	m
3	2	String	chiefComplianceOfficerMiddleName	30		1	o
3	3	String	chiefComplianceOfficerLastName	30		1	m
3	4	String	chiefComplianceOfficerTitle	100		1	m
3	5	Date	termCommencementDate			1	m
3	6	Date	termTerminateDate			1	o
3	7	Integer	numberOfYearInPosition	2		1	m
3	8	Integer	numberOfMonthInPosition	2		1	m
3	9	String	businessExperienceDesc	1500		1	m
3	10	String	otherBusinessAffiliation	1500		100	o
3	11	String	disciplinaryHistory	1500		100	o

Mapping of SDR Exhibit C Schema

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Exhibit C
1	1	NV	directorGovernors			1	m
2	1	NV	officer			100	o
3	1	String	officerFirstName	30		1	m
3	2	String	officerMiddleName	30		1	o
3	3	String	officerLastName	30		1	m

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Exhibit C
3	4	String	officerTitle	100		1	m
3	5	Date	officerTermCommencementDate			1	m
3	6	Date	officerTermTerminateDate			1	o
3	7	Integer	officerNumOfYearInPosition	2		1	m
3	8	Integer	officerNumOfMonthInPosition	2		1	m
3	9	String	officerBusinessExperienceDesc	1500		1	m
3	10	String	officerOtherBusinessAffiliation	1500		100	o
3	11	String	officerDisciplinaryHistory	1500		100	o
3	12	String	standingCommitteeName	100		1	m
2	2	NV	standingCommittee			100	o
3	1	String	standingCommitteeName	100		1	m
4	1	String	memberFirstName	30		1	m
3	2	NV	standingCommitteeMember			Unlimited	m
4	1	String	memberMiddleName	30		1	o
4	2	String	memberLastName	30		1	m
4	3	String	memberTitle	100		1	m
4	4	Date	memberTermCommencementDate			1	m
4	5	Date	memberTermTerminateDate			1	o
4	6	Integer	memberNumOfYearInPosition	2		1	m
4	7	Integer	memberNumOfMonthInPosition	2		1	m
4	8	String	memberBusinessExperienceDesc	1500		1	m
4	9	String	memberOtherBusinessAffiliation	1500		100	o
4	10	String	memberDisciplinaryHistory	1500		100	o

Mapping of SDR Exhibit G Schema

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Exhibit G
1	1	NV	affiliates			1	m
2	1	NV	affiliate			100	m
3	1	String	affiliateTypeCode		AFFILIATE_TYPE_CODE_TYPE	1	m
3	2	String	affiliateFirstName	30		1	o

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Exhibit G
3	3	String	affiliateMiddleName	30		1	o
3	4	String	affiliateLastName	30		1	o
3	5	String	affiliateNameOfOrg	150		1	o
3	6	String	affiliateDetailDesc	1500		1	m

Mapping of SDR Exhibit I Schema

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Exhibit I
1	1	NV	serviceProviderContracts			1	m
2	1	NV	serviceProviderContract			100	m
3	1	String	contractServiceProviderName	100		1	m
3	2	String	contractServiceProviderTypeCode		CONTRACT_SERV_PROV_TYPE_CODE_TYPE	1	m
3	3	String	contractDescription	1500		100	o

Mapping of SDR Exhibit T Schema

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Exhibit T
1	1	NV	subscriberInformation			1	m
2	1	Integer	numberOfSubscriber	5		1	m
2	2	NV	limitedAccessSubscriber	5		100000	o
3	1	String	limitedAccessSubscriberTypeCode		LMTD_SUBSCRIBER_TYPE_CODE_TYPE	1	m
3	2	String	limitedAccessSubscriberFirstName	30		1	o
3	3	String	limitedAccessSubscriberMiddleName	30		1	o
3	4	String	limitedAccessSubscriberLastName	30		1	o
3	5	String	limitedAccessSubscriberOrgName	100		1	o
3	6	String	limitationOrProhibitionReason	1500		1	o
2	3	NV	infoDeliveryService			100	o
3	1	Integer	numberOfDevice	5		1	m
3	2	Integer	minRequiredNumOfDevice	5		1	o

Level	Order	Data Type	Element Name	Max Length	Choice List	Max Occur	Exhibit T
3	3	Integer	maxPermittedNumOfDevice	5		1	o
3	4	String	dataElementForInfoDeliveryDevice	1000		100	m
2	4	NV	machineReadableService			100	o
3	1	String	machineReadableServiceStoreMedia	100		1	m
3	2	String	machineReadableServiceDataElement	1000		100	m

4 SDR SCHEMA DATA VALUE CONSTRAINTS

4.1 SUBMISSION_TYPE

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

VALUE	CODE DESCRIPTION
SDR	Application for SDR Registration
SDR/A	Interim Amendment
SDR-A	Annual Amendment
SDR-W	Application for Withdrawal from Registration

4.2 APPLICANT_TYPE

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

VALUE
Corporation
Partnership
Other Form of Organization

4.3 NON_APPLICABLE_EXHIBIT_TYPE

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

VALUE
EX-99.A SDR SUMMARY
EX-99.E SDR
EX-99.G SDR
EX-99.H SDR
EX-99.I SDR SUMMARY
EX-99.L SDR

4.4 SUB_DOCUMENT_TYPE

DOC TYPE
CORRESP
GRAPHIC
EX-99.A SDR AGRMNT
EX-99.A SDR SUMMARY
EX-99.B SDR
EX-99.C SDR
EX-99.D SDR
EX-99.E SDR
EX-99.F SDR
EX-99.G SDR
EX-99.H SDR
EX-99.I SDR CNTRCT
EX-99.I SDR SUMMARY
EX-99.J SDR
EX-99.K SDR
EX-99.L SDR
EX-99.M SDR
EX-99.N SDR
EX-99.O SDR
EX-99.P SDR
EX-99.Q SDR
EX-99.R SDR
EX-99.S SDR
EX-99.T SDR
EX-99.U SDR
EX-99.V SDR
EX-99.W SDR
EX-99.X SDR
EX-99.Y SDR
EX-99.Z SDR
EX-99.AA SDR
EX-99.BB SDR
EX-99.CC SDR
EX-99.DD SDR
EX-99.EE SDR
EX-99.FF SDR
EX-99.GG SDR
EX-99.HH SDR
EX-99.II SDR

DOC TYPE
EX-99.K SDR.INS
EX-99.K SDR.SCH
EX-99.K SDR.PRE
EX-99.K SDR.LAB
EX-99.K SDR.CAL
EX-99.K SDR.DEF
EX-99.L SDR.INS
EX-99.L SDR.SCH
EX-99.L SDR.PRE
EX-99.L SDR.LAB
EX-99.L SDR.CAL
EX-99.L SDR.DEF

5 SDR EXHIBIT SCHEMA DATA VALUE CONSTRAINTS

5.1 PERSON_TYPE_CODE_TYPE

These are the valid values for the < PERSON_TYPE_CODE_TYPE> element in the Exhibit A file:

VALUE	CODE DESCRIPTION
1	Natural Person
2	Organization

5.2 AFFILIATE_TYPE_CODE_TYPE

These are the valid values for the < AFFILIATE_TYPE_CODE_TYPE> element in the Exhibit G file:

VALUE	CODE DESCRIPTION
1	Natural Person
2	Organization

5.3 CONTRACT_SERV_PROV_TYPE_CODE_TYPE

These are the valid values for the < CONTRACT_SERV_PROV_TYPE_CODE_TYPE > element in the Exhibit I file:

VALUE	CODE DESCRIPTION
1	Security-Based Swap Execution Facility
2	Clearing Agency
3	Central Counterparty
4	Third Party Service Provider

5.4 LMTD_SUBSCRIBER_TYPE_CODE_TYPE

These are the valid values for the < LMTD_SUBSCRIBER_TYPE_CODE_TYPE > element in the Exhibit T file:

VALUE	CODE DESCRIPTION
1	Natural Person
2	Organization

6 BASIC SUBMISSION CONSTRUCTION

6.1 General Formatting of XML Files

The following rules apply to the submission file of an XML-format SDR 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 with indentation 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>
   ```

6.2 XML Submission File Rules

The following rules apply to the supporting document XML-format:

1. 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 an error. The version value must be "1.0." Any other value for version will cause an error.
2. The XML elements cannot have any namespaces.

   For e.g.: It has to be <contactName> and not <ns1:contactName>
3. The order of any <notificationEmailAddress> elements does not matter.
4. The submission file must conform to the XML schema files. Any violation of this schema will result in the suspension of the filing.

6.2.1 Enclosing a Document

1. Allowable file extensions are .pdf, .txt, .htm, .jpg, .xml and .gif.
2. The names of attached document files must follow the EDGAR file naming conventions:
   - 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 of .xml.
3. The <description> is optional, but all other elements must be present and must have a value.
4. 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.

The XML for an enclosed supporting document looks like this:

```
<documents>
   <document>
        < conformedName>test1.txt</ conformedName>
        < conformedDocumentType>Exhibit A</ conformedDocumentType>
        < description> Description field text here... </ description>
        < contents> dGVzdGA= </ contents>
        < confidentiality> false </ confidentiality >
   </document>
   document>
        < conformedName>test2.txt</ conformedName>
        < conformedDocumentType>Exhibit G</ conformedDocumentType>
        < description> Description field text here... </ description>
        < contents> dGVzdGA= </ contents>
        < confidentiality> true </ confidentiality >
   </document>
</documents>
```

7 ERROR REPORTING

EDGAR will generate an error for each violation of an XML schema constraint, as well as for each violation of a SDR 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 7-1: Submission Errors and Severity

Error Condition	Severity
Elements not in sequence prescribed in Section 3.4	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 Notification Address	WARNING
“NA” or blank field has a value	WARNING
Invalid Issuer CIK	SUSPENDED
Improperly formatted email address	SUSPENDED
Exceeding a “Max Occur” limit	SUSPENDED
Identify the appropriate asset class(es) (up to 256 characters)	SUSPENDED
Submission missing a required XBRL document or has an invalid XBRL document	SUSPENDED

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

8 EXAMPLE SDR SUBMISSION FILES

Table 8-1: Sample Submission/Document Files provides a list of sample submission files.

Table 8-1: Sample Submission/Document Files

Submission/Document Type	Sample File
SDR	Sample SDR.xml
EX-99.A SDR SUMMARY	Sample Exhibit A.xml
EX-99.B SDR	Sample Exhibit B.xml
EX-99.C SDR	Sample Exhibit C.xml
EX-99.G SDR	Sample Exhibit G.xml
EX-99.I SDR SUMMARY	Sample Exhibit I.xml
EX-99.T SDR	Sample Exhibit T.xml

Appendix A. STATE/COUNTRY CODES

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

Code	State/Country 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

Code	State/Country 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.
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

Code	State/Country Name
C7	BANGLADESH
C8	BARBADOS
1F	BELARUS
C9	BELGIUM
D1	BELIZE
G6	BENIN
D0	BERMUDA
D2	BHUTAN
D3	BOLIVIA
1E	BOSNIA AND HERZEGOVINA
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

Code	State/Country Name
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
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

Code	State/Country Name
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
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

Code	State/Country Name
P5	NAURU
P6	NEPAL
P7	NETHERLANDS
P8	NETHERLANDS ANTILLES
1W	NEW CALEDONIA
Q2	NEW ZEALAND
Q3	NICARAGUA
Q4	NIGER
Q5	NIGERIA
Q6	NIUE
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

Code	State/Country Name
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
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

Code	State/Country Name
T7	YEMEN
Y4	ZAMBIA
Y5	ZIMBABWE

Appendix B. 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
PDF	Portable Document Format
SEC	Securities and Exchange Commission
XML	Extensible Markup Language
XBRL	eXtensible Business Reporting Language