



Quick Reference Guide

How to Create an XML Information Table for Form 13F Using Excel 2010 or 2007



This reference guide is intended to help filers prepare their Form 13F Information table in order to submit it electronically via EDGAR. These instructions are provided as general guidance and should not be relied upon as definitive or a substitute for the information provided in the [EDGAR Filer Manual](#). Instructions for filing Form 13F are contained in the EDGAR Filer Manual (Volume II).

Step I. Prepare the Information Table in Excel

Name of Issuer	Title of Class	CUSIP No	Value (x\$1000)	Shares or Principal Amount	Shares/ Principal	Put/Call	Investment Discretion	Other Managers	Sole	Shared	None
123 Co	COM	00206R102	4467000	126,200	SH	Put	SOLE	12	0	0	126,200
ABC Inc	COM SER A	030420103	7253000	175,950	PRN	Put	DFND	1,34,56,13	79,200	0	96,750
DEFG Corp	SHS CLASS A A	03076C106	9900000	120,400	PRN	Call	OTR	1,56,14	46,700	0	75,700
HIJK Partners	UNIT LTD PAR	032511107	8713000	101,400	PRN	Call	SOLE	15	47,050	0	54,350
LMNO Tech Cor	COM ADDED	037833100	28471000	71,800	SH	Call	DFND	1,56,16	49,100	0	22,700
PQRST Partners	SPONSORED A	073302101	7999000	126,800	SH	Put	OTR	1,34,56,17	48,750	0	78,050
UVW Cap LP	UNIT LTD PAR	084670702	8226000	73,500	PRN	Put	SOLE	18	34,700	0	38,800
XYZ Series Trust	S&P BIOTECH	110122108	938000	21,000	PRN	Put	OTR	1,34,56,19	21,000	0	21,000

The information table should have exactly 12 columns with corresponding column headers as depicted above in Figure 1. Errors made when inputting the data will cause subsequent schema validation errors once the table is exported to the XML file. The Filer Technical Support team has assembled the following guidance for filers when preparing the information table in Excel:

- No blank rows above or below the table.
- Header information must be on one row (for example, Name of Issuer, Title of Class, Investment Discretion, etc.).
- CUSIP Number cannot exceed 9 characters.
- Automatically rounded values.
 - Make sure columns with numerical values do not have decimals. Scroll through other columns to ensure that there are no stored decimal values in the table.
 - Excel rounds any decimals to the nearest whole number. When the cell is selected the formula bar will display the decimal value at the top of the spread sheet; see screenshot below. If the formula bar is showing decimal values, the validation will fail in EDGAR. To correct this, delete the value and manually type the rounded value.

	B	C	D
1	Title of Class	CUSIP No	Value(x\$1000)
2	COM	00206R102	4,467,000
3	COM SER A	030420103	7,253,000

- There are only two acceptable values in the **Shares/Principal** column which are SH or PRN and the acronym must be capitalized.



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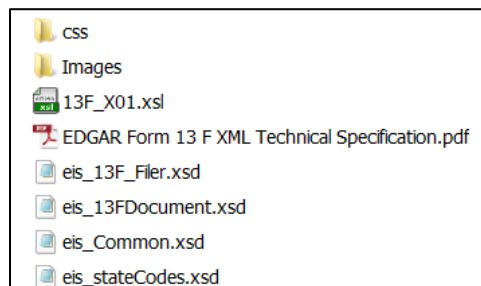
- The **Put/Call** column can be left blank if there is no value. If entering a value, the only acceptable values are Put and Call and the first letter must be capitalized.
 - Sometimes cells in Excel contain a value even though the cells appear empty. This could result in errors if the contents of the cell are not cleared. To prevent this from occurring, be sure to clear the contents of any blank cell by right clicking on the empty cell and selecting “Clear Contents.” This will ensure that no data is being captured.
 - The only acceptable values in the **Investment Discretion** column are SOLE, DFND, and OTR. All letters of the acronym must be capitalized.
- The **Other Managers** column can be left blank if there is no value. If entering more than one number, use commas to separate the values (e.g. 1,10,23).
- The **Sole, Shared, and None** columns must have values for each entry. If there is no value, enter a zero (0).

Note: *If uncertain of the values for certain fields, please consult the [13F Frequently Asked Questions](#) document if further clarity is needed on certain fields. This FAQ is available on the public site or consult the SEC Division of Investment Management Chief Counsel’s Office at 202-551-6865.*

Step II. Save the Schema Files

The schema files are contained in a zip file on the SEC website.

1. Navigate to the EDGAR Form 13F Technical Specification:
[EDGAR Form 13F XML Technical Specification](#)
2. Select the link to the compressed folder at the bottom of the page to download and save the 13F XML Technical Specification file.
3. Click on **Save** and select the folder destination for the file. Select **Save**.
4. Open the folder, right click on the file and select **Extract All**.
5. **Browse** to locate the saved schema file in the Extract Compressed (Zipped) Folders window and select **Extract**.
6. A folder will be created that contains the 13F XML Technical Specification PDF, schema files with the .xsd file extension and sample documents with the .xml extension as displayed below:



Note: The method for extracting the files to a folder varies depending on the zip software.



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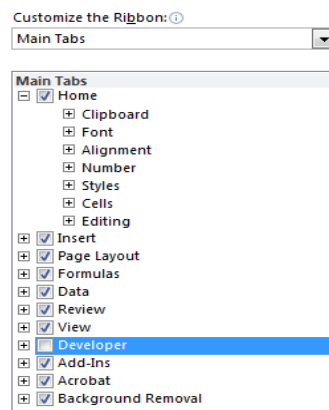


Step III. Enable the Developer Tab in Excel

In order to map the table to XML, the developer tab in Excel has to be enabled.

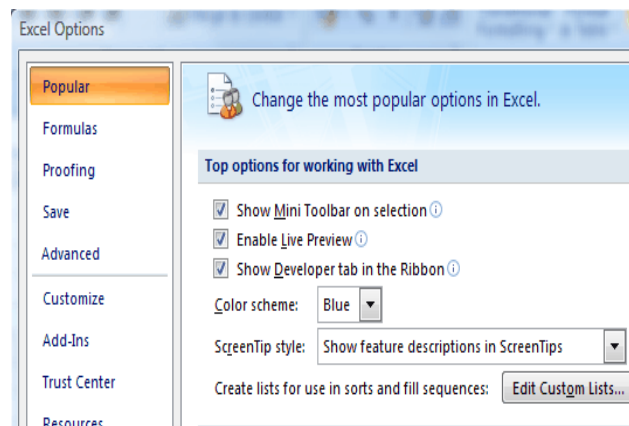
Excel 2010

1. Select **File > Options**
2. Select **Customize Ribbon**
3. The Main Tabs option should be selected under the drop down listed under Customize Ribbon
4. Select **Developer** to enable the tab; see screenshot below.
5. Click **OK**



Excel 2007

1. Select the Office button from the upper-left corner in Excel
2. Select **Excel Options** located at the bottom of the menu
3. Select **Popular**, as shown below
4. Select **Show Developer tab in the Ribbon**
5. Click **OK**





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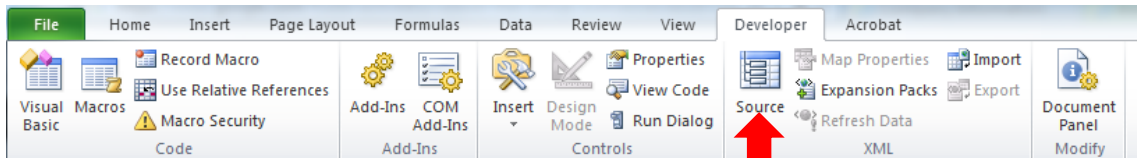
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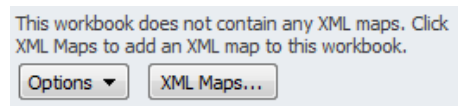
Step IV. Mapping the Excel File

The following instructions and corresponding images display the options in Excel 2010. Please consult internal resources if you have another version of Excel not covered in Step III.

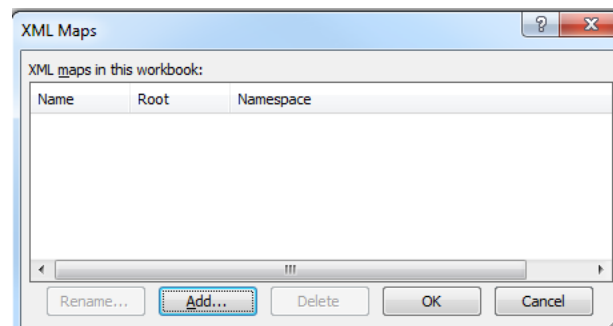
1. Select **Developer** from the main menu and select **Source**.



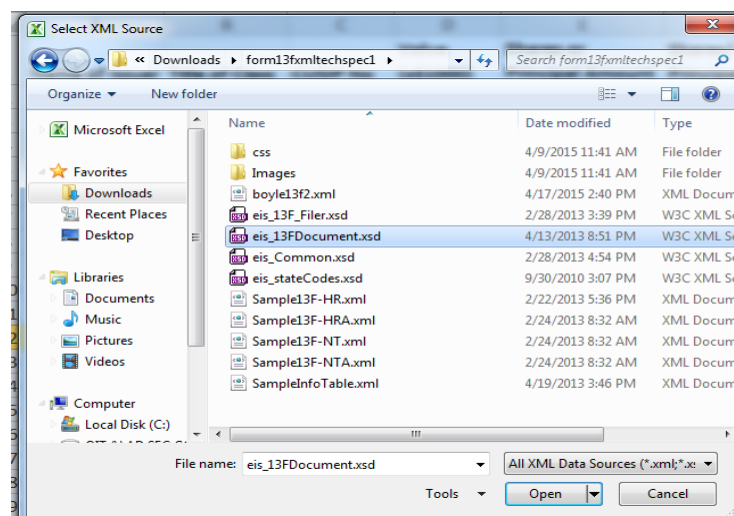
2. Select **XML Maps**, located at the bottom of the XML Source window.



3. The XML Maps window will appear. Click the **Add** button.



4. Locate the extracted files and select the **eis_13FDocument** file. Select **Open**.



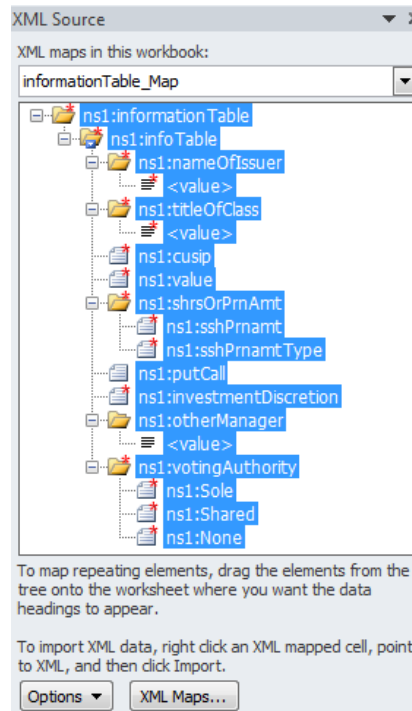


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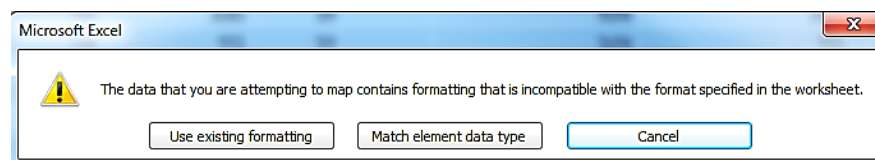
5. Click **OK** in the XML Maps window.
6. The XML Source window will populate with the XML map data. Select **ns1:informationTable** to highlight the map.



7. Select the highlighted XML map by clicking the parent cell, **ns1:informationTable**, hold the mouse down to drag the highlighted map to the **A1 cell (Name of Issuer)**. The information table will be highlighted; see example below.

	A	B	C	D	E	F	G	H	I	J	K	L
1	Name of Issuer	Title of Class	CUSIP No	Value (x\$1000)	Shares or Principal Amou	Shares/ Principa	Put/Cal	Investment Discretion	Other Manager	Sole	Shared	None
2	123 Co	COM	00206R102	4,467,000	126,200 SH	Put	SOLE		12	0	0	126,200
3	ABC Inc	COM SER A	030420103	7,253,000	175,950 PRN	Put	DFND		1,34,56,13	79,200	0	96,750
4	DEFG Corp	SHS CLASS A ADDED	03076C106	9,900,000	120,400 PRN	Call	OTR		1,56,14	46,700	0	75,700
5	HIJK Partners	UNIT LTD PARTN	032511107	8,713,000	101,400 PRN	Call	SOLE		15	47,050	0	54,350
6	LMNO Tech Corp	COM ADDED	037833100	28,471,000	71,800 SH	Call	DFND		1,56,16	49,100	0	22,700
7	PQRST Partners LTD	SPONSORED ADR	073302101	7,999,000	126,800 SH	Put	OTR		1,34,56,17	48,750	0	78,050
8	UVW Cap LP	UNIT LTD PARTN	084670702	8,226,000	73,500 PRN	Put	SOLE		18	34,700	0	38,800
9	XYZ Series Trust	S&P BIOTECH	110122108	938,000	21,000 PRN	Put	OTR		1,34,56,19	21,000	0	21,000

8. The following window may appear stating that the map contains formatting that is incompatible with the format specified in the worksheet; select **Match Element Data Type**.





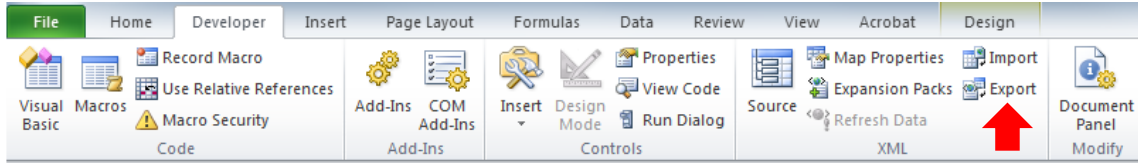
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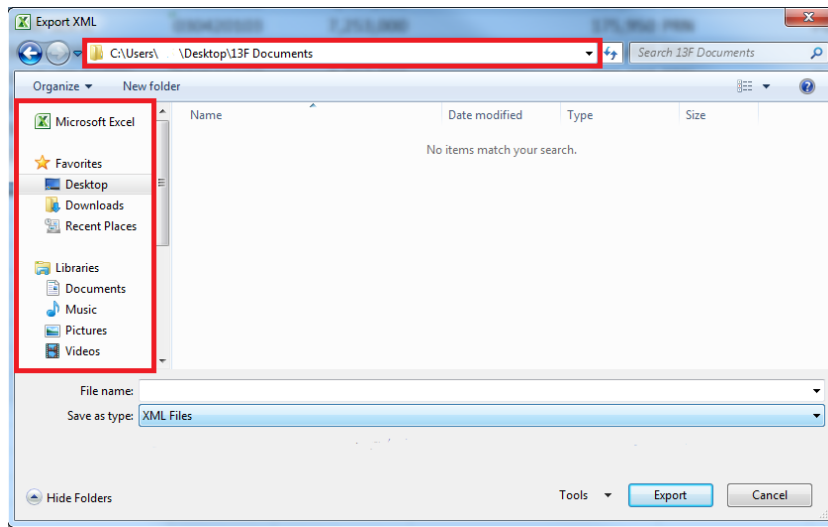


Step V. Export the Information Table to an XML File

1. Select **Developer** from the main menu and select **Export**



2. Save the XML file to the desktop or desired location. (Address bar on the top displays where the XML document will be exported. XML files can be saved in different locations by clicking different folders on the left-hand side).



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. The first character must be a letter, spaces are not allowed and the file name must have a file type extension of .xml.

Step VI. Upload and Validate the XML file in the Electronic Form 13F

1. Log in to the [EDGAR Filing website](#)
2. Select **File Form 13F** under Online Forms





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3. Select the form type from the **Type of Filing** list and select the **Next** button.

The screenshot shows the 'Type of Filing' page. At the top, it says 'U.S. SECURITIES AND EXCHANGE COMMISSION' and 'Electronic Data Gathering, Analysis and Retrieval Form 13F'. Below this, there's a section titled 'Type of Filing' with a sub-header 'Type of Filing'. The instructions say: 'Make a selection from the list below indicating the type of filing you wish to submit.' There are five radio button options: 'Initial Quarterly Form 13F Holdings Report filed by institutional managers (13F-HR)', 'Amendment to a Quarterly Form 13F Holdings Report filed by institutional managers (13F-HR/A)', 'Initial Quarterly Form 13F Notice Report filed by institutional managers (13F-NT)', 'Amendment to a Quarterly Form 13F Notice Report filed by institutional managers (13F-NT/A)', and 'Continue with Saved Form (Stored on your computer)'. At the bottom, there are 'NEXT' and 'EXIT' buttons.

The **Continue with Saved Form** option is applicable if the file has been saved from the electronic 13F form on the EDGAR filing website. The saved online form will be saved to the Downloads folder and will have an .eis file extension (e.g. 13F_Filer.eis).

4. Complete the Filer Information, Cover, Signature and Summary pages.
5. In the Documents section, select **Add Document > Choose Attachments** and select the XML information table.

The screenshot shows the '13F-HR: Attached Documents List' page. On the left, there's a sidebar with 'OMB APPROVAL' (OMB Number: 3235-0006, Estimated average burden hours per response: 23.8) and a navigation menu with 'Filer Information', 'Cover Page', 'Signature', 'Summary Page', and 'Documents'. The main area has a table with columns 'File Name*', 'Type', 'Description', and 'Errors'. Below the table, it says 'Document Count: 0' and has buttons for 'Add Document', 'Delete Document', and 'Validate Document'. Below that is the 'Attachment Selection and Upload' section with a 'Choose Attachments' button.

6. Click the box next to the File Name and choose **Validate Document**.

The screenshot shows the '13F-HR: Attached Documents List' page. The sidebar is the same as in the previous screenshot. The table now has one row with 'form13f.xml' in the 'File Name*' column, 'INFORMATION TA' in the 'Type' column, and an empty 'Description' column. The 'Document Count' is now 1. The 'Validate Document' button is highlighted with a red box. A blue arrow labeled 'PREVIOUS' points to the left.



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7. If your document has errors, click the **red number** to view errors that need to be corrected.

13F-HR: Attached Documents List

File Name*	Type	Description	Errors
<input type="checkbox"/> form13f.xml	INFORMATION TA		0

Document Count: 1

[Add Document](#) [Delete Document](#) [Validate Document](#)

8. If you would like to save the form, select the **Save** button. You will be able to save the form to your computer in order to use the “Continue with a Saved Form” option within the Type of Filing selection.
9. If your document has no errors and you are ready to submit your filing, click the **Submit** button.
10. Record the accession number for future reference to retrieve the submission status at the EDGAR Filing Website.

If you have any technical difficulties, please contact the Filer Technical Support Team at 202-551-8900 Option 3.