



EDGAR[®] ANE Exception Notice XML Technical Specification

Version 1.0

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1 Introduction

1.1 Purpose

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

Table 1-1: ANE Excep Notice and ANE Excep Notice-W Submission Types

Submission Type	Description
ANE Excep Notice	ANE Exception Notice under Exchange Act Rule 3a71-3(d)(1)(vi)
ANE Excep Notice-W	Withdrawal of an ANE Exception Notice under Exchange Act Rule 3a71-3(d)(1)(vi)

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

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

The ANE Excep Notice and ANE Excep Notice-W can be transmitted to the SEC via the EDGAR Filing website (www.edgarfiling.sec.gov) or the “Transmit XML Submission” option from the EDGAR OnlineForms/XML website (www.onlineforms.edgarfiling.sec.gov).

To access the EDGAR Filing and EDGAR OnlineForms websites, you must have a Central Index Key (CIK) and a current EDGAR password and CIK confirmation code (CCC).

If you do not have a CIK, password and/or CCC, please consult How Do I Understand and Utilize EDGAR CIKs, Passphrases and Access Codes on SEC.gov.

For further information about EDGAR Filing and EDGAR OnlineForms, specifically with respect to the transmission of filer-constructed submissions, refer to the “Filer Constructed XML Submission” section of the EDGAR Filer Manual, Volume II (EDGAR Filing).

2 EDGAR Schema Files

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

Table 2-1: ANE Excep Notice and ANE Excep Notice-W Schema Files

XML Schema File	Scope of File
eis_ANE_EXCEP_NOTICE_Filer.xsd	Defines the elements for an ANE Excep Notice and ANE Excep Notice-W submissions.
eis_Common.xsd	Defines the submission fields that are common in all EDGAR submissions.

The schema files define the valid data elements for an ANE Excep Notice and ANE Excep Notice-W 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. 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 www.w3schools.com.

The table below highlights the schema language features used most heavily in the ANE Excep Notice and ANE Excep Notice-W 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_ANE_EXCEP_NOTICE_Filer.xsd schema file and includes some of these indicators:

```

<xs:simpleType name="SUBMISSION_TYPE">
  <xs:annotation>
    <xs:documentation>
      Type of submission you are filing. Choose a value from the appropriate
      family of Submission Types.
    </xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:token">
    <xs:enumeration value="ANE Excep Notice"/>
    <xs:enumeration value="ANE Excep Notice-W"/>
  </xs:restriction>
</xs:simpleType>
<xs:complexType name="HEADER_DATA">
  <xs:sequence>
    <xs:element name="submissionType" type="SUBMISSION_TYPE"
minOccurs="1"/>
    <xs:element name="filerInfo" type="FILER_INFO_TYPE"
      minOccurs="1" />
  </xs:sequence>
</xs:complexType>
<xs:complexType name="FORM_DATA">
  <xs:sequence>
    <xs:element name="dummy" type="xs:string" minOccurs="0" />
  </xs:sequence>
</xs:complexType>
<xs:complexType name="FILER_INFO_TYPE">
  <xs:annotation>
    <xs:documentation>These elements are part of the FILER_INFO_TYPE
group</xs:documentation>
  </xs:annotation>
  <xs:sequence>
    <xs:element name="filer" type="FILER_TYPE" minOccurs="1"/>
    <xs:element name="liveTestFlag" type="ns1:LIVE_TEST_TYPE" minOccurs="0"/>
    <xs:element name="contact" type="CONTACT_TYPE" minOccurs="0"/>
    <xs:element name="flags" type="FLAGS_TYPE" minOccurs="0"/>
    <xs:element name="notifications" type="NOTIFICATIONS_TYPE" minOccurs="0"/>
  </xs:sequence>
</xs:complexType>
<xs:complexType name="FILER_TYPE">
  <xs:annotation>
    <xs:documentation>These elements are part of the FILER_TYPE
group
    </xs:documentation>
  </xs:annotation>
  <xs:sequence>

```

```

        <xs:element name="filerCredentials"
type="FILER_CREDENTIALS_TYPE" minOccurs="1" />
    </xs:sequence>
</xs:complexType>
<xs:complexType name="FILER_CREDENTIALS_TYPE">
    <xs:annotation>
        <xs:documentation>These elements are part of the
FILER_CREDENTIALS_TYPE group</xs:documentation>
    </xs:annotation>
    <xs:sequence>
        <xs:element name="cik" type="ns1:CIK_TYPE" minOccurs="1"/>
        <xs:element name="ccc" type="ns1:CCC_TYPE" minOccurs="1"/>
    </xs:sequence>
</xs:complexType>
<xs:complexType name="FLAGS_TYPE">
    <xs:annotation>
        <xs:documentation>These elements are part of the FLAGS_TYPE
group</xs:documentation>
    </xs:annotation>
    <xs:sequence>
        <xs:element name="overrideInternetFlag" type="ns1:TRUE_FALSE_TYPE"
minOccurs="0"/>
    </xs:sequence>
</xs:complexType>
<xs:complexType name="CONTACT_TYPE">
    <xs:annotation>
        <xs:documentation>These elements are part of the CONTACT_TYPE
group</xs:documentation>
    </xs:annotation>
    <xs:sequence>
        <xs:element name="contactName" type="ns1:NAME_TYPE" minOccurs="1"/>
        <xs:element name="contactPhoneNumber" type="ns1:EDGAR_PHONE_TYPE"
minOccurs="1"/>
        <xs:element name="contactEmailAddress"
type="ns1:INTERNET_ADDRESS_TYPE" minOccurs="1"/>
    </xs:sequence>
</xs:complexType>
<xs:complexType name="NOTIFICATIONS_TYPE">
    <xs:annotation>
        <xs:documentation>These elements are part of the NOTIFICATIONS_TYPE
group</xs:documentation>
    </xs:annotation>
    <xs:sequence>
        <xs:element name="notificationEmailAddress"
type="ns1:INTERNET_ADDRESS_TYPE" minOccurs="0" maxOccurs="3"/>
    </xs:sequence>
</xs:complexType>

<xs:complexType name="EDGAR_DOCUMENTS_TYPE">

```

```

        <xs:sequence>
            <xs:element name="document" type="EDGAR_DOCUMENT_TYPE"
                maxOccurs="unbounded" />
        </xs:sequence>
    </xs:complexType>

    <xs:simpleType name="SUB_DOCUMENT_TYPE">
        <xs:annotation>
            <xs:documentation>Type of submission you are filing. Choose a
value from the appropriate family of Submission Types.</xs:documentation>
        </xs:annotation>
        <xs:restriction base="xs:token">
            <xs:enumeration value="ANE EXCEP NTC" />
            <xs:enumeration value="ANE EXCEP NTC-W" />
            <xs:enumeration value="GRAPHIC" />
        </xs:restriction>
    </xs:simpleType>

    <xs:complexType name="EDGAR_DOCUMENT_TYPE">
        <xs:annotation>
            <xs:documentation>Document names must be lower case and no
longer than thirty-two (32) characters in length. The names must start with a
letter (a-z) and may contain numbers (0-9) with no spaces. Document names may
contain one period (.), one hyphen (-), and one underscore (_) character and must
end with *.htm, *.txt, *.pdf, *.jpg, *.gif extensions.</xs:documentation>
        </xs:annotation>
        <xs:sequence>
            <xs:element name="conformedName" type="ns1:DOCUMENT_NAME_TYPE" />
            <xs:element name="conformedDocumentType" type="SUB_DOCUMENT_TYPE" />
            <xs:element name="description"
type="ns1:DOCUMENT_DESCRIPTION_TYPE" minOccurs="0" />
            <xs:element name="contents"
type="ns1:DOCUMENT_MIME_BLOCK_TYPE" />
        </xs:sequence>
    </xs:complexType>
    <xs:element name="edgarSubmission">
        <xs:complexType>
            <xs:sequence>
                <xs:element name="schemaVersion"
type="ns1:SCHEMA_VERSION_TYPE" minOccurs="0"/>
                <xs:element name="headerData" type="HEADER_DATA"/>
                <xs:element name="formData" type="FORM_DATA"
minOccurs="0"/>
                <xs:element name="documents" type="EDGAR_DOCUMENTS_TYPE"
minOccurs="0" maxOccurs="1" />
            </xs:sequence>
        </xs:complexType>
    </xs:element>

```

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

```
<?xml version="1.0" encoding="UTF-8"?><edgarSubmission
xmlns="http://www.sec.gov/edgar/sbsd/aneexceptionnoticefiler"
xmlns:com="http://www.sec.gov/edgar/common">
  <headerData>
    <submissionType>ANE Excep Notice</submissionType>
    <filerInfo>
      <filer>
        <filerCredentials>
          <cik>xxxxxxxxxx</cik>
          <ccc>xxxxxxxx</ccc>
        </filerCredentials>
      </filer>
      <liveTestFlag>LIVE</liveTestFlag>
      <contact>
        <contactName>test</contactName>
        <contactPhoneNumber>898-221-8989</contactPhoneNumber>
        <contactEmailAddress>test@test.com</contactEmailAddress>
      </contact>
      <flags>
        <overrideInternetFlag>false</overrideInternetFlag>
      </flags>
      <notifications>
        <notificationEmailAddress>test1@test.com</notificationEmailAddress>
        <notificationEmailAddress>test2@test.com</notificationEmailAddress>
        <notificationEmailAddress>test3@test.com</notificationEmailAddress>
      </notifications>
    </filerInfo>
  </headerData>
  <documents>
    <document>
      <conformedName>test1.txt</conformedName>
      <conformedDocumentType>ANE EXCEP NTC</conformedDocumentType>
      <description>ANE Exception Notice</description>
      <contents>DQp0ZXN0aw5nLi4uDQp0ZXN0aw5nLi4uDQp0ZXN0aw5nLi4uDQo=</contents>
    </document>
  </documents>
</edgarSubmission>
```

3 XML Schemas

This section summarizes the restrictions and constraints imposed on the content of the ANE Excep Notice and ANE Except Notice-W 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 by EDGAR.

3.1 Schema Table Column Definitions

The following table defines the columns in the schema summation table provided in Section 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 <signPersonName>, and <contactEmail> 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 "&lt;" or "&#60;". For the > character use the escape sequence "&gt;" or "&#62;". For the & character use the escape sequence "&amp;" or "&#38;". For the " character use the escape sequence "&quot;" or "&#34;".
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 ANE Excep Notice and ANE Excep Notice-W Submission Schemas to Submission Types

Mapping of ANE Excep Notice and ANE Excep Notice-W Submission Schema to Submission Type

Level	Order	Data Type	Element/ Attribute Name	Max Length	Choice List	Max Occur	ANE Excep Notice	ANE Excep Notice-W
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	—	SUBMISSION_TYPE	1	m	m
3	2	NV	filerInfo	—	—	1	m	m
4	1	NV	filer	—	—	1	m	m
5	1	NV	filerCredentials	—	—	1	m	m
6	1	String	cik	10	—	1	m	m
6	2	String	ccc	8	—	1	m	m
4	2	String	liveTestFlag	—	LIVE_TEST_TYPE	1	m	m
4	3	NV	flags	—	—	1	m	m
5	1	Boolean	overrideInternetFlag	—	"true" or "false"	1	o	o
4	4	NV	contact	—	—	1	m	m
5	1	String	contactName	30	—	1	m	m
5	2	String	contactPhoneNumber	20	—	1	m	m
5	3	String	contactEmailAddress	80	—	1	m	m
4	5	NV	notifications	—	—	1	o	o
5	1	String	notificationEmailAddress	80	—	3	o	o
2	3	NV	formData	—	—	0	N/A	N/A
3	1	String	dummy	—	—	0	N/A	N/A
2	4	NV	documents	—	—	1	m	m
3	1	NV	document	—	—	unlimited	m	m
4	1	String	conformedName	32	—	1	m	m
4	2	String	conformedDocumentType	—	SUB_DOCUMENT_TYPE	1	m	m
4	3	String	description	255	—	1	o	o
4	4	String	contents	—	—	1	m	m

4 ANE Excep Notice SCHEMA Data Value Constraints

4.1 SUBMISSION_TYPE

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

Value	Code Description
ANE Excep Notice	ANE Exception Notice under Exchange Act Rule 3a71-3(d)(1)(vi)
ANE Excep Notice-W	Withdrawal of an ANE Exception Notice under Exchange Act Rule 3a71-3(d)(1)(vi)

4.2 LIVE_TEST_TYPE

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

Value
LIVE
TEST

4.3 SUB_DOCUMENT_TYPE

Value	Code Description
ANE EXCEP NTC	Document attachment type for ANE Excep Notice
ANE EXCEP NTC-W	Document attachment type for ANE Excep Notice Withdrawal
GRAPHIC	Graphic attachment type

5 Basic Submission Construction

5.1 General Formatting of XML Files

The following rules apply to the submission file of an XML-format ANE Excep Notice and ANE Excep Notice-W submissions:

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>
```

5.2 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.

5.2.1 Enclosing a document

1. Allowable file extensions are .pdf, .txt, .htm and .xml.
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:

- 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.

```
<documents>
  <ns1:document>
    <ns1:conformedName>text_full.pdf</ns1:conformedName>
    <ns1:conformedDocumentType>FULL</ns1:conformedDocumentType>

    <ns1:description>a</ns1:description>
    <ns1:contents>YXNkZmY=</ns1:contents>
    <ns1:confidentiality>true</ns1:confidentiality>
  </ns1:document>
</ns1:documents>
  <ns1:document>
    <ns1:conformedName>testSCFP.txt</ns1:conformedName>
```

```
        <ns1:conformedDocumentType>FULL</ns1:conformedDocumentType>
        <ns1:description>a</ns1:description>
        <ns1:contents>YXNkZmY= </ns1:contents>
        <ns1:confidentiality>>false</ns1:confidentiality>
    </ns1:document>
</documents>
```

6 Error Reporting

EDGAR will generate an error for each violation of an XML schema constraint, as well as for each violation of an ANE Excep Notice and ANE Excep Notice-W 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 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
Any XML schema violation not mentioned in previous table row	SUSPENDED
Inclusion of an element that is not applicable for the conditional mandatory condition.	SUSPENDED
No values provided for child elements of a parent element satisfying the conditional mandatory condition	SUSPENDED

Table 6-2: ANE Excep Notice and ANE Except Notice-W Submission Errors and Severity

Error Condition	Severity
The Filer CIK and CCC does not match with the EDGAR.	SUSPENDED
If the filer CIK is not broker dealer and does not have a valid SBSE submission when submitting an ANE Excep Notice submission.	SUSPENDED
If the filer CIK is not broker dealer and does have most recent a valid SBSE-W submission when submitting an ANE Excep Notice submission.	SUSPENDED
If the filer CIK has the most recent a valid ANE Excep Notice submission when submitting an ANE Excep Notice submission.	SUSPENDED
If the filer CIK has most recent a valid ANE Excep Notice-W when submitting an ANE Excep Notice-W submission.	SUSPENDED

You may sometimes get multiple error messages reporting the same error. The XML parser EDGAR used to process a Form ANE Excep Notice and ANE Excep Notice-W 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.

Appendix A. 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
XBRL	eXtensible Business Reporting Language
XML	Extensible Markup Language