



# EDGAR® Form 1 XML Technical Specification

September 2026

DRAFT

## **Notice**

This is a DRAFT of the EDGAR® Form 1 XML Technical Specifications. The Securities and Exchange Commission (“SEC” or “Commission”) has not approved, may approve or disapprove, and may revise any of the changes noted in this document.

This draft technical specification is being provided as a service to the filing community to assist filers, agents, and software developers in their preparation of responses to potential changes to the EDGAR® system which are scheduled to be deployed in EDGAR Release 26.3 on September 14, 2026. The posting of this draft technical specification does not indicate Commission approval of any proposed changes relating to the EDGAR system as reflected in the draft.

The final version of the EDGAR® Form 1 XML Technical Specifications will be made available, if approved by the Commission, on or about September 14, 2026, at [www.sec.gov](http://www.sec.gov).

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# 1 INTRODUCTION

## 1.1 Purpose

This document details the valid structure and content of the Form 1 Electronic Data Gathering, Analysis, and Retrieval (EDGAR) Extensible Markup Language (XML) submission types. The following table lists the submission types for Form 1.

*Table 1: FORM 1 Submission Types*

| Submission Type | Description                                                                                                                                                       |
|-----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1               | Rule 6a-1(a) Application for registration as a National Securities Exchange or exemption on the basis of limited volume                                           |
| 1AA             | Rule 6a-1(b), (c), or (d) corrective amendment to application for registration as a National Securities Exchange or exemption on the basis of limited volume      |
| 1AC             | Consent to Extension of Time for application for registration as a National Securities Exchange or exemption on the basis of limited volume                       |
| 1/A             | Rule 6a-2(a) Updating Amendment to registration application filed by registered National Securities Exchange or exchange exempted on the basis of limited volume  |
| 1/A-A           | Rule 6a-2(b) Annual amendment to registration application filed by registered National Securities Exchange or exchange exempted on the basis of limited volume    |
| 1/A-T           | Rule 6a-2(c) Triennial amendment to registration application filed by registered National Securities Exchange or exchange exempted on the basis of limited volume |
| 1/S-M           | Rule 6a-3(a) Supplemental Materials filed by registered National Securities Exchange or exchange exempted on the basis of limited volume                          |
| 1/S-R           | Rule 6a-3(b) Report of securities sold during calendar month filed by registered National Securities Exchange or exchange exempted on the basis of limited volume |
| 1W              | Application for withdrawal from registration as a National Securities Exchange or exemption on the basis of limited volume                                        |

This specification provides the basis for creating the submission types for Form 1 XML submissions. Filers must use this technical specification to generate a Form 1 XML submission that can be successfully parsed by the EDGAR system.

The Form 1 submission file must conform to the EDGAR Form 1 Submission Taxonomy. This taxonomy is comprised of a collection of XML Schema Definition (.xsd) files that define the structures of EDGAR Form 1 submissions.

The Form 1 submissions can be transmitted to the SEC via the EDGAR Filing Website (<https://www.edgarfiling.sec.gov/>). To access the EDGAR Filing website, you must have both a Login.gov account and a Central Index Key (CIK) obtained through the EDGAR

Filer Management dashboard. If you do not have a CIK and/or login.gov, please consult the How Do I guides to utilize Filer Management and to obtain access to CIKs on SEC.gov. Select “File Form 1” link under the Online Forms header then “Form 1 Application” open in new tab for Form 1 submissions. Select the “Transmit” link under the Information Exchange header to transmit Filer Constructed Submissions. For Further information about Edgar Filing and EDGAR Online Forms, 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: Form 1 Schema Files describes the schema files the EDGAR system uses to validate Form1 and variants submissions. These schemas are considered part of this specification and are distributed with this document.

*Table 2: Form 1 Schema Files*

| XML Schema File      | Scope of File                                                             |
|----------------------|---------------------------------------------------------------------------|
| eis_Common.xsd       | Defines the submission fields that are common in all EDGAR submissions    |
| eis_Form1_Common.xsd | Defines the common elements for all EDGAR Form 1 and Variants submissions |
| eis_Form1_Filer.xsd  | Defines the elements for a Form 1 and Variants submission.                |
| eis_stateCodes.xsd   | Defines valid State and Country Codes according to EDGAR                  |

The schema files define the valid data elements for a Form 1 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 many tutorials and examples on the World Wide Web, such as those provided on <http://www.w3schools.com/>. The table below highlights the schema language features used most heavily in the EDGAR Form 1 and variants submission schema files. These are:

Table 3: 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.

### 3 XML SCHEMAS

This section summarizes the restrictions and constraints imposed on the content of the Form 1 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 schema summation table provided in Section 3.4:

Table 4: 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:

Table 5: Data Type Constraints

| 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 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.</p>                        |

| Data Type | Constraints                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| integer   | <p>Only valid characters are 0-9. Cannot contain commas, a minus sign, a dollar sign, or parentheses.</p> <p>An integer element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| string    | <p>Should be no longer than the length shown in the tables in Section 3.4.</p> <p>EDGAR stores values in the &lt;signPersonName&gt;, and &lt;contactEmail&gt; 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:</p> <p>For the &lt; character use the escape sequence "&amp;lt;" or "&amp;#60;".</p> <p>For the &gt; character use the escape sequence "&amp;gt;" or "&amp;#62;".</p> <p>For the &amp; character use the escape sequence "&amp;amp;" or "&amp;#38;".</p> <p>For the " character use the escape sequence "&amp;quot;" or "&amp;#34;".</p> |
| NV        | <p>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.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| attr      | <p>Attribute property for an XML element.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

### 3.3 Applicability of Schema Elements

Each entry in the submission/document type column in Section 3.4 will have one of these values:

*Table 6: Applicability of Schema Elements*

| 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#20  | If < legalStatusApplicant> is not "Sole Proprietorship " then this element becomes mandatory.                                                    |
| m#21  | If < alternativeExhibitRuleType> is "Rule 6a-2(d)(1)" then this element becomes mandatory.                                                       |
| m#22  | If < alternativeExhibitRuleType> is "Rule 6a-2(d)(3)" then this element becomes mandatory.                                                       |
| 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 Form 1 and Variants Submission Schema to Submission Type

Table 7: Mapping of Form 1 and Variants Submission Schema to Submission Type

| Level | Order | Data Type | Element/Attribute Name   | Max Length | Choice List             | Max Occur | 1  | 1AA | 1AC | 1W | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|--------------------------|------------|-------------------------|-----------|----|-----|-----|----|-----|-------|-------|-------|-------|
| 1     | 1     | NV        | edgarSubmission          |            |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 2     | 1     | String    | schemaVersion            | 5          |                         | 1         | o# | o#  | o#  | o# | o#  | o#    | o#    | o#    | o#    |
| 2     | 2     | NV        | headerData               |            |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 3     | 1     | String    | submissionType           |            | <u>SUBMISSION_TYPE</u>  | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 3     | 2     | String    | entityName               | 150        |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 3     | 3     | String    | typeOfApplication        |            | <u>APPLICATION_TYPE</u> | 1         | m# | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 3     | 4     | String    | amendmentNumber          | 4          |                         | 4         | NA | m#  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 3     | 5     | Date      | dateExtensionExpires     |            |                         | 1         | NA | NA  | m#  | NA | NA  | NA    | NA    | NA    | NA    |
| 3     | 6     | Date      | effectiveDate            |            |                         | 1         | NA | NA  | NA  | NA | m#  | NA    | NA    | NA    | NA    |
| 3     | 7     | String    | triennialFilingYear      | 4          |                         | 4         | NA | NA  | NA  | NA | NA  | NA    | m#    | NA    | NA    |
| 3     | 8     | NV        | filerInfo                |            |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 4     | 1     | NV        | filer                    |            |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 5     | 1     | NV        | filerCredentials         |            |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 6     | 1     | String    | cik                      | 10         |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 6     | 2     | String    | ccc                      | 8          |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 4     | 2     | String    | liveTestFlag             |            | <u>LIVE_TEST_TYPE</u>   | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 4     | 3     | NV        | contact                  |            |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 5     | 1     | String    | contactName              | 30         |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 5     | 2     | String    | contactPhoneNumber       | 20         |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 5     | 3     | String    | contactEmailAddress      | 80         |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 4     | 4     | NV        | notifications            |            |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 5     | 1     | String    | notificationEmailAddress | 80         |                         | 3         | o  | o   | o   | o  | o   | o     | o     | o     | o     |
| 4     | 5     | NV        | flags                    |            |                         | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 5     | 1     | Boolean   | overrideInternetFlag     |            | "true" or "false"       | 1         | o  | o   | o   | o  | o   | o     | o     | o     | o     |

| Level | Order | Data Type | Element/Attribute Name            | Max Length | Choice List                     | Max Occur | 1    | 1AA  | 1AC  | 1W   | 1/A  | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|-----------------------------------|------------|---------------------------------|-----------|------|------|------|------|------|-------|-------|-------|-------|
| 2     | 3     | NV        | formData                          |            |                                 | 1         | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 3     | 1     | NV        | entityContactInformation          |            |                                 | 1         | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 4     | 1     | Boolean   | previouslyFiled                   |            | "true" or "false"               |           | NA   | o    | o    | o    | o    | o     | o     | o     | o     |
| 4     | 2     | NV        | primaryAddress                    |            |                                 |           | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 5     | 1     | String    | street1                           | 40         |                                 | 1         | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 5     | 2     | String    | street2                           | 40         |                                 | 1         | o    | o    | o    | o    | o    | o     | o     | o     | o     |
| 5     | 3     | String    | city                              | 30         |                                 | 1         | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 5     | 4     | String    | stateOrCountry                    |            | <u>STATE_COUNTRY_CODE</u>       | 1         | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 5     | 5     | String    | zipCode                           | 10         |                                 | 1         | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 4     | 3     | Boolean   | isMailingAddressSame              |            | "true" or "false"               |           | o    | o    | o    | o    | o    | o     | o     | o     | o     |
| 4     | 4     | NV        | mailingAddress                    |            |                                 |           | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 5     | 1     | String    | street1                           | 40         |                                 | 1         | m#   | m#   | m#   | m#   | m#   | m#    | m#    | m#    | m#    |
| 5     | 2     | String    | street2                           | 40         |                                 | 1         | o    | o    | o    | o    | o    | o     | o     | o     | o     |
| 5     | 3     | String    | city                              | 30         |                                 | 1         | m#   | m#   | m#   | m#   | m#   | m#    | m#    | m#    | m#    |
| 5     | 4     | String    | stateOrCountry                    |            | <u>STATE_COUNTRY_CODE</u>       | 1         | m#   | m#   | m#   | m#   | m#   | m#    | m#    | m#    | m#    |
| 5     | 5     | String    | zipCode                           | 10         |                                 | 1         | m#   | m#   | m#   | m#   | m#   | m#    | m#    | m#    | m#    |
| 4     | 5     | String    | businessPhoneNumber               | 20         |                                 | 1         | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 4     | 6     | String    | facsimile                         | 20         |                                 | 1         | o    | o    | o    | o    | o    | o     | o     | o     | o     |
| 4     | 7     | String    | fiscalYearEnd                     | 4          |                                 | 1         | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 4     | 8     | NV        | legalStatus                       |            |                                 | 1         | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 5     | 1     | String    | legalStatusApplicant              |            | <u>LEGAL_STATUS_OPTION_TYPE</u> | 1         | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 5     | 2     | Date      | dateExchangeObtained              |            |                                 | 1         | m#20 | m#20 | m#20 | m#20 | m#20 | m#20  | m#20  | m#20  | m#20  |
| 5     | 3     | String    | legalStatusStateOrCountry         |            | <u>STATE_COUNTRY_CODE</u>       | 1         | m#20 | m#20 | m#20 | m#20 | m#20 | m#20  | m#20  | m#20  | m#20  |
| 5     | 4     | String    | legalStatusOraganizedExc<br>hange | 150        |                                 | 1         | m#20 | m#20 | m#20 | m#20 | m#20 | m#20  | m#20  | m#20  | m#20  |
| 5     | 5     | String    | otherSpecification                | 255        |                                 | 1         | m#1  | m#1  | m#1  | m#1  | m#1  | m#1   | m#1   | m#1   | m#1   |
| 3     | 2     | NV        | counsellInformation               |            |                                 | 1         | m    | m    | m    | m    | m    | m     | m     | m     | m     |
| 4     | 1     | String    | firmName                          | 150        |                                 | 1         | m    | m    | m    | m    | m    | m     | m     | m     | m     |

| Level | Order | Data Type | Element/Attribute Name      | Max Length | Choice List                   | Max Occur | 1  | 1AA | 1AC | 1W | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|-----------------------------|------------|-------------------------------|-----------|----|-----|-----|----|-----|-------|-------|-------|-------|
| 4     | 2     | String    | counselFirstName            | 30         |                               | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 4     | 3     | String    | counselLastName             | 30         |                               | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 4     | 4     | String    | counselTitle                | 60         |                               | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 4     | 5     | NV        | counselAddress              |            |                               | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 5     | 1     | String    | street1                     | 40         |                               | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 5     | 2     | String    | street2                     | 40         |                               | 1         | o  | o   | o   | o  | o   | o     | o     | o     | o     |
| 5     | 3     | String    | city                        | 30         |                               | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 5     | 4     | String    | stateOrCountry              |            | STATE_COUNTRY_CODE            | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 5     | 5     | String    | zipCode                     | 10         |                               | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 4     | 6     | String    | counselEmail                | 80         |                               | 1         | m  | m   | m   | m  | m   | m     | m     | m     | m     |
| 3     | 3     | NV        | supplementalMaterials       |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | NA    | m     | NA    |
| 4     | 1     | String    | supplementalMaterialOptions |            | SUPPLEMENTAL_MATERIAL_OPTIONS | 2         | NA | NA  | NA  | NA | NA  | NA    | NA    | m     | NA    |
| 4     | 2     | String    | webAddress                  | 256        |                               | 3         | NA | NA  | NA  | NA | NA  | NA    | NA    | m#1   | NA    |
| 3     | 4     | NV        | section4                    |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | NA    | NA    | m     |
| 4     | 1     | Decimal   | nbrSharesStockSold          | 17         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | NA    | NA    | m     |
| 4     | 2     | Decimal   | aggrAmtStockSold            | 17         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | NA    | NA    | m     |
| 4     | 3     | Decimal   | principalAmtBondsSold       | 17         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | NA    | NA    | m     |
| 4     | 4     | Decimal   | principalAmtBondsSold       | 17         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | NA    | NA    | m     |
| 4     | 5     | Decimal   | nbrRightsWarrantsSold       | 17         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | NA    | NA    | m     |
| 4     | 6     | Decimal   | aggrAmtRightsWarrantsSold   | 17         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | NA    | NA    | m     |
| 4     | 7     | Date      | rptSecuritiesSoldDateEnded  |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | NA    | NA    | m     |
| 3     | 5     | NV        | exhibitA                    |            |                               | 1         | m  | o   | NA  | NA | o   | NA    | m     | NA    | NA    |
| 4     | 1     | NV        | alternativeExhibitData      |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#    | NA    | NA    |
| 5     | 1     | NV        | alternativeExhibitRuleType  |            | ALTERNATIVE_EXHIBIT_RULE_TYPE | 1         | NA | NA  | NA  | NA | NA  | NA    | m#    | NA    | NA    |
| 5     | 2     | NV        | publicationData             |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 1     | String    | publicationName             | 150        |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |

| Level | Order | Data Type | Element/Attribute Name     | Max Length | Choice List                   | Max Occur | 1  | 1AA | 1AC | 1W | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|----------------------------|------------|-------------------------------|-----------|----|-----|-----|----|-----|-------|-------|-------|-------|
| 6     | 2     | String    | personName                 | 150        |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 3     | NV        | personAddress              |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 1     | String    | street1                    | 40         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 2     | String    | Street2                    | 40         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 3     | String    | city                       | 30         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 4     | String    | stateOrCountry             |            | STATE_COUNTRY_CODE            | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 5     | String    | zipCode                    | 10         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 4     | String    | personPhoneNumber          | 20         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 5     | Decimal   | priceOfPublication         | 17         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 6     | Date      | dateOfPublication          |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 5     | 3     | NV        | internetWebsite            | 256        |                               | 10        | 10 | NA  | NA  | NA | NA  | NA    | m#22  | NA    | NA    |
| 3     | 6     | NV        | exhibitB                   |            |                               | 1         | m  | o   | NA  | NA | o   | NA    | m     | NA    | NA    |
| 4     | 1     | NV        | alternativeExhibitData     |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#    | NA    | NA    |
| 5     | 1     | NV        | alternativeExhibitRuleType |            | ALTERNATIVE_EXHIBIT_RULE_TYPE | 1         | NA | NA  | NA  | NA | NA  | NA    | m#    | NA    | NA    |
| 5     | 2     | NV        | publicationData            |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 1     | String    | publicationName            | 150        |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 2     | String    | personName                 | 150        |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 3     | NV        | personAddress              |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 1     | String    | street1                    | 40         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 2     | String    | Street2                    | 40         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 3     | String    | city                       | 30         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 4     | String    | stateOrCountry             |            | STATE_COUNTRY_CODE            | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 5     | String    | zipCode                    | 10         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 4     | String    | personPhoneNumber          | 20         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 5     | Decimal   | priceOfPublication         | 17         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 6     | Date      | dateOfPublication          |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 5     | 3     | NV        | internetWebsite            | 256        |                               | 10        | NA | NA  | NA  | NA | NA  | NA    | m#22  | NA    | NA    |

| Level | Order | Data Type | Element/Attribute Name     | Max Length | Choice List                   | Max Occur | 1  | 1AA | 1AC | 1W | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|----------------------------|------------|-------------------------------|-----------|----|-----|-----|----|-----|-------|-------|-------|-------|
| 3     | 7     | NV        | exhibitC                   |            |                               | 1         | m  | o   | NA  | NA | o   | NA    | m     | NA    | NA    |
| 4     | 1     | NV        | notApplicableExhibitData   |            |                               | 1         | m# | NA  | NA  | NA | NA  | NA    | m#    | NA    | NA    |
| 5     | 1     | Boolean   | exhibitNotApplicable       |            | "true" or "false"             | 1         | m# | NA  | NA  | NA | NA  | NA    | m#    | NA    | NA    |
| 5     | 2     | String    | nonApplicableJustification | 5000       |                               | 1         | o  | NA  | NA  | NA | NA  | NA    | o     | NA    | NA    |
| 4     | 2     | NV        | alternativeExhibitData     |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#    | NA    | NA    |
| 5     | 1     | NV        | alternativeExhibitRuleType |            | ALTERNATIVE_EXHIBIT_RULE_TYPE | 1         | NA | NA  | NA  | NA | NA  | NA    | m#    | NA    | NA    |
| 5     | 2     | NV        | publicationData            |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 1     | String    | publicationName            | 150        |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 2     | String    | personName                 | 150        |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 3     | NV        | personAddress              |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 1     | String    | street1                    | 40         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 2     | String    | Street2                    | 40         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 3     | String    | city                       | 30         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 4     | String    | stateOrCountry             |            | STATE_COUNTRY_CODE            | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 5     | String    | zipCode                    | 10         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 4     | String    | personPhoneNumber          | 20         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 5     | Decimal   | priceOfPublication         | 17         |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 6     | Date      | dateOfPublication          |            |                               | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 5     | 3     | NV        | internetWebsite            | 256        |                               | 10        | NA | NA  | NA  | NA | NA  | NA    | m#22  | NA    | NA    |
| 4     | 3     | NV        | exhibitCData               |            |                               | 100       | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 5     | 1     | NV        | organizationData           |            |                               | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 6     | 1     | String    | organizationName           | 150        |                               | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 6     | 2     | NV        | organizationAddress        |            |                               | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 7     | 1     | String    | street1                    | 40         |                               | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 7     | 2     | String    | street2                    | 40         |                               | 1         | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 7     | 3     | String    | city                       | 30         |                               | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 7     | 4     | String    | stateOrCountry             |            |                               | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |

| Level | Order | Data Type | Element/Attribute Name        | Max Length | Choice List       | Max Occur | 1  | 1AA | 1AC | 1W | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|-------------------------------|------------|-------------------|-----------|----|-----|-----|----|-----|-------|-------|-------|-------|
| 7     | 5     | String    | zipCode                       | 10         |                   | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 5     | 2     | String    | formOfOrganization            | 1000       |                   | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 5     | 3     | String    | nameOfStateAndStatuteCitation | 1000       |                   | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 5     | 4     | Date      | dateOfIncorporation           |            |                   | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 5     | 5     | String    | discriptionOfNature           | 5000       |                   | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 5     | 6     | String    | discriptionOfBusiness         | 5000       |                   | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 5     | 7     | NV        | standingCommitteeData         |            |                   | 150       | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 6     | 1     | String    | membersOrPersonName           | 150        |                   | 1         | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 6     | 2     | String    | membersOrPersonTitle          | 150        |                   | 1         | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 6     | 3     | String    | description                   | 1000       |                   | 1         | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 5     | 8     | String    | reasonForTermination          | 5000       |                   | 1         | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 3     | 8     | NV        | exhibitD                      |            |                   | 1         | m  | o   | NA  | NA | o   | m     | NA    | NA    | NA    |
| 4     | 1     | NV        | notApplicableExhibitData      |            |                   | 1         | m# | NA  | NA  | NA | NA  | m#    | NA    | NA    | NA    |
| 5     | 1     | Boolean   | exhibitNotApplicable          |            | "true" or "false" | 1         | m# | NA  | NA  | NA | NA  | m#    | NA    | NA    | NA    |
| 5     | 2     | String    | nonApplicableJustification    | 5000       |                   | 1         | o  | NA  | NA  | NA | NA  | o     | NA    | NA    | NA    |
| 3     | 9     | NV        | exhibitH                      |            |                   | 1         | m  | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 4     | 1     | NV        | notApplicableExhibitData      |            |                   | 1         | m# | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 5     | 1     | Boolean   | exhibitNotApplicable          |            | "true" or "false" | 1         | m# | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 5     | 2     | String    | nonApplicableJustification    | 5000       |                   | 1         | o  | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 4     | 2     | NV        | exhibitHData                  |            |                   | 1         | m# | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 5     | 1     | String    | criteriaDescription           | 5000       |                   | 1         | m# | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 5     | 2     | String    | listingFeeSchedule            | 5000       |                   | 1         | m# | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 3     | 10    | NV        | exhibitI                      |            |                   | 1         | m  | o   | NA  | NA | o   | m     | NA    | NA    | NA    |
| 4     | 1     | NV        | notApplicableExhibitData      |            |                   | 1         | m# | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 5     | 1     | Boolean   | exhibitNotApplicable          |            | "true" or "false" | 1         | m# | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 5     | 2     | String    | nonApplicableJustification    | 5000       |                   | 1         | o  | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 3     | 11    | NV        | exhibitJ                      |            |                   | 1         | m  | o   | NA  | NA | o   | NA    | m     | NA    | NA    |

| Level | Order | Data Type | Element/Attribute Name     | Max Length | Choice List                          | Max Occur | 1  | 1AA | 1AC | 1W | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|----------------------------|------------|--------------------------------------|-----------|----|-----|-----|----|-----|-------|-------|-------|-------|
| 4     | 1     | NV        | alternativeExhibitData     |            |                                      | 1         | m# | NA  | NA  | NA | NA  | NA    | m#    | NA    | NA    |
| 5     | 1     | NV        | alternativeExhibitRuleType |            | <u>ALTERNATIVE_EXHIBIT_RULE_TYPE</u> | 1         | NA | NA  | NA  | NA | NA  | NA    | m#    | NA    | NA    |
| 5     | 2     | NV        | publicationData            |            |                                      | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 1     | String    | publicationName            | 150        |                                      | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 2     | String    | personName                 | 150        |                                      | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 3     | NV        | personAddress              |            |                                      | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 1     | String    | street1                    | 40         |                                      | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 2     | String    | Street2                    | 40         |                                      | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 3     | String    | city                       | 30         |                                      | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 4     | String    | stateOrCountry             |            | <u>STATE_COUNTRY_CODE</u>            | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 7     | 5     | String    | zipCode                    | 10         |                                      | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 4     | String    | personPhoneNumber          | 20         |                                      | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 5     | Decimal   | priceOfPublication         | 17         |                                      | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 6     | 6     | Date      | dateOfPublication          |            |                                      | 1         | NA | NA  | NA  | NA | NA  | NA    | m#21  | NA    | NA    |
| 5     | 3     | NV        | internetWebsite            | 256        |                                      | 10        | NA | NA  | NA  | NA | NA  | NA    | m#22  | NA    | NA    |
| 4     | 2     | NV        | exhibitJData               |            |                                      | 500       | m# | m#  | NA  | NA | m#  | NA    | m#    | NA    | NA    |
| 5     | 1     | String    | memberName                 | 150        |                                      | 1         | m# | m#  | NA  | NA | m#  | NA    | m#    | NA    | NA    |
| 5     | 2     | String    | memberTitle                | 60         |                                      | 1         | m# | m#  | NA  | NA | m#  | NA    | m#    | NA    | NA    |
| 5     | 3     | Date      | positionStartDate          |            |                                      | 1         | m# | m#  | NA  | NA | m#  | NA    | m#    | NA    | NA    |
| 5     | 4     | Date      | positionEndDate            |            |                                      | 1         | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 5     | 5     | String    | businessType               | 150        |                                      | 1         | m# | m#  | NA  | NA | m#  | NA    | m#    | NA    | NA    |
| 3     | 12    | NV        | exhibitK                   |            |                                      | 1         | m  | o   | NA  | NA | o   | m     | NA    | NA    | NA    |
| 4     | 1     | NV        | notApplicableExhibitData   |            |                                      | 1         | m# | NA  | NA  | NA | NA  | m#    | NA    | NA    | NA    |
| 5     | 1     | Boolean   | exhibitNotApplicable       |            | "true" or "false"                    | 1         | m# | NA  | NA  | NA | NA  | m#    | NA    | NA    | NA    |
| 5     | 2     | String    | nonApplicableJustification | 5000       |                                      | 1         | o  | NA  | NA  | NA | NA  | o     | NA    | NA    | NA    |
| 4     | 2     | NV        | alternativeExhibitData     |            |                                      | 1         | NA | NA  | NA  | NA | NA  | m#    | NA    | NA    | NA    |
| 5     | 1     | NV        | alternativeExhibitRuleType |            | <u>ALTERNATIVE_EXHIBIT_RULE_TYPE</u> | 1         | NA | NA  | NA  | NA | NA  | m#    | NA    | NA    | NA    |

| Level | Order | Data Type | Element/Attribute Name          | Max Length | Choice List        | Max Occur | 1  | 1AA | 1AC | 1W | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|---------------------------------|------------|--------------------|-----------|----|-----|-----|----|-----|-------|-------|-------|-------|
| 5     | 2     | NV        | publicationData                 |            |                    | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 1     | String    | publicationName                 | 150        |                    | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 2     | String    | personName                      | 150        |                    | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 3     | NV        | personAddress                   |            |                    | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 1     | String    | street1                         | 40         |                    | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 2     | String    | Street2                         | 40         |                    | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 3     | String    | city                            | 30         |                    | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 4     | String    | stateOrCountry                  |            | STATE COUNTRY CODE | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 5     | String    | zipCode                         | 10         |                    | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 4     | String    | personPhoneNumber               | 20         |                    | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 5     | Decimal   | priceOfPublication              | 17         |                    | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 6     | Date      | dateOfPublication               |            |                    | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 5     | 3     | NV        | internetWebsite                 | 256        |                    | 10        | NA | NA  | NA  | NA | NA  | m#22  | NA    | NA    | NA    |
| 4     | 3     | NV        | exhibitKData                    |            |                    | 50        | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 5     | 1     | String    | fullLegalName                   | 150        |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 5     | 2     | String    | titleOrStatus                   | 60         |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 5     | 3     | Date      | titleOrStatusAcquiredDate       |            |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 5     | 4     | String    | ApproximateOwnershipInterest    | 60         |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 5     | 5     | Boolean   | personControlFlag               |            | "Y" or "N"         | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 13    | NV        | exhibitL                        |            |                    | 1         | m  | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 4     | 1     | NV        | exhibitLData                    |            |                    | 1         | m  | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 5     | 1     | String    | terminationProcedureDescription | 30000      |                    | 1         | m  | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 3     | 14    | NV        | exhibitM                        |            |                    | 1         | m  | o   | NA  | NA | o   | m     | NA    | NA    | NA    |
| 4     | 1     | NV        | notApplicableExhibitData        |            |                    | 1         | m# | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 5     | 1     | Boolean   | exhibitNotApplicable            |            | "true" or "false"  | 1         | m# | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 5     | 2     | String    | nonApplicableJustification      | 5000       |                    | 1         | o  | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 4     | 2     | NV        | alternativeExhibitData          |            |                    | 1         | NA | NA  | NA  | NA | NA  | m#    | NA    | NA    | NA    |

| Level | Order | Data Type | Element/Attribute Name     | Max Length | Choice List                          | Max Occur | 1  | 1AA | 1AC | 1W | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|----------------------------|------------|--------------------------------------|-----------|----|-----|-----|----|-----|-------|-------|-------|-------|
| 5     | 1     | NV        | alternativeExhibitRuleType |            | <u>ALTERNATIVE_EXHIBIT_RULE_TYPE</u> | 1         | NA | NA  | NA  | NA | NA  | m#    | NA    | NA    | NA    |
| 5     | 2     | NV        | publicationData            |            |                                      | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 1     | String    | publicationName            | 150        |                                      | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 2     | String    | personName                 | 150        |                                      | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 3     | NV        | personAddress              |            |                                      | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 1     | String    | street1                    | 40         |                                      | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 2     | String    | Street2                    | 40         |                                      | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 3     | String    | city                       | 30         |                                      | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 4     | String    | stateOrCountry             |            | <u>STATE_COUNTRY_CODE</u>            | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 5     | String    | zipCode                    | 10         |                                      | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 4     | String    | personPhoneNumber          | 20         |                                      | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 5     | Decimal   | priceOfPublication         | 17         |                                      | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 6     | Date      | dateOfPublication          |            |                                      | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 5     | 3     | NV        | internetWebsite            | 256        |                                      | 10        | NA | NA  | NA  | NA | NA  | m#22  | NA    | NA    | NA    |
| 4     | 3     | NV        | exhibitMData               |            |                                      | 2000      | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 5     | 1     | String    | name                       | 150        |                                      | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 5     | 2     | Date      | dateOfElection             |            |                                      | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 5     | 3     | NV        | principalAddress           |            |                                      | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 6     | 1     | String    | street1                    | 40         |                                      | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 6     | 2     | String    | Street2                    | 40         |                                      | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 6     | 3     | String    | city                       | 30         |                                      | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 6     | 4     | String    | stateOrCountry             |            | <u>STATE_COUNTRY_CODE</u>            | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 6     | 5     | String    | zipCode                    | 10         |                                      | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 5     | 4     | String    | princialPhoneNumber        | 20         |                                      | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 5     | 5     | NV        | memberRelationshipToEntity |            |                                      | 10        | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 6     | 1     | String    | entityName                 | 150        |                                      | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 6     | 2     | String    | memberRelationship         | 500        |                                      | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |

| Level | Order | Data Type | Element/Attribute Name     | Max Length | Choice List                   | Max Occur | 1  | 1AA | 1AC | 1W | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|----------------------------|------------|-------------------------------|-----------|----|-----|-----|----|-----|-------|-------|-------|-------|
| 5     | 6     | String    | activitiesByMember         | 1000       |                               | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 5     | 7     | String    | classOfMembership          | 5000       |                               | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 15    | NV        | exhibitN                   |            |                               | 1         | m  | o   | NA  | NA | o   | m     | NA    | NA    | NA    |
| 4     | 1     | NV        | notApplicableExhibitData   |            |                               | 1         | m# | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 5     | 1     | Boolean   | exhibitNotApplicable       |            | "true" or "false"             | 1         | m# | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 5     | 2     | String    | nonApplicableJustification | 5000       |                               | 1         | o  | NA  | NA  | NA | NA  | NA    | NA    | NA    | NA    |
| 4     | 2     | NV        | alternativeExhibitData     |            |                               | 1         | NA | NA  | NA  | NA | NA  | m#    | NA    | NA    | NA    |
| 5     | 1     | NV        | alternativeExhibitRuleType |            | ALTERNATIVE_EXHIBIT_RULE_TYPE | 1         | NA | NA  | NA  | NA | NA  | m#    | NA    | NA    | NA    |
| 5     | 2     | NV        | publicationData            |            |                               | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 1     | String    | publicationName            | 150        |                               | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 2     | String    | personName                 | 150        |                               | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 3     | NV        | personAddress              |            |                               | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 1     | String    | street1                    | 40         |                               | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 2     | String    | Street2                    | 150        |                               | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 3     | String    | city                       | 30         |                               | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 4     | String    | stateOrCountry             |            | STATE_COUNTRY_CODE            | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 7     | 5     | String    | zipCode                    | 10         |                               | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 4     | String    | personPhoneNumber          | 20         |                               | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 5     | Decimal   | priceOfPublication         | 17         |                               | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 6     | 6     | Date      | dateOfPublication          |            |                               | 1         | NA | NA  | NA  | NA | NA  | m#21  | NA    | NA    | NA    |
| 5     | 3     | NV        | internetWebsite            | 256        |                               | 10        | NA | NA  | NA  | NA | NA  | m#22  | NA    | NA    | NA    |
| 4     | 3     | NV        | exhibitNData               |            |                               | 1         | m# | o   | NA  | NA | o   | m#    | NA    | NA    | NA    |
| 5     | 1     | NV        | Item1                      |            |                               | 2000      | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 7     | 1     | String    | listedSecurities           | 150        |                               | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 7     | 2     | String    | nameOfIssuer               | 150        |                               | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 7     | 3     | String    | securityDescription        | 2000       |                               | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 5     | 2     | NV        | Item2                      |            |                               | 2000      | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |

| Level | Order | Data Type | Element/Attribute Name    | Max Length | Choice List               | Max Occur | 1   | 1AA | 1AC | 1W  | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|---------------------------|------------|---------------------------|-----------|-----|-----|-----|-----|-----|-------|-------|-------|-------|
| 7     | 1     | String    | admittedSecurities        | 150        |                           | 1         | o   | o   | NA  | NA  | o   | o     | NA    | NA    | NA    |
| 7     | 2     | String    | nameOfIssuer              | 150        |                           | 1         | o   | o   | NA  | NA  | o   | o     | NA    | NA    | NA    |
| 7     | 3     | String    | securityDescription       | 2000       |                           | 1         | o   | o   | NA  | NA  | o   | o     | NA    | NA    | NA    |
| 5     | 3     | NV        | Item3                     |            |                           | 2000      | o   | o   | NA  | NA  | o   | o     | NA    | NA    | NA    |
| 6     | 1     | String    | unregisteredSecurities    | 150        |                           | 1         | o   | o   | NA  | NA  | o   | o     | NA    | NA    | NA    |
| 6     | 2     | String    | nameOfIssuer              | 150        |                           | 1         | o   | o   | NA  | NA  | o   | o     | NA    | NA    | NA    |
| 6     | 3     | String    | securityDescription       | 2000       |                           | 1         | o   | o   | NA  | NA  | o   | o     | NA    | NA    | NA    |
| 6     | 4     | String    | statutoryExemption        | 2000       |                           | 1         | o   | o   | NA  | NA  | o   | o     | NA    | NA    | NA    |
| 5     | 4     | NV        | Item4                     |            |                           | 2000      | o   | o   | NA  | NA  | o   | o     | NA    | NA    | NA    |
| 6     | 1     | String    | otherSecurities           | 150        |                           | 1         | o   | o   | NA  | NA  | o   | o     | NA    | NA    | NA    |
| 6     | 2     | String    | nameOfIssuer              | 150        |                           | 1         | o   | o   | NA  | NA  | o   | o     | NA    | NA    | NA    |
| 6     | 3     | String    | securityDescription       | 2000       |                           | 1         | o   | o   | NA  | NA  | o   | o     | NA    | NA    | NA    |
| 3     | 16    | NV        | Section6                  |            |                           | 1         | m   | m   | m   | m   | m   | m     | m     | m     | m     |
| 4     | 1     | String    | employeeFirstName         | 30         |                           | 1         | m   | m   | m   | m   | m   | m     | m     | m     | m     |
| 4     | 2     | String    | employeeLastName          | 30         |                           | 1         | m   | m   | m   | m   | m   | m     | m     | m     | m     |
| 4     | 3     | String    | employeeTitle             | 60         |                           | 1         | m   | m   | m   | m   | m   | m     | m     | m     | m     |
| 4     | 4     | String    | employeeEmail             | 80         |                           | 1         | m   | m   | m   | m   | m   | m     | m     | m     | m     |
| 4     | 5     | String    | employeePhoneNumber       | 20         |                           | 1         | m   | m   | m   | m   | m   | m     | m     | m     | m     |
| 3     | 17    | NV        | Section7                  |            |                           | 1         | m   | m   | m   | m   | m   | m     | m     | m     | m     |
| 4     | 1     | Boolean   | consentServiceAttestation |            | "true" or "false"         | 1         | m   | m   | m   | m   | m   | m     | m     | m     | m     |
| 2     | 4     | NV        | documents                 |            |                           | 1         | m#  | m#  | m#  | m#  | m#  | m#    | m#    | m#    | m#    |
| 3     | 1     | NV        | document                  |            |                           | Unlimited | m#  | m#  | m#  | m#  | m#1 | m#    | m#    | m#    | m#    |
| 4     | 1     | String    | conformedName             | 32         |                           | 1         | m#1 | m#1 | m#1 | m#1 | m#1 | m#1   | m#1   | m#1   | m#1   |
| 4     | 2     | String    | conformedDocumentType     | 128        | <u>BASE_DOCUMENT_TYPE</u> | 1         | m#1 | m#1 | m#1 | m#1 | m#1 | m#1   | m#1   | m#1   | m#1   |
| 4     | 3     | String    | description               | 255        |                           | 1         | o   | o   | o   | o   | o   | o     | o     | o     | o     |
| 4     | 4     | String    | contents                  |            |                           | 1         | m#1 | m#1 | m#1 | m#1 | m#1 | m#1   | m#1   | m#1   | m#1   |

### 3.5 Data Specification for Exhibits Table

Table 8: Data Specification for Exhibits

| Level | Order | Data Type | Element/Attribute Name        | Maxi Length | Choice List | Max Occur | 1  | 1AA | 1AC | 1W | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|-------------------------------|-------------|-------------|-----------|----|-----|-----|----|-----|-------|-------|-------|-------|
| 1     | 1     | NV        | exhibitCDocument              |             |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 2     | 1     | NV        | exhibitCData                  |             |             | 100       | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 3     | 1     | NV        | organizationData              |             |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 4     | 1     | String    | organizationName              | 150         |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 4     | 2     | NV        | organizationAddress           |             |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 4     | 3     | String    | street1                       | 40          |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 4     | 4     | String    | street2                       | 40          |             | 1         | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 4     | 5     | String    | city                          | 30          |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 4     | 6     | String    | stateOrCountry                |             |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 4     | 7     | String    | zipCode                       | 10          |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 3     | 2     | String    | formOfOrganization            | 1000        |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 3     | 3     | String    | nameOfStateAndStatuteCitation | 1000        |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 3     | 4     | Date      | dateOfIncorporation           |             |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 3     | 5     | String    | discriptionOfNature           | 5000        |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 3     | 6     | String    | discriptionOfBusiness         | 5000        |             | 1         | m# | o   | NA  | NA | o   | NA    | m#    | NA    | NA    |
| 3     | 7     | NV        | standingCommitteeData         |             |             | 150       | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 4     | 1     | String    | membersOrPersonName           | 150         |             | 1         | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 4     | 2     | String    | membersOrPersonTitle          | 150         |             | 1         | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 4     | 3     | String    | description                   | 1000        |             | 1         | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 3     | 8     | String    | reasonForTermination          | 5000        |             | 1         | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 1     | 1     | NV        | exhibitHDocument              |             |             | 1         | m# | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 2     | 1     | NV        | exhibitHData                  |             |             | 1         | m# | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 3     | 1     | String    | criteriaDescription           | 5000        |             | 1         | m# | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 3     | 2     | String    | listingFeeSchedule            | 5000        |             | 1         | m# | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |

| Level | Order | Data Type | Element/Attribute Name          | Maxi Length | Choice List        | Max Occur | 1  | 1AA | 1AC | 1W | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|---------------------------------|-------------|--------------------|-----------|----|-----|-----|----|-----|-------|-------|-------|-------|
| 1     | 1     | NV        | exhibitJDocument                |             |                    | 1         | m# | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 2     | 1     | NV        | exhibitJData                    |             |                    | 500       | m# | m#  | NA  | NA | m#  | NA    | m#    | NA    | NA    |
| 3     | 1     | String    | memberName                      | 150         |                    | 1         | m# | m#  | NA  | NA | m#  | NA    | m#    | NA    | NA    |
| 3     | 2     | String    | memberTitle                     | 60          |                    | 1         | m# | m#  | NA  | NA | m#  | NA    | m#    | NA    | NA    |
| 3     | 3     | Date      | positionStartDate               |             |                    | 1         | m# | m#  | NA  | NA | m#  | NA    | m#    | NA    | NA    |
| 3     | 4     | Date      | positionEndDate                 |             |                    | 1         | o  | o   | NA  | NA | o   | NA    | o     | NA    | NA    |
| 3     | 5     | String    | businessType                    | 150         |                    | 1         | m# | m#  | NA  | NA | m#  | NA    | m#    | NA    | NA    |
| 1     | 1     | NV        | exhibitKDocument                |             |                    | 1         | m# | o   | NA  | NA | o   | m#    | NA    | NA    | NA    |
| 2     | 1     | NV        | exhibitKData                    |             |                    | 50        | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 1     | String    | fullLegalName                   | 150         |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 2     | String    | titleOrStatus                   | 60          |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 3     | Date      | titleOrStatusAcquiredDate       |             |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 4     | String    | ApproximateOwnershipInterest    | 60          |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 5     | Boolean   | personControlFlag               |             | "Y" or "N"         | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 1     | 1     | NV        | exhibitLDocument                |             |                    | 1         | m  | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 2     | 1     | NV        | exhibitLData                    |             |                    | 1         | m  | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 3     | 1     | String    | terminationProcedureDescription | 30000       |                    | 1         | m  | o   | NA  | NA | o   | NA    | NA    | NA    | NA    |
| 1     | 1     | NV        | exhibitMDocument                |             |                    | 1         | m# | o   | NA  | NA | o   | m#    | NA    | NA    | NA    |
| 2     | 1     | NV        | exhibitMData                    |             |                    | 2000      | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 1     | String    | name                            | 150         |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 2     | Date      | dateOfElection                  |             |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 3     | NV        | principalAddress                |             |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 4     | 1     | String    | street1                         | 40          |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 4     | 2     | String    | Street2                         | 40          |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 4     | 3     | String    | city                            | 30          |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 4     | 4     | String    | stateOrCountry                  |             | STATE_COUNTRY_CODE | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 4     | 5     | String    | zipCode                         | 10          |                    | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |

| Level | Order | Data Type | Element/Attribute Name     | Maxi Length | Choice List | Max Occur | 1  | 1AA | 1AC | 1W | 1/A | 1/A-A | 1/A-T | 1/S-M | 1/S-R |
|-------|-------|-----------|----------------------------|-------------|-------------|-----------|----|-----|-----|----|-----|-------|-------|-------|-------|
| 3     | 4     | String    | princialPhoneNumber        | 20          |             | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 5     | NV        | memberRelationshipToEntity |             |             | 10        | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 4     | 1     | String    | entityName                 | 150         |             | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 4     | 2     | String    | memberRelationship         | 500         |             | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 6     | String    | activitiesByMember         | 1000        |             | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 3     | 7     | String    | classOfMembership          | 5000        |             | 1         | m# | m#  | NA  | NA | m#  | m#    | NA    | NA    | NA    |
| 1     | 1     | NV        | exhibitNDocument           |             |             | 1         | m# | o   | NA  | NA | o   | m#    | NA    | NA    | NA    |
| 2     | 1     | NV        | exhibitNData               |             |             | 1         | m# | o   | NA  | NA | o   | m#    | NA    | NA    | NA    |
| 3     | 1     | NV        | Item1                      |             |             | 2000      | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 1     | String    | listedSecurities           | 150         |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 2     | String    | nameOfIssuer               | 150         |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 3     | String    | securityDescription        | 2000        |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 3     | 2     | NV        | Item2                      |             |             | 2000      | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 1     | String    | admittedSecurities         | 150         |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 2     | String    | nameOfIssuer               | 150         |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 3     | String    | securityDescription        | 2000        |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 3     | 3     | NV        | Item3                      |             |             | 2000      | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 1     | String    | unregisteredSecurities     | 150         |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 2     | String    | nameOfIssuer               | 150         |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 3     | String    | securityDescription        | 2000        |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 4     | String    | statutoryExemption         | 2000        |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 3     | 4     | NV        | Item4                      |             |             | 2000      | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 1     | String    | otherSecurities            | 150         |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 2     | String    | nameOfIssuer               | 150         |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |
| 4     | 3     | String    | securityDescription        | 2000        |             | 1         | o  | o   | NA  | NA | o   | o     | NA    | NA    | NA    |

## 4 Form 1 SCHEMA DATA VALUE CONSTRAINTS

### 4.1 SUBMISSION\_TYPE

These are the valid values for the Form1 and Variants element in the submission file:

| VALUE | CODE DESCRIPTION                                                                                                                                                  |
|-------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1     | Rule 6a-1(a) Application for registration as a National Securities Exchange or exemption on the basis of limited volume                                           |
| 1AA   | Rule 6a-1(b), (c), or (d) corrective amendment to application for registration as a National Securities Exchange or exemption on the basis of limited volume      |
| 1AC   | Consent to Extension of Time for application for registration as a National Securities Exchange or exemption on the basis of limited volume                       |
| 1/A   | Rule 6a-2(a) Updating Amendment to registration application filed by registered National Securities Exchange or exchange exempted on the basis of limited volume  |
| 1/A-A | Rule 6a-2(b) Annual amendment to registration application filed by registered National Securities Exchange or exchange exempted on the basis of limited volume    |
| 1/A-T | Rule 6a-2(c) Triennial amendment to registration application filed by registered National Securities Exchange or exchange exempted on the basis of limited volume |
| 1/S-M | Rule 6a-3(a) Supplemental Materials filed by registered National Securities Exchange or exchange exempted on the basis of limited volume                          |
| 1/S-R | Rule 6a-3(b) Report of securities sold during calendar month filed by registered National Securities Exchange or exchange exempted on the basis of limited volume |
| 1W    | Application for withdrawal from registration as a National Securities Exchange or exemption on the basis of limited volume                                        |

### 4.2 APPLICATION\_TYPE

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

| VALUE                                               |
|-----------------------------------------------------|
| National Securities Exchange                        |
| Exemption from registration based on limited volume |

### 4.3 LIVE\_TEST\_TYPE

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

| VALUE |
|-------|
| LIVE  |
| TEST  |

### 4.4 LEGAL\_STATUS\_OPTION\_TYPE

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

| VALUE                     |
|---------------------------|
| Sole Proprietorship       |
| Corporation               |
| Partnership               |
| Limited Liability Company |
| Other                     |

### 4.5 SUPPLEMENTAL\_MATERIAL\_OPTIONS

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

| VALUE |
|-------|
| 1     |
| 2     |

### 4.6 ALTERNATIVE\_EXHIBIT\_RULE\_TYPE

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

| VALUE           |
|-----------------|
| Rule 6a-2(d)(1) |
| Rule 6a-2(d)(2) |

#### 4.7 BASE\_DOCUMENT\_TYPE

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

| VALUE                |
|----------------------|
| EX.A.FORM1           |
| EX.B.FORM1           |
| EX.C.DATA.FILE.FORM1 |
| EX.C.DOC.FORM1       |
| EX.D.FORM1           |
| EX.E.FORM1           |
| EX.E.USER.MANUAL     |
| EX.F.FORM1           |
| EX.G.FORM1           |
| EX.H.DATA.FILE.FORM1 |
| EX.H.DOC.FORM1       |
| EX.I.FORM1           |
| EX.J.FORM1           |
| EX.K.FORM1           |
| EX.L.FORM1           |
| EX.M.FORM1           |
| EX.N.FORM1           |
| EX.FORM1.SCH         |
| COVER                |
| GRAPHIC              |
| Suppl. Materials     |

## 5 BASIC SUBMISSION CONSTRUCTION

### 5.1 General Formatting of XML Files

The following rules apply to the submission file of an XML-format Form 1 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.

```
<n1:documents>
  <ns4:document>
    <ns4:conformedName>test1.pdf</ns4:conformedName>
    <ns4:conformedDocumentType>EX.A.FORM1</ns4:conformedDocumentType>
    <ns4:description>a</ns4:description>
    <ns4:contents>yZWYNCjExNg0KJSVFT0YNCg==</ns4:contents>
  </ns4:document>
  <ns4:document>
    <ns4:conformedName>test2.pdf</ns4:conformedName>
    <ns4:conformedDocumentType>EX.B.FORM1</ns4:conformedDocumentType>
    <ns4:description>b</ns4:description>
    <ns4:contents>HhyZWYNCjExNg0KJSVFT0YNCg==</ns4:contents>
  </ns4:document>
</n1:documents>
```

## 6 ERROR REPORTING

EDGAR will generate an error for each violation of an XML schema constraint, as well as for each violation of a Form 1 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 9: 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 |

You may sometimes get multiple error messages reporting the same error. The XML parser EDGAR used to process a Form 1 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.

## 7 EXAMPLE FORM 1 and Variants SUBMISSION FILES

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

*Table 10: Sample Submission/Document Files*

| Submission/Document Type | Sample File     |
|--------------------------|-----------------|
| 1                        | 1_sample.xml    |
| 1/A                      | 1_A_sample.xml  |
| 1AA                      | 1AA_sample.xml  |
| 1/A-A                    | 1A_A_sample.xml |
| 1/A-T                    | 1A_T_sample.xml |
| 1W                       | 1W_sample.xml   |

## Appendix A. STATE/COUNTRY CODES

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

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

| Code | State/Country Name                           |
|------|----------------------------------------------|
| TX   | TEXAS                                        |
| UT   | UTAH                                         |
| VA   | VIRGINIA                                     |
| VT   | VERMONT                                      |
| WA   | WASHINGTON                                   |
| WI   | WISCONSIN                                    |
| WV   | WEST VIRGINIA                                |
| WY   | WYOMING                                      |
| X1   | UNITED STATES                                |
| A0   | ALBERTA, CANADA                              |
| A1   | BRITISH COLUMBIA, CANADA                     |
| 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                                |
| Z4   | CANADA (FEDERAL LEVEL)                       |
| 1A   | ANGUILLA                                     |
| 1B   | ARMENIA                                      |
| 1C   | ARUBA                                        |
| 1D   | AZERBAIJAN                                   |
| 1E   | BOSNIA AND HERZEGOVINA                       |
| 1F   | BELARUS                                      |
| 1G   | DJIBOUTI                                     |
| 1H   | ESTONIA                                      |
| 1J   | ERITREA                                      |
| 1K   | MICRONESIA, FEDERATED STATES OF              |
| 1L   | SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS |
| 1M   | CROATIA                                      |
| 1N   | KYRGYZSTAN                                   |
| 1P   | KAZAKSTAN                                    |
| 1Q   | LITHUANIA                                    |
| 1R   | LATVIA                                       |
| 1S   | MOLDOVA, REPUBLIC OF                         |
| 1T   | MARSHALL ISLANDS                             |
| 1U   | MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF   |
| 1V   | NORTHERN MARIANA ISLANDS                     |
| 1W   | NEW CALEDONIA                                |
| 1X   | PALESTINIAN TERRITORY, OCCUPIED              |
| 1Y   | PALAU                                        |
| 1Z   | RUSSIAN FEDERATION                           |
| 2A   | SLOVENIA                                     |
| 2B   | SLOVAKIA                                     |
| 2C   | FRENCH SOUTHERN TERRITORIES                  |

| Code | State/Country Name                   |
|------|--------------------------------------|
| 2D   | TAJIKISTAN                           |
| 2E   | TURKMENISTAN                         |
| 2G   | TUVALU                               |
| 2H   | UKRAINE                              |
| 2J   | UNITED STATES MINOR OUTLYING ISLANDS |
| 2K   | UZBEKISTAN                           |
| 2L   | VANUATU                              |
| 2M   | GERMANY                              |
| 2N   | CZECH REPUBLIC                       |
| 2P   | MAYOTTE                              |
| 2Q   | GEORGIA (COUNTRY)                    |
| B1   | BOTSWANA                             |
| B2   | AFGHANISTAN                          |
| B3   | ALBANIA                              |
| B4   | ALGERIA                              |
| B5   | AMERICAN SAMOA                       |
| B6   | ANDORRA                              |
| B7   | ANGOLA                               |
| B8   | ANTARCTICA                           |
| B9   | ANTIGUA AND BARBUDA                  |
| C0   | UNITED ARAB EMIRATES                 |
| C1   | ARGENTINA                            |
| C3   | AUSTRALIA                            |
| C4   | AUSTRIA                              |
| C5   | BAHAMAS                              |
| C6   | BAHRAIN                              |
| C7   | BANGLADESH                           |
| C8   | BARBADOS                             |
| C9   | BELGIUM                              |
| D0   | BERMUDA                              |
| D1   | BELIZE                               |
| D2   | BHUTAN                               |
| D3   | BOLIVIA                              |
| D4   | BOUVET ISLAND                        |
| D5   | BRAZIL                               |
| D6   | BRITISH INDIAN OCEAN TERRITORY       |
| D7   | SOLOMON ISLANDS                      |
| D8   | VIRGIN ISLANDS, BRITISH              |
| D9   | BRUNEI DARUSSALAM                    |
| E0   | BULGARIA                             |
| E1   | MYANMAR                              |
| E2   | BURUNDI                              |
| E3   | CAMBODIA                             |
| E4   | CAMEROON                             |
| E8   | CAPE VERDE                           |
| E9   | CAYMAN ISLANDS                       |
| F0   | CENTRAL AFRICAN REPUBLIC             |
| F1   | SRI LANKA                            |
| F2   | CHAD                                 |

| Code | State/Country Name                |
|------|-----------------------------------|
| F3   | CHILE                             |
| F4   | CHINA                             |
| F5   | TAIWAN                            |
| F6   | CHRISTMAS ISLAND                  |
| F7   | COCOS (KEELING) ISLANDS           |
| F8   | COLOMBIA                          |
| F9   | COMOROS                           |
| G0   | CONGO                             |
| G1   | COOK ISLANDS                      |
| G2   | COSTA RICA                        |
| G3   | CUBA                              |
| G4   | CYPRUS                            |
| G6   | BENIN                             |
| G7   | DENMARK                           |
| G8   | DOMINICAN REPUBLIC                |
| G9   | DOMINICA                          |
| GU   | GUAM                              |
| H1   | ECUADOR                           |
| H2   | EGYPT                             |
| H3   | EL SALVADOR                       |
| H4   | EQUATORIAL GUINEA                 |
| H5   | ETHIOPIA                          |
| H6   | FAROE ISLANDS                     |
| H7   | FALKLAND ISLANDS (MALVINAS)       |
| H8   | FIJI                              |
| H9   | FINLAND                           |
| I0   | FRANCE                            |
| I3   | FRENCH GUIANA                     |
| I4   | FRENCH POLYNESIA                  |
| I5   | GABON                             |
| I6   | GAMBIA                            |
| J0   | GHANA                             |
| J1   | GIBRALTAR                         |
| J2   | KIRIBATI                          |
| J3   | GREECE                            |
| J4   | GREENLAND                         |
| J5   | GRENADA                           |
| J6   | GADELOUPE                         |
| J8   | GUATEMALA                         |
| J9   | GUINEA                            |
| K0   | GUYANA                            |
| K1   | HAITI                             |
| K2   | HONDURAS                          |
| K3   | HONG KONG                         |
| K4   | HEARD ISLAND AND MCDONALD ISLANDS |
| K5   | HUNGARY                           |
| K6   | ICELAND                           |
| K7   | INDIA                             |

| Code | State/Country Name                     |
|------|----------------------------------------|
| K8   | INDONESIA                              |
| K9   | IRAN, ISLAMIC REPUBLIC OF              |
| L0   | IRAQ                                   |
| L2   | IRELAND                                |
| L3   | ISRAEL                                 |
| L6   | ITALY                                  |
| L7   | COTE D'IVOIRE                          |
| L8   | JAMAICA                                |
| L9   | SVALBARD AND JAN MAYEN                 |
| M0   | JAPAN                                  |
| M2   | JORDAN                                 |
| M3   | KENYA                                  |
| M4   | KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF |
| M5   | KOREA, REPUBLIC OF                     |
| M6   | KUWAIT                                 |
| M7   | LAO PEOPLE'S DEMOCRATIC REPUBLIC       |
| M8   | LEBANON                                |
| M9   | LESOTHO                                |
| N0   | LIBERIA                                |
| N1   | LIBYAN ARAB JAMAHIRIYA                 |
| N2   | LIECHTENSTEIN                          |
| N4   | LUXEMBOURG                             |
| N5   | MACAU                                  |
| N6   | MADAGASCAR                             |
| N7   | MALAWI                                 |
| N8   | MALAYSIA                               |
| N9   | MALDIVES                               |
| O0   | MALI                                   |
| O1   | MALTA                                  |
| O2   | MARTINIQUE                             |
| O3   | MAURITANIA                             |
| O4   | MAURITIUS                              |
| O5   | MEXICO                                 |
| O9   | MONACO                                 |
| P0   | MONGOLIA                               |
| P1   | MONTSERRAT                             |
| P2   | MOROCCO                                |
| P3   | MOZAMBIQUE                             |
| P4   | OMAN                                   |
| P5   | NAURU                                  |
| P6   | NEPAL                                  |
| P7   | NETHERLANDS                            |
| P8   | NETHERLANDS ANTILLES                   |
| PR   | PUERTO RICO                            |
| Q1   | VIET NAM                               |
| Q2   | NEW ZEALAND                            |
| Q3   | NICARAGUA                              |
| Q4   | NIGER                                  |

| Code | State/Country Name               |
|------|----------------------------------|
| Q5   | NIGERIA                          |
| Q6   | NIUE                             |
| Q7   | NORFOLK ISLAND                   |
| Q8   | NORWAY                           |
| R0   | PAKISTAN                         |
| R1   | PANAMA                           |
| R2   | PAPUA NEW GUINEA                 |
| R4   | PARAGUAY                         |
| R5   | PERU                             |
| R6   | PHILIPPINES                      |
| R8   | PITCAIRN                         |
| R9   | POLAND                           |
| S0   | GUINEA-BISSAU                    |
| S1   | PORTUGAL                         |
| S3   | QATAR                            |
| S4   | REUNION                          |
| S5   | ROMANIA                          |
| S6   | RWANDA                           |
| S8   | SAN MARINO                       |
| S9   | SAO TOME AND PRINCIPE            |
| T0   | SAUDI ARABIA                     |
| T1   | SENEGAL                          |
| T2   | SEYCHELLES                       |
| T3   | SOUTH AFRICA                     |
| T6   | NAMIBIA                          |
| T7   | YEMEN                            |
| T8   | SIERRA LEONE                     |
| U0   | SINGAPORE                        |
| U1   | SOMALIA                          |
| U3   | SPAIN                            |
| U5   | WESTERN SAHARA                   |
| U7   | SAINT KITTS AND NEVIS            |
| U8   | SAINT HELENA                     |
| U9   | SAINT LUCIA                      |
| V0   | SAINT PIERRE AND MIQUELON        |
| V1   | SAINT VINCENT AND THE GRENADINES |
| V2   | SUDAN                            |
| V3   | SURINAME                         |

## 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                 |
| XBRL    | eXtensible Business Reporting Language             |
| XML     | Extensible Markup Language                         |