9. FILER-CONSTRUCTED XML SUBMISSIONS

9.1 Filer-Constructed XML Technical Specifications

Preparing a submission without using the EDGAR Online Forms Website requires a working knowledge of XML. The EDGAR Online Forms Website automatically assembles all your information into an EDGAR-compatible XML submission. XML forms are accepted by EDGAR, processed, and indexed into our databases. If you want to prepare your submission without using the EDGAR Online Forms Website, you must use our Filer-Constructed XML Filing Specification documents. They are specific to the form type that you will be constructing. You can find additional information about these documents and download them from the SEC's Public Website at: *https://www.sec.gov/info/edgar/tech-specs*.

Filer-Constructed XML submissions can be transmitted to EDGAR in two ways. You can use either the 'Transmit XML Submission' link on the EDGAR Online Forms Website or the 'Transmit' link on the EDGAR Filing Website. You can test your filer-constructed submission by selecting 'Transmit as a Test Submission' on the Transmit Submission page of the EDGAR Online Forms Website. Alternatively, you can select 'Transmit as a Test Submission' on the Transmit Submission page of the EDGAR Filing Website to test your filer-constructed submission. EDGAR treats all submissions transmitted this way as "test" and they will not be disseminated. To submit your filer-constructed filing as live, you should use the Transmit as a Live Submission on the same web page.

Note: Test and Live tags included in the submission will also have an effect on how the filing is processed. If you include a test tag in your submission, even if you send it in via the 'Transmit as a Live Submission' link, the EDGAR system will process the filing as a test submission. Please make sure your internal tag and the link you choose on the website are the same.

Details on the transmission of XML filings are contained in Section 9.2, Transmitting XML Submissions.

9.2 Transmitting XML Submissions

You can send XML submissions to the SEC using the EDGAR Online Forms Website. We recommend that you use a recent version of Microsoft Edge or Google Chrome, supported by the relevant vendor.

You can then transmit your XML Submission using the EDGAR Online Forms Website by:

1. Logging into the EDGAR Online Forms Website.
2. Click on 'Transmit XML Submission' in the menu bar.
3. The Transmit XML Submission page appears and asks you to specify whether to transmit the XML submission as a test submission or as a live submission.

   Note: If you are not ready to make a live submission, choose "test" submission. If you make a "LIVE" submission, we will automatically disseminate the public portions of your submission(s). Please use caution when transmitting live submissions to EDGAR. Also, the maximum size of your submission must not exceed 600 MB for form types ABS-EE, ABS-EE/A, NPORT-NP, NPORT-NP/A, NPORT-P, and NPORT-P/A, and 200 MB for all other form types.

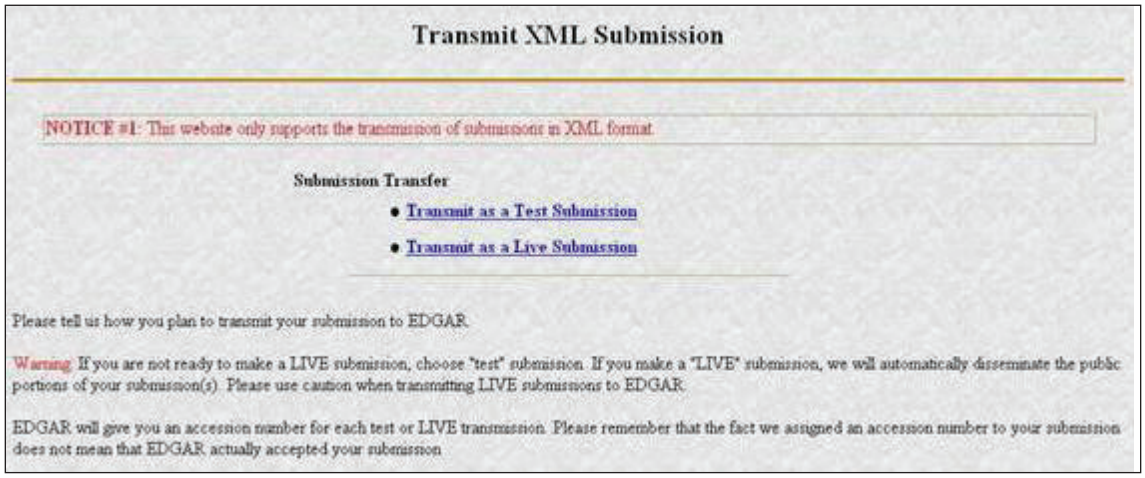

Figure 9-1: Transmit XML Submission Page

9.2.1 Transmit XML as a Test Submission

We allow you to transmit the submission as a test submission to verify that your XML is correct. EDGAR treats all submissions transmitted this way as "test" and they will not be disseminated.

Once you have logged into EDGAR Online Forms Website and accessed the Transmit XML Submission page, you can transmit your XML Submission as a test submission:

1. Click on 'Transmit as a Test Submission'.
2. The Transmit Test Submission page appears.

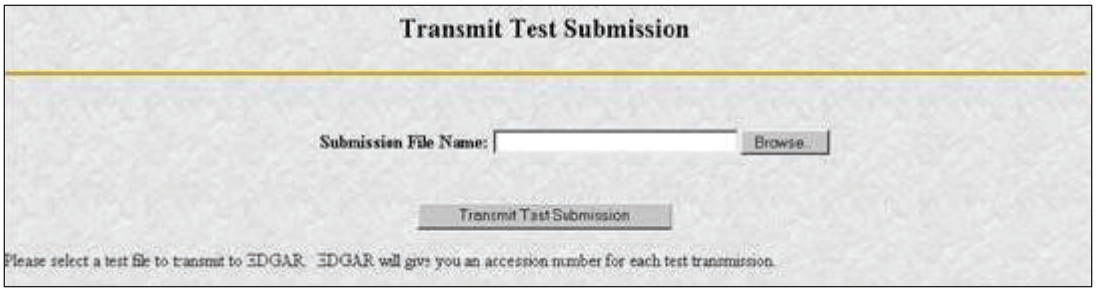

Figure 9-2: Transmit Test Submission Page

3. Click on the [Browse...] button. The Choose File window appears.
4. Open the location of your submission in the Look In: field.

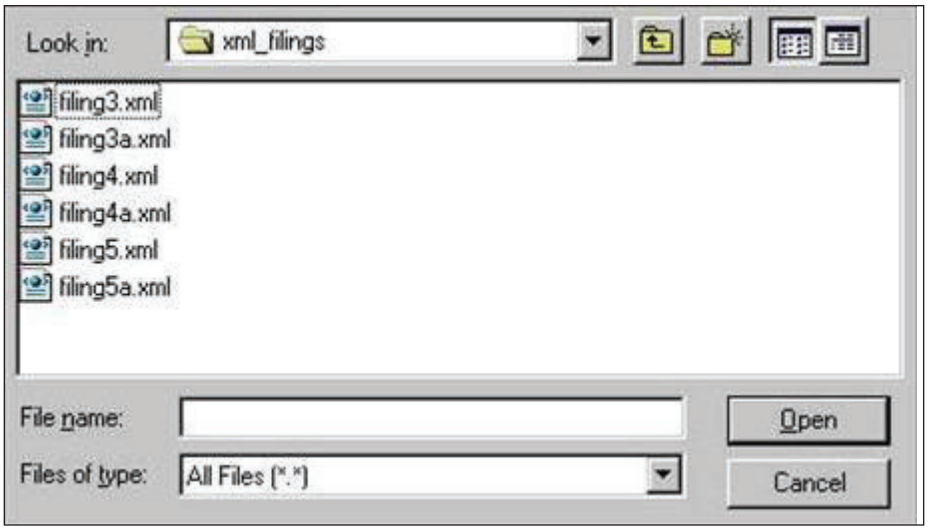

Figure 9-3: Transmit Test Submission File Upload Window

Note: If your XML submission does not appear immediately, change the Files of Type to All Files (*.*).

5. Click on your XML submission.
6. Click on the [Open] button.

The Submission File Name field fills with the location and name of your submission. When you are ready to transmit a test filing:

7. Click on the [Transmit TEST Submission] button. Once you click this button, EDGAR will transmit your submission and you will see an indicator of the submission progress.

9.2.2 Transmit XML as a Live Submission

Once you have logged into EDGAR Online Forms Website and accessed the Transmit XML Submission page, you can transmit your XML Submission as a live submission by:

1. Click on 'Transmit as a Live Submission'.
2. The Transmit Live Submission page appears.

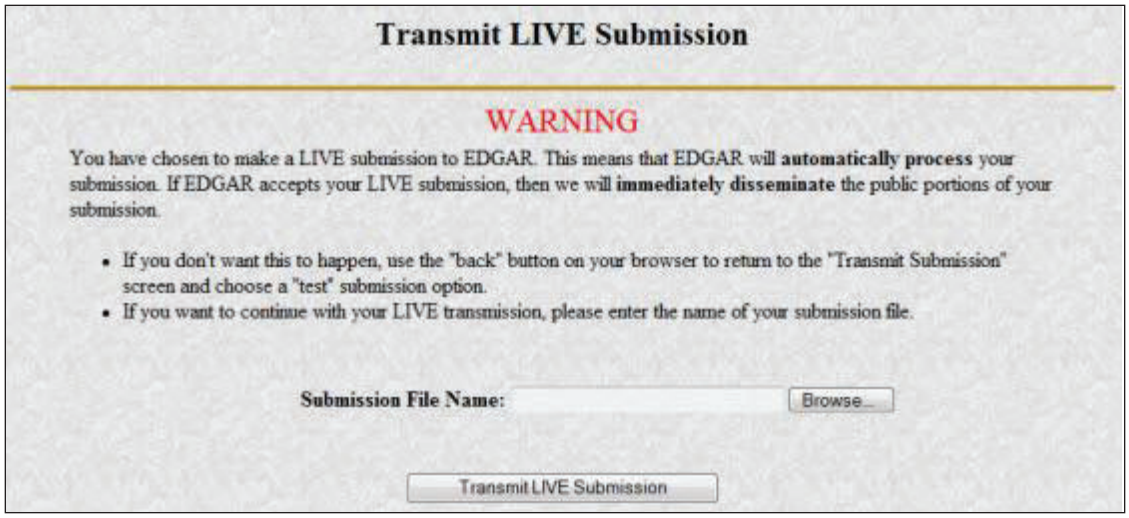

Figure 9-4: Transmit Live Submission Page

3. Click on the [Browse…] button. The Choose File window appears.
4. Open the location of your submission in the Look In: field.

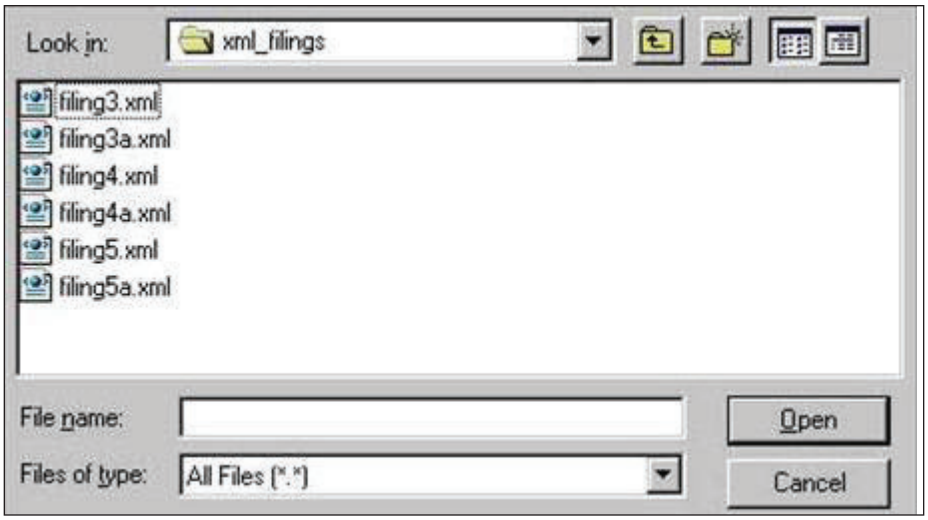

Figure 9-5: Transmit Live Submission File Upload Window

Note: If your XML submission does not appear immediately, change the Files of Type to **All Files (*.*)**.

5. Click on your XML submission.
6. Click on the [Open] button.

The Submission File Name field fills with the location and name of your submission. When you are ready to transmit a live filing:

7. Click on the [Transmit LIVE Submission] button.
8. Once you click this button, EDGAR will process your submission and you will see an indicator of the submission progress.

9.2.3 Transmission Status

Online Forms has a transmitting indicator that appears in the bottom pane of your browser window. While your submission is being transmitted to EDGAR, the words "Transmitting Files" scrolls from right to left. The scrolling text stops and the Transmit Submission Results page appears when the transmission is complete.

An accession number appears on the Transmit Submission Results page.

Note: This does not mean your submission has been accepted. It means your submission has been transmitted. You can find the status of your submission in one of two ways:

(1) Through e-mail

(2) By performing a Submission query on the EDGAR Online Forms Website. For more details please refer to Section 10.5, Submission Information.