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# EDGAR® N-MFP1 XML Technical Specification

Version 1

April 2016

## DRAFT

### **DRAFT DISCLAIMER:**

This draft EDGAR N-MFP1 XML Technical Specification, posted before Commission approval of potential regulatory changes in this release, is provided as a service to our filing community to assist filers, agents, and software developers in their preparation of responses to potential changes the staff anticipates. Since this is a draft technical specification, the SEC retains the right to change any part of the technical specification before the new system release is made final. In addition, the final EDGAR N-MFP1 XML Technical Specification is subject to Commission approval and may be revised before approval or not approved at all. Similarly, the posting of the draft technical specification does not indicate Commission approval of any pending proposed changes relating to the potential changes reflected in the draft technical specification. The changes outlined in this draft technical specification, if approved, are scheduled to take effect on April 14, 2016. The final version of the technical specification will be made available if approved by the Commission on or about April 11, 2016, on the SEC's Public Website.

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# 1 INTRODUCTION

## 1.1 Purpose

This document details the valid structure and content of the N-MFP1 Electronic Data Gathering, Analysis, and Retrieval (EDGAR) Extensible Markup Language (XML) submission types. The following table lists the submission types for N-MFP1.

**Table 1-1: N-MFP1 Submission Types**

SUBMISSION TYPE	DESCRIPTION
N-MFP1	Monthly Schedule of Portfolio Holdings of Money Market Funds.
N-MFP1/A	Amendment of a previous N-MFP1 filing.

This specification provides the basis for creating the aforementioned submission types for N-MFP1 XML submissions. Filers must use this technical specification to generate an N-MFP1 XML submission that can be successfully parsed by the EDGAR system.

The N-MFP1 submission file must conform to the EDGAR N-MFP1 Submission Taxonomy. This taxonomy is comprised of a collection of XML Schema Definition (.xsd) files that define the structures of EDGAR N-MFP1 submissions.

The N-MFP1 XML submissions can be transmitted to the SEC via the EDGAR FilerWeb (<https://www.edgarfiling.sec.gov/>) or the “Transmit XML Submission” option from the EDGAR OnlineForms/XML Website (<https://www.onlineforms.edgarfiling.sec.gov/>).

In order to use the EDGAR FilerWeb or OnlineForms/XML Website, you must have a Central Index Key (CIK) and EDGAR access codes (password, CIK confirmation code (CCC)). If you currently have a CIK and access codes, you can proceed to the EDGAR FilerWeb or OnlineForms/XML Website to submit your submission. If you do not have access codes, you will need to obtain access codes through the EDGAR Filer Management website, <https://www.filermanagement.edgarfiling.sec.gov>. For further information regarding how to obtain access codes, refer to the “Becoming an EDGAR Filer” section of the EDGAR Filer Manual, Volume I (General Information).

For further information regarding the EDGAR FilerWeb or OnlineForms/XML Website, specifically in regards to the transmission of filer-constructed submissions, refer to the Filer-Constructed XML Submissions section of the EDGAR Filer Manual, Volume II (EDGAR Filing).

## **1.2 Summary of Changes**

The following changes have been implemented:

- Made the following changes to the document to ensure that documentation matched that of the schemas' structure:
  - Some of the values in the "Choice List" column have been updated to match the values provided in the schemas. For example changing the "Yes or No" to "Y or N" for some elements.
  - Some of the element names were corrected for spelling errors.
  - Some element names were updated for correct case to match that of the schemas.
  - Some element data types were updated to match the data types of the schemas.
  - Some elements were added due to their presence in the schemas but their absence from the documentation.
  - Updated the name of the element "repurchaseAgreements" to "repurchaseAgreement" to ensure it matches that of the schema and its attribute of a one time occurrence inside of the "scheduleOfPortfolioSecuritiesInfo" element.
- Made the following changes to the document to ensure that specific validations would process properly, certain elements would be repeatable without restriction, and the proper elements were added. Please note that these changes required updates to the schemas:
  - Some of the elements' data types were updated. For example the data type Date was changed to String to ensure the JSR validations would process and return an error message with the proper verbiage if a date validation failed.
  - Some of the element names were updated to keep a uniform naming convention.
  - Some of the element names were updated to correct spelling errors.
  - Added a new element which modified Item A.14.b from text to a numerical field which requires a decimal value.
  - Added a new element tag to group the repeatable elements for a Repurchase Agreement, and modified its number of occurrences to "unbounded". This ensures the elements within this new set can repeat an unlimited number of times.
  - Some of the elements' Level/Orders were updated to account for the new element added for the repeatable elements for a Repurchase Agreement.

## 2 EDGAR SCHEMA FILES

Table 2-1: N-MFP1 Schema Files describes the schema files that the EDGAR system uses to validate N-MFP1 submissions. These schemas are considered part of this specification and are distributed with this document.

**Table 2-1: N-MFP1 Schema Files**

XML Schema File	Scope of File
eis_NMFP1_Filer.xsd	Defines the elements for a N-MFP1 submission.
eis_NMFP1_common.xsd	Defines the common elements for all EDGAR N-MFP1 submissions.
eis_Common.xsd	Defines the submission fields that are common in all EDGAR submissions.
<u>eis_stateCodes.xsd</u>	<u>Defines the state codes for all EDGAR N-MFP1 submissions.</u>

The schema files define the valid data elements for an N-MFP1 submission, the hierarchy and sequencing of these elements, data types, valid values, maximum lengths, and number of occurrences, etc.

It is recommended that you download these files and use them for your own validation prior to filing a submission. This will greatly reduce the likelihood of receiving an EDGAR Suspend error. These schema files contain several annotations that describe the nature of the content of some of the elements.

EDGAR performs several validation checks that are not related to the schema files, so it is possible for a submission to meet all the schema constraints and still be SUSPENDED or BLOCKED. For instance, EDGAR verifies that each CIK/CCC pair is valid.

### 2.1 Schema Table Column Definitions

We assume the filer is familiar with the basics of the XML language, Namespaces, and the XML Schema Definition language. If not, you can find numerous references on the World Wide Web. One recommended website that provides several useful tutorials and examples is <http://www.w3schools.com/>.

The table below highlights the schema language features used most heavily in the EDGAR N-MFP1 submission schema files. These are:

**Table 2-2: Schema Language**

Indicator	Purpose
<sequence>	Specifies that child elements must appear in a specific order. This indicator is used with each element hierarchy. Elements must always appear in the order shown in Section 3.4.
<choice>	Specifies that only one of the child elements can be present within the containing element.
<minOccurs>	Specifies the minimum number of times that an element can occur.
<maxOccurs>	Specifies the maximum number of times that an element can occur.

The default value for the <minOccurs> and <maxOccurs> indicator is 1. An optional field will have a <minOccurs> value of zero.

This excerpt is from the eis\_NMFP1\_Filer.xsd schema file and includes some of these indicators:

```
<xs:complexType name="ADVISER_LIST_TYPE">
  <xs:annotation>
    <xs:documentation>These elements are part of the
ADVISER_LIST_TYPE group</xs:documentation>
  </xs:annotation>
  <xs:sequence>
    <xs:element name="adviser" type="ADVISER_TYPE"
minOccurs="1" maxOccurs="10"/>
  </xs:sequence>
</xs:complexType>
<xs:complexType name="SUB_ADVISER_LIST_TYPE">
  <xs:annotation>
    <xs:documentation>These elements are part of the
SUB_ADVISER_LIST_TYPE group</xs:documentation>
  </xs:annotation>
  <xs:sequence>
    <xs:element name="subAdviser" type="ADVISER_TYPE"
minOccurs="0" maxOccurs="10"/>
  </xs:sequence>
</xs:complexType>
<xs:complexType name="INDP_PUB_ACCOUNTANT_TYPE">
  <xs:annotation>
    <xs:documentation>These elements are part of the
INDP_PUB_ACCOUNTANT_TYPE group</xs:documentation>
  </xs:annotation>
  <xs:sequence>
    <xs:element name="name" type="ns1:STRING_150_TYPE"
minOccurs="1"/>
    <xs:element name="city" type="ns1:STRING_30_TYPE"
minOccurs="1"/>
    <xs:element name="stateCountry"
type="ns2:STATE_COUNTRY_CODE" minOccurs="1"/>
  </xs:sequence>
</xs:complexType>
```



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

```
<adviserList>
  <adviser>
    <adviserName>a</adviserName>
    <adviserFileNumber>0-0</adviserFileNumber>
  </adviser>
  <adviser>
    <adviserName>a</adviserName>
    <adviserFileNumber>0-0</adviserFileNumber>
  </adviser>
</adviserList>
<subAdviserList>
  <subAdviser>
    <adviserName>a</adviserName>
    <adviserFileNumber>0-0</adviserFileNumber>
  </subAdviser>
  <subAdviser>
    <adviserName>a</adviserName>
    <adviserFileNumber>0-0</adviserFileNumber>
  </subAdviser>
</subAdviserList>
<indpPubAccountant>
  <name>a</name>
  <city>a</city>
  <stateCountry>AZ</stateCountry>
</indpPubAccountant>
```

### 3 XML SCHEMAS

This section summarizes the restrictions and constraints imposed on the content of the N-MFP1 submission types. These rules are enforced by the schema files and by EDGAR submission processing applications.

The schema files cannot enforce all the rules concerning data content, so it is possible for a submission to satisfy all the schema constraints and still be **SUSPENDED** or **BLOCKED** by EDGAR.

#### 3.1 Schema Table Column Definitions

The following table defines the columns in the two schema summation tables provided in Sections 3.4:

**Table 3-1: Column Definitions for the Tables in Section 3-4**

Column Name	Description
Level	Depth of element in the XML node hierarchy.
Order	Order in which elements must appear.
Data Type	See Table in Section 3.2 for a detailed description.
Element Name	Name of the XML element. This is case-sensitive.
Max Length	Maximum length for elements. EDGAR database stores up to this number of characters. "Unlimited" means no maximum length constraint for the element value.
Data Value Constraint	The paragraph that describes the data value constraint for the element. The values specified are case sensitive.
Max Occur	Maximum times a set of elements may be repeated. The maximum occurrence is 1, if not specified.
Applicability of Element	Indicates applicability of the element. m = Mandatory o = Optional NA = Does not apply. EDGAR uses this element for server-side processing. Do not provide a value for this element.

#### 3.2 Data Type Constraints

Each entry in the "Data Type" column of these tables will be one of these values:

Data Type	Constraints
Boolean	Indicate a "true" value with either a "1" or the word "true." Indicate a "false" value with either a "0" or the word "false." A Boolean element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.
date	Must be of the format YYYY-MM-DD. A date element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. Do not include a date element at all if your goal is to not provide an optional date.
integer	Only valid characters are 0-9. Cannot contain commas, a minus sign, a dollar sign, or parentheses. An integer element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.

Data Type	Constraints										
string	<p>Should be no longer than the length shown in the tables in Section 3.4.</p> <p>EDGAR stores values in the &lt;signatureName&gt;, and &lt;contactEmailAddress&gt; elements exactly as provided. All other values are stored in the database as uppercase.</p> <p>You must use special escape sequences to represent these four characters:</p> <table> <tr> <th>Character</th><th>EscapeSequence</th></tr> <tr> <td>&lt;</td><td>&amp;lt; or &amp;#60;</td></tr> <tr> <td>&gt;</td><td>&amp;gt; or &amp;#62;</td></tr> <tr> <td>&amp;</td><td>&amp;amp; or &amp;#38;</td></tr> <tr> <td>“</td><td>&amp;quot; or &amp;#34;</td></tr> </table>	Character	EscapeSequence	<	&lt; or &#60;	>	&gt; or &#62;	&	&amp; or &#38;	“	&quot; or &#34;
Character	EscapeSequence										
<	&lt; or &#60;										
>	&gt; or &#62;										
&	&amp; or &#38;										
“	&quot; or &#34;										
NV	These fields cannot have a value. They are parent element nodes that contain other XML elements. These elements need to be present for proper validation.										
attr	Attribute property for an XML element.										

### 3.3 Applicability of Schema Elements

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

Value	Description
m	Mandatory
m#	Conditional Mandatory. The element is mandatory if its parent element is included. The element cannot be included if its parent is not included.
m#1	Conditional Mandatory. The element is mandatory if specific values are provided for other elements.
m#2	This element is required for correct processing of the submission type.
o	Optional
o#	Optional in the Schema. The value will be populated by EDGAR. Any value provided will be overwritten and a WARNING generated.
NA	Does not apply to submission type. EDGAR uses this field for server-side processing. Do not provide a value for this element.
blank	Does not apply to submission type.

### 3.4 Mapping of N-MFP1 Submission Schemas to Submission Types

#### Mapping of N-MFP1 and Variants Submission Schema to Submission Type

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	N-MFP1	N-MFP1/A
1	1	NV	edgarSubmission			1	m	m
2	1	String	schemaVersion	5		1	o	o
2	2	NV	headerData			1	m	m
3	1	String	submissionType		<a href="#">SUBMISSION TYPE</a>	1	m	m
3	2	NV	filerInfo			1	m	m
4	1	NV	Filer			1	m	m
5	1	NV	filerCredentials			1	m	m
6	1	String	cik	10		1	m	m
6	2	String	ccc	8		1	m	m
4	2	String	liveTestFlag		<a href="#">LIVE TEST TYPE</a>	1	m	m
4	3	NV	contact			1	o	o
5	1	String	contactName	30		1	o	o
5	2	String	contactPhoneNumber	20		1	o	o
4	4	NV	notifications			30	o	o
5	1	String	notificationEmailAddress	80		1	o	o
4	5	BooleanString	confirmingCopyFlag		"yes" or "no" "Y" or "N"	1	m	m
2	3	NV	formData			1	m	m
3	1	NV	generalInfo			1	m	m
4	1	Date	reportDate			1	m	m
4	2	String	cGik	10		1	m	m
4	3	String	registrantLEId	20		1	o	o
4	4	String	seriesId	10		1	m	m
4	5	Integer	totalShareClassesInSeries	3		1	m	m
4	6	String	finalFilingFlag		"yes" or "no" "Y" or "N"	1	m	m
4	7	String	fundLiquidatingFlag		"yes" or "no" "Y" or "N"	1	m# 1	m# 1
4	8	String	fundMrgOrAcqrdByOthrFlag		"yes" or "no" "Y" or "N"	1	m# 1	m# 1
4	9	NV	successorFund		FUND_INFO_TYPE	10	o	o
5	1	String	cGik	10		1	m# 1	m# 1
5	2	String	fileNumber	17		1	o	o
5	3	String	seriesIdentifier.seriesId	10		1	m# 1	m# 1
4	10	String	fundAcqrdOrMrgdWthAnthrFlag		"yes" or "no" "Y" or "N"	1	m	m
4	11	NV	acquiredMergedFund		FUND_INFO_TYPE	10	o	o
5	1	String	cGik	10		1	m# 1	m# 1
5	2	String	fileNumber	17		1	o	o
5	3	String	seriesIdentifier.seriesId	10		1	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	N-MFP1	N-MFP1/A
							1	1
4	12	NV	contact2			1	m	m
5	1	String	contactName	30		1	m	m
5	2	String	contactPhoneNumber	20		1	m	m
5	3	String	contactEmailAddress	80		1	m	m
3	2	NV	seriesLevelInfo			1	m	m
4	1	String	securitiesActFileNumber	17		1	om	om
4	2	NV	adviser		ADVISER_TYPE	10	m	m
5	1	String	adviserName	150		1	m	m
5	2	String	adviserFileNumber	17		1	m	m
4	3	NV	subAdviser		ADVISER_TYPE	10	o	o
5	1	String	adviserName	150		1	o	o
5	2	String	adviserFileNumber	17		1	m#1	m#1
4	4	NV	indpPubAccountant			1	m	m
5	1	String	name	150		1	m	m
5	2	String	city	30		1	m	m
5	3	String	stateCountry	2	STATE/COUNTRY CODES	1	m	m
4	5	NV	administrator			10	o	o
5	1	String	administratorName	150		1	o	o
4	6	NV	transferAgent			10	mm#	mm#
5	1	String	name	150		1	m#	m#
5	2	String	cik	10		1	m#	m#
5	3	String	fileNumber	17		1	m#	m#
4	7	String	feederFundFlag		"yes" or "no" "Y" or "N"	1	m	m
4	8	NV	masterFeederFund		FEEDER_FUND_INFO_TYPE	1	m#1	m#1
5	1	String	cik	10		1	m#1	m#1
5	2	String	name	150		1	m#1	m#1
5	3	String	fileNumber	17		1	o	o
5	4	String	seriesId	10		1	m#1	m#1
4	9	String	masterFundFlag			1	m	m
4	10	NV	feederFund		FEEDER_FUND_INFO_TYPE	20	m#	m#
5	1	String	cik	10		1	m#	m#
5	2	String	name	150		1	m#	m#
5	3	String	fileNumber	17		1	o	o
5	4	String	seriesId	10		1	m#	m#
4	11	String	seriesFundInsuCmpnySepSuprt AcctFlag		"yes" or "no" "Y" or "N"	1	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	N-MFP1	N-MFP1/A
4	12	String	moneyMarketFundCategory		MARKET_FUND_CATEGORY_TYPE	1	m	m
4	13	String	fundExemptRetailFlag		"yes" or "no" or "Y" or "N"	1	m	m
4	14	Integer	averagePortfolioMaturity	2		1	m	m
4	15	Integer	averageLifeMaturity	3		1	m	m
4	16	NV	totalValueDailyLiquidAssets		TOTAL_VALUE_OF_LIQUID_ASSET	1	m	m
5	1	Decimal	fridayWeek1	14		1	m	m
5	2	Decimal	fridayWeek2	14		1	m	m
5	3	Decimal	fridayWeek3	14		1	m	m
5	4	Decimal	fridayWeek4	14		1	m	m
5	5	Decimal	fridayWeek5	14		1	o	o
4	17	NVString	totalValueWeeklyLiquidAssets		TOTAL_VALUE_OF_LIQUID_ASSET	1	m	m
5	1	Decimal	fridayWeek1	14		1	m	m
5	2	Decimal	fridayWeek2	14		1	m	m
5	3	Decimal	fridayWeek3	14		1	m	m
5	4	Decimal	fridayWeek4	14		1	m	m
5	5	Decimal	fridayWeek5	14		1	o	o
4	18	NVString	percentageDailyLiquidAssets		PERCENTAGE_OF_TOTAL_ASSET_INVESTED	1	m	m
5	1	Decimal	fridayWeek1	5		1	m	m
5	2	Decimal	fridayWeek2	5		1	m	m
5	3	Decimal	fridayWeek3	5		1	m	m
5	4	Decimal	fridayWeek4	5		1	m	m
5	5	Decimal	fridayWeek5	5		1	o	o
4	19	NV	percentageWeeklyLiquidAssets		PERCENTAGE_OF_TOTAL_ASSET_INVESTED	1	m	m
5	1	Decimal	fridayWeek1	5		1	m	m
5	2	Decimal	fridayWeek2	5		1	m	m
5	3	Decimal	fridayWeek3	5		1	m	m
5	4	Decimal	fridayWeek4	5		1	m	m
5	5	Decimal	fridayWeek5	5		1	o	o
4	20	Decimal	cash	14		1	m	m
4	21	Decimal	totalValuePortfolioSecurities	14		1	m	m
4	22	Decimal	amortizedCostPortfolioSecurities	14		1	m	m
4	23	Decimal	totalValueOtherAssets	14		1	m	m
4	24	Decimal	totalValueLiabilities	14		1	m	m
4	25	NV Decimal	netAssetOfSeries	14		1	m	m
4	26	Decimal	numberOfSharesOutstanding	14		1	m	m
4	27	Decimal	stablePricePerShare	8		1	o,m	o,m
4	28	Decimal	sevenDayGrossYield	5		1	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	N-MFP1	N-MFP1/A
4	298	NVString	netAssetValue		NET_ASSET_VALUE	1	m	m
5	1	Decimal	fridayWeek1	8		1	m	m
5	2	Decimal	fridayWeek2	8		1	m	m
5	3	Decimal	fridayWeek3	8		1	m	m
5	4	Decimal	fridayWeek4	8		1	m	m
5	5	Decimal	fridayWeek5	8		1	o	o
3	3	NV	classLevelInfo			50	m	m
4	1	String	classesId	10		1	m	m
4	2	Decimal	minInitialInvestment	14		1	m	m
4	3	Decimal	netAssetsOfClass	14		1	m	m
4	4	Decimal	numberOfSharesOutstanding	14		1	m	m
4	5	NVString	netAssetPerShare			1	m	m
5	1	Decimal	fridayWeek1	8		1	m	m
5	2	Decimal	fridayWeek2	8		1	m	m
5	3	Decimal	fridayWeek3	8		1	m	m
5	4	Decimal	fridayWeek4	8		1	m	m
5	5	Decimal	fridayWeek5	8		1	o	o
4	6	NV	fridayWeek1		NET_SHAREHOLDER_FLOW_TYPE	1	m	m
5	1	Decimal	weeklyGrossSubscriptions	14		1	m	m
5	2	Decimal	weeklyGrossRedemptions	14		1	m	m
4	7	NV	fridayWeek2		NET_SHAREHOLDER_FLOW_TYPE	1	m	m
5	1	Decimal	weeklyGrossSubscriptions	14		1	m	m
5	2	Decimal	weeklyGrossRedemptions	14		1	m	m
4	8	NV	fridayWeek3		NET_SHAREHOLDER_FLOW_TYPE	1	m	m
5	1	Decimal	weeklyGrossSubscriptions	14		1	m	m
5	2	Decimal	weeklyGrossRedemptions	14		1	m	m
4	9	NV	fridayWeek4		NET_SHAREHOLDER_FLOW_TYPE	1	m	m
5	1	Decimal	weeklyGrossSubscriptions	14		1	m	m
5	2	Decimal	weeklyGrossRedemptions	14		1	m	m
4	10	NV	fridayWeek5		NET_SHAREHOLDER_FLOW_TYPE	1	o	o
5	1	Decimal	weeklyGrossSubscriptions	14		1	o	o
5	2	Decimal	weeklyGrossRedemptions	14		1	o	o
4	11	NV	totalForTheMonthReported		NET_SHAREHOLDER_FLOW_TYPE	1	m	m
5	1	Decimal	weeklyGrossSubscriptions	14		1	m	m
5	2	Decimal	weeklyGrossRedemptions	14		1	m	m
4	12	Decimal	sevenDayNetYield	5		1	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	N-MFP1	N-MFP1/A
4	13	String	personPayForFundFlag		"yes" or "no" or "Y" or "N"	1	m	m
4	14	String	nameOfPersonDescExpensePay	250		1	m#1	m#1
3	4	NV	scheduleOfPortfolioSecuritiesInfo			9999	m	m
4	1	String	nameOfIssuer	150		1	m	m
4	2	String	titleOfIssuer	200		1	m	m
4	3	String	CUSIPMember	9		1	o	o
4	4	String	LEIID	20		1	o	o
4	5	String	ISINId	12		1	o	o
4	6	String	cik	10		1	o	o
4	7	String	otherUniqueld	20		1	o	o
4	8	String	investmentCategory		INVESTMENT_CATEGORY_TYPE	1	m	m
4	9	String	briefDescription	250		1	m#1	m#1
4	10	String	fundAcqstnUndrlyngSecurityFlag		"yes" or "no" or "Y" or "N"	1	m#1	m#1
4	11	NV	repurchaseAgreements			1	m#1	m#1
5	1	String	repurchaseAgreementOpenFlag		"yes" or "no" or "Y" or "N"	1	m#1	m#1
5	2	NV	collateralIssuers			unbounded	m#1	m#1
65	12	String	nameOfCollateralIssuer	150		1	m#1	m#1
65	23	String	LEIID	20		1	o	o
65	34	NV	maturityDate			1	m#1	m#1
76	1	Date String	date	10		1	m#1	m#1
7	1	NV	dateRange			1	m#1	m#1
8	1	String	from	10		1	m#1	m#1
8	2	String	to	10		1	m#1	m#1
65	45	String	couponOrYield	25		1	m#1	m#1
65	56	Decimal	principalAmountToTheNearestCent	14		1	m#	m#
65	67	Decimal	valueOfCollateralToTheNearestCent	14		1	m#	m#
65	78	String	ctgryInvestmentsRprsntsCollateral		COLLATERAL_INVESTMENT_CATEGORY_TYPE	1	m#	m#
65	89	String	otherInstrumentBriefDesc	250		1	m#	m#
4	12	String NV	securityRated		SECURITY_RATED_TYPE	1	om	om
4	13	NV	designatedNrsro			6	m	m
5	1	String	nameOfDesignatedNRSRO	150		1	m	m
5	2	String	creditRatingDesignatedNRSRO	20		1	m#1	m#1
4	14	Date				1	m	m



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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	N-MFP1	N-MFP1/A
			InvestmentMaturityDateWAM					
4	15	Date	InvestmentMaturityDateWAL			1	m	m
4	16	Date	finalLegalInvestmentMaturityDate			1	m	m
4	17	String	securityDemandFeatureFlag		"yes" or "no" "Y" or "N"	1	m	m
4	18	NV	demandFeature			6	m#1	m#1
5	1	String	identityOfDemandFeatureIssuer	150		1	m#1	m#1
5	2	NV	designatedNRSRODemandFeature		DESIGNATED_NRSRO_TYPE	6	o	o
6	1	String	nameOfDesignatedNRSRO	150		1	o	o
6	2	String	creditRatingDesignatedNRSRO	20		1	m#1	m#1
5	3	Decimal	amountProvidedByDemandFeatureIssuer	5		1	m#1	m#1
5	4	Integer	remainingPeriodDemandFeature	3		1	m#1	m#1
5	5	String	demandFeatureConditionalFlag		"yes" or "no" "Y" or "N"	1	m#1	m#
4	19	String	securityGuaranteeFlag		"yes" or "no" "Y" or "N"	1	m	m
4	20	NV	guarantor			6	m#1	m#1
5	1	String	identityOfTheGuarantor	150		1	m#1	m#1
5	2	NV	designatedNRSROGuarantor	150	DESIGNATED_NRSRO_TYPE	6	o	o
6	1	String	nameOfDesignatedNRSRO	150		1	o	o
6	2	String	creditRatingDesignatedNRSRO	20		1	m#1	m#1
5	3	String Decimal	amountProvidedByGuarantor	20 5		1	m#1	m#1
4	21	String	securityEnhancementsFlag		"yes" or "no" "Y" or "N"	1	m	m
4	22	NV	enhancementProvider			6	m#1	m#1
5	1	String	identityOfTheEnhancementProvider	150		1	m#1	m#1
5	2	String	typeOfEnhancement	150		1	m#1	m#1
5	3	NV	designatedNRSROEnhancement		DESIGNATED_NRSRO_TYPE	6	o	o
6	1	String	nameOfDesignatedNRSRO	150		1	o	o
6	2	String	creditRatingDesignatedNRSRO	20		1	m#1	m#1
5	4	Decimal	amountProvidedByEnhancement	5		1	m#1	m#1
4	23	Decimal	yieldOfTheSecurityAsOfReportingDate	5		1	m	m
4	24	Decimal	totalValueOfFundPosition includingValueOfAnySponsorSupport	14		1	m	m
4	25	Decimal		14		1	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	N-MFP1	N-MFP1/A
4	26	Decimal	excludingValueOfAnySponsorSupport	14		1	m	m
4	27	Decimal	percentageOfMoneyMarketFundNetAssets	5		1	m	m
4	28	String	securityCategorizedAtLevel3Flag		"yes" or "no" "Y" or "N"	1	m	m
4	29	String	dailyLiquidAssetSecurityFlag		"yes" or "no" "Y" or "N"	1	m	m
4	30	String	weeklyLiquidAssetSecurityFlag		"yes" or "no" "Y" or "N"	1	m	m
4	31	String	illiquidSecurityFlag		"yes" or "no" "Y" or "N"	1	m	m
4	32	String	explanatoryNotes	250		1	o	o
3	5	NV	signature			1	m	m
4	1	String	registrant	150		1	m	m
4	2	Date	date			1	m	m
4	3	String	Signature	150		1	m	m
4	4	String	nameOfSigningOfficer	150		1	m	m
4	5	String	titleOfSigningOfficer	150		1	m	m

## 4 N-MFP1 SCHEMA DATA VALUE CONSTRAINTS

### 4.1 SUBMISSION\_TYPE

These are the valid values for the <SUBMISSION\_TYPE> element in the submission file:

VALUE	CODE DESCRIPTION
N-MFP1	Monthly Schedule of Portfolio Holdings of Money Market Funds.
N-MFP1/A	Amendment of a previous N-MFP1 filing.

### 4.2 LIVE\_TEST\_TYPE

These are the valid values for the <LIVE\_TEST\_TYPE> element in the submission file:

VALUE
LIVE
TEST

### 4.3 MARKET\_FUND\_CATEGORY\_TYPE

These are the valid values for the < MARKET\_FUND\_CATEGORY\_TYPE > element in the submission file:

VALUE
Treasury
Government/Agency
Exempt Government
Prime
Single State
Other Tax Exempt

### 4.4 INVESTMENT\_CATEGORY\_TYPE

These are the valid values for the < INVESTMENT\_CATEGORY\_TYPE > element in the submission file:

VALUE
U.S. Treasury Debt
U.S. Government Agency Debt
Non-U.S. Sovereign, Sub-Sovereign and Supra-National debt

VALUE
Certificate of Deposit
Non-Negotiable Time Deposit
Variable Rate Demand Note
Other Municipal Security
Asset Backed Commercial Paper
Other Asset Backed Securities
U.S. Treasury Repurchase Agreement, if collateralized only by U.S. Treasuries (including Strips) and cash
U.S. Government Agency Repurchase Agreement, collateralized only by U.S. Government Agency securities, U.S. Treasuries, and cash
Other Repurchase Agreement, if any collateral falls outside Treasury, Government Agency and cash
Insurance Company Funding Agreement
Investment Company
Financial Company Commercial Paper
Non-Financial Company Commercial Paper
Tender Option Bond
Other Instrument

#### 4.5 COLLATERAL\_INVESTMENT\_CATEGORY\_TYPE

These are the valid values for the <COLLATERAL\_INVESTMENT\_CATEGORY\_TYPE> element in the submission file:

VALUE
Asset-Backed Securities
Agency Collateralized Mortgage Obligation

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VALUE
Agency Debentures and Agency Strips
Agency Mortgage-Backed Securities
Private Label Collateralized Mortgage Obligations
Corporate Debt Securities- <del>Equities</del>
<del>Equities</del>
Money Market
U.S. Treasuries (including strips)
Other Instrument

### 4.6 SECURITY\_RATED\_TYPE

These are the valid values for the < SECURITY\_RATED\_TYPE> element in the submission file:

VALUE
First Tier Security
Rated Second Tier Security
Unrated Security
No Longer an Eligible Security

## 5 BASIC SUBMISSION CONSTRUCTION

### 5.1 General Formatting of XML Files

The following rules apply to the submission file of an XML-format N-MFP1 submission:

1. The filename must end with an “.xml” extension.
2. The file cannot be compressed in any fashion.
3. We strongly recommend you format with indentation the submission as shown in the provided sample files. This makes the raw XML files easier to view in a text editor. The submission of ASCII XML files with no line breaks, while legal XML is strongly discouraged. XML filings are required to be posted on public websites. While usually formatted via style sheets, the raw XML is frequently available for inspection and should be readable by a person. A single line XML file is not viewer-friendly and should be avoided.
4. The `<?xml version="1.0"?>` declaration line is optional; however, if it is included it must be the first line in the file. Any text entered before this line, even white space, will cause a SUSPENSE error. The version value must be “1.0.” Any other value for version will cause a SUSPENSE error.
5. For an XML element with a data value, keep the begin tag, data value, and end tag on the same line of text. Otherwise, you could get a schema violation error. As an example, for a filer ID value which cannot be longer than 10 characters, this specification is correct:

```
<cik>1212121212</cik>
```

6. The specification below will result in a parsing error because the extraneous white space and line feeds will be counted as part of the length of the data value. In other words, the CIK value will be regarded as longer than 10 characters.

```
<cik>
1212121212
</cik>
```

### 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.

## 6 ERROR REPORTING

EDGAR will generate an error for each violation of an XML schema constraint, as well as for each violation of a N-MFP1 filing business rule. The schema files do not enforce all error checks, so it is possible to construct a submission that meets all the schema constraints yet is still SUSPENDED.

This table summarizes the errors that can result from violations of schema constraints and EDGAR business rules. This is not an all-inclusive list.

**Table 6-1: Submission Errors and Severity**

Error Condition	Severity
Elements not in sequence prescribed in Section 3.4	SUSPENDED
Inclusion of XML-styleSheet reference or any other Processing Instruction	SUSPENDED
Inclusion of an element not prescribed in the schema	SUSPENDED
String value exceeds maximum length constraint	SUSPENDED
Element constrained by a Choice List has an invalid value	SUSPENDED
Mandatory element has no value or an invalid value	SUSPENDED
Special character (&, <, >) not provided as escape sequence	SUSPENDED
Date, Boolean, or Decimal element does not have a value	SUSPENDED
Duplicate Notification Address	WARNING
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 N-MFP1 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 N-MFP1 SUBMISSION FILES

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

**Table 7-1: Sample Submission/Document Files**

Submission/Document Type	Sample File
N-MFP1	Sample N-MFP1.xml
N-MFP1/A	Sample N-MFP1/A.xml



## Appendix A. STATE/COUNTRY CODES

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

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

Code	State/Country Name
RI	RHODE ISLAND
SC	SOUTH CAROLINA
SD	SOUTH DAKOTA
TN	TENNESSEE
TX	TEXAS
UT	UTAH
VT	VERMONT
VA	VIRGINIA
WA	WASHINGTON
WV	WEST VIRGINIA
WI	WISCONSIN
WY	WYOMING
PR	PUERTO RICO
VI	VIRGIN ISLANDS, U.S.
A0	ALBERTA, CANADA
A1	BRITISH COLUMBIA, CANADA
Z4	CANADA (FEDERAL LEVEL)
A2	MANITOBA, CANADA
A3	NEW BRUNSWICK, CANADA
A4	NEWFOUNDLAND, CANADA
A5	NOVA SCOTIA, CANADA
A6	ONTARIO, CANADA
A7	PRINCE EDWARD ISLAND, CANADA
A8	QUEBEC, CANADA
A9	SASKATCHEWAN, CANADA
B0	YUKON, CANADA
B2	AFGHANISTAN
Y6	ALAND ISLANDS
B3	ALBANIA
B4	ALGERIA
B5	AMERICAN SAMOA
B6	ANDORRA
B7	ANGOLA
1A	ANGUILLA
B8	ANTARCTICA
B9	ANTIGUA AND BARBUDA
C1	ARGENTINA
1B	ARMENIA
1C	ARUBA
C3	AUSTRALIA
C4	AUSTRIA
1D	AZERBAIJAN
C5	BAHAMAS
C6	BAHRAIN

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Code	State/Country Name
C7	BANGLADESH
C8	BARBADOS
1F	BELARUS
C9	BELGIUM
D1	BELIZE
G6	BENIN
D0	BERMUDA
D2	BHUTAN
D3	BOLIVIA
1E	BOSNIA AND HERZEGOVINA
B1	BOTSWANA
D4	BOUVET ISLAND
D5	BRAZIL
D6	BRITISH INDIAN OCEAN TERRITORY
D9	BRUNEI DARUSSALAM
E0	BULGARIA
X2	BURKINA FASO
E2	BURUNDI
E3	CAMBODIA
E4	CAMEROON
E8	CAPE VERDE
E9	CAYMAN ISLANDS
F0	CENTRAL AFRICAN REPUBLIC
F2	CHAD
F3	CHILE
F4	CHINA
F6	CHRISTMAS ISLAND
F7	COCOS (KEELING) ISLANDS
F8	COLOMBIA
F9	COMOROS
G0	CONGO
Y3	CONGO, THE DEMOCRATIC REPUBLIC OF THE
G1	COOK ISLANDS
G2	COSTA RICA
L7	COTE D'IVOIRE
1M	CROATIA
G3	CUBA
G4	CYPRUS
2N	CZECH REPUBLIC
G7	DENMARK
1G	DJIBOUTI
G9	DOMINICA
G8	DOMINICAN REPUBLIC
H1	ECUADOR

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Code	State/Country Name
H2	EGYPT
H3	EL SALVADOR
H4	EQUATORIAL GUINEA
1J	ERITREA
1H	ESTONIA
H5	ETHIOPIA
H7	FALKLAND ISLANDS (MALVINAS)
H6	FAROE ISLANDS
H8	FIJI
H9	FINLAND
I0	FRANCE
I3	FRENCH GUIANA
I4	FRENCH POLYNESIA
2C	FRENCH SOUTHERN TERRITORIES
I5	GABON
I6	GAMBIA
2Q	GEORGIA
2M	GERMANY
J0	GHANA
J1	GIBRALTAR
J3	GREECE
J4	GREENLAND
J5	GRENADA
J6	GUADELOUPE
J8	GUATEMALA
Y7	GUERNSEY
J9	GUINEA
S0	GUINEA-BISSAU
K0	GUYANA
K1	HAITI
K4	HEARD ISLAND AND MCDONALD ISLANDS
X4	HOLY SEE (VATICAN CITY STATE)
K2	HONDURAS
K3	HONG KONG
K5	HUNGARY
K6	ICELAND
K7	INDIA
K8	INDONESIA
K9	IRAN, ISLAMIC REPUBLIC OF
L0	IRAQ
L2	IRELAND
Y8	ISLE OF MAN
L3	ISRAEL
L6	ITALY

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Code	State/Country Name
L8	JAMAICA
M0	JAPAN
Y9	JERSEY
M2	JORDAN
1P	KAZAKSTAN
M3	KENYA
J2	KIRIBATI
M4	KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF
M5	KOREA, REPUBLIC OF
M6	KUWAIT
1N	KYRGYZSTAN
M7	LAO PEOPLE'S DEMOCRATIC REPUBLIC
1R	LATVIA
M8	LEBANON
M9	LESOTHO
N0	LIBERIA
N1	LIBYAN ARAB JAMAHIRIYA
N2	LIECHTENSTEIN
1Q	LITHUANIA
N4	LUXEMBOURG
N5	MACAU
1U	MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF
N6	MADAGASCAR
N7	MALAWI
N8	MALAYSIA
N9	MALDIVES
O0	MALI
O1	MALTA
1T	MARSHALL ISLANDS
O2	MARTINIQUE
O3	MAURITANIA
O4	MAURITIUS
2P	MAYOTTE
O5	MEXICO
1K	MICRONESIA, FEDERATED STATES OF
1S	MOLDOVA, REPUBLIC OF
O9	MONACO
P0	MONGOLIA
Z5	MONTENEGRO
P1	MONTSERRAT
P2	MOROCCO
P3	MOZAMBIQUE
E1	MYANMAR
T6	NAMIBIA

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Code	State/Country Name
P5	NAURU
P6	NEPAL
P7	NETHERLANDS
P8	NETHERLANDS ANTILLES
1W	NEW CALEDONIA
Q2	NEW ZEALAND
Q3	NICARAGUA
Q4	NIGER
Q5	NIGERIA
Q6	NIUE
Q7	NORFOLK ISLAND
1V	NORTHERN MARIANA ISLANDS
Q8	NORWAY
P4	OMAN
R0	PAKISTAN
1Y	PALAU
1X	PALESTINIAN TERRITORY, OCCUPIED
R1	PANAMA
R2	PAPUA NEW GUINEA
R4	PARAGUAY
R5	PERU
R6	PHILIPPINES
R8	PITCAIRN
R9	POLAND
S1	PORTUGAL
S3	QATAR
S4	REUNION
S5	ROMANIA
1Z	RUSSIAN FEDERATION
S6	RWANDA
Z0	SAINT BARTHELEMY
U8	SAINT HELENA
U7	SAINT KITTS AND NEVIS
U9	SAINT LUCIA
Z1	SAINT MARTIN
V0	SAINT PIERRE AND MIQUELON
V1	SAINT VINCENT AND THE GRENADINES
Y0	SAMOA
S8	SAN MARINO
S9	SAO TOME AND PRINCIPE
T0	SAUDI ARABIA
T1	SENEGAL
Z2	SERBIA
T2	SEYCHELLES

Code	State/Country Name
T8	SIERRA LEONE
U0	SINGAPORE
2B	SLOVAKIA
2A	SLOVENIA
D7	SOLOMON ISLANDS
U1	SOMALIA
T3	SOUTH AFRICA
1L	SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS
U3	SPAIN
F1	SRI LANKA
V2	SUDAN
V3	SURINAME
L9	SVALBARD AND JAN MAYEN
V6	SWAZILAND
V7	SWEDEN
V8	SWITZERLAND
V9	SYRIAN ARAB REPUBLIC
F5	TAIWAN, PROVINCE OF CHINA
2D	TAJIKISTAN
W0	TANZANIA, UNITED REPUBLIC OF
W1	THAILAND
Z3	TIMOR-LESTE
W2	TOGO
W3	TOKELAU
W4	TONGA
W5	TRINIDAD AND TOBAGO
W6	TUNISIA
W8	TURKEY
2E	TURKMENISTAN
W7	TURKS AND CAICOS ISLANDS
2G	TUVALU
W9	UGANDA
2H	UKRAINE
C0	UNITED ARAB EMIRATES
X0	UNITED KINGDOM
2J	UNITED STATES MINOR OUTLYING ISLANDS
X3	URUGUAY
2K	UZBEKISTAN
2L	VANUATU
X5	VENEZUELA
Q1	VIET NAM
D8	VIRGIN ISLANDS, BRITISH
X8	WALLIS AND FUTUNA
U5	WESTERN SAHARA

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Code	State/Country Name
T7	YEMEN
Y4	ZAMBIA
Y5	ZIMBABWE



## Appendix B. ACRONYMS

Acronym	Description
ASCII	American Standard Code for Information Interchange
CCC	CIK Confirmation Code
CIK	Central Index Key
EDGAR	Electronic Data Gathering, Analysis, and Retrieval
PDF	Portable Document Format
SEC	Securities and Exchange Commission
XML	Extensible Markup Language
XBRL	eXtensible Business Reporting Language