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EDGAR® CF Portal XML Technical Specification

January 2016

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1 INTRODUCTION

1.1 Purpose

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

Table 1-1: CF Portal Submission Types

SUBMISSION TYPE	DESCRIPTION
CFPORTAL	Initial application of funding portal
CFPORTAL/A	Amendment to registration, including a successor registration
CFPORTAL-W	Withdrawal of the funding portal's registration

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

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

The CF Portal 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).

2 EDGAR SCHEMA FILES

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

Table 2-1: CF Portal Schema Files

XML Schema File	Scope of File
eis_Crowd_Funding_Filer.xsd	Defines the elements for a Crowdfunding Portal submission
eis_Crowd_Funding_DRP.xsd	Defines the elements for Crowdfunding Disclosure Reporting Page
eis_Common.xsd	Defines the common elements for all EDGAR CF Portal submissions
eis_Common_DRP.xsd	Defines the common elements for Crowdfunding Disclosure Reporting Page
eis_stateCodes.xsd	Defines the state code elements

The schema files define the valid data elements for a CF Portal 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 CF Portal 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.

3 XML SCHEMAS

This section summarizes the restrictions and constraints imposed on the content of the CF Portal 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 MM-DD-YYYY. A date element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. Do not include a date element at all if your goal is to not provide an optional date.
integer	Only valid characters are 0-9. Cannot contain commas, a minus sign, a dollar sign, or parentheses. An integer element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.

Data Type	Constraints										
Decimal	Only valid characters are 0-9 and a period. Cannot contain commas, dollar sign, or parentheses. EDGAR stores two and four decimal places depending on the actual type. A decimal element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. Do not include a decimal element at all if your goal is to not provide an optional number.										
String	<p>Should be no longer than the length shown in the tables in Section 3.4.</p> <p>EDGAR stores values in the <signatureName>, and <contactEmailAddress> 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 data-bbox="584 604 1039 835"> <tr> <th>Character</th><th>Escape Sequence</th></tr> <tr> <td><</td><td>&lt; or &#60;</td></tr> <tr> <td>></td><td>&gt; or &#62;</td></tr> <tr> <td>&</td><td>&amp; or &#38;</td></tr> <tr> <td>"</td><td>&quot; or &#34;</td></tr> </table>	Character	Escape Sequence	<	< or <	>	> or >	&	& or &	"	" or "
Character	Escape Sequence										
<	< or <										
>	> or >										
&	& or &										
"	" or "										
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 the 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 CF Portal Submission Schemas to Submission Types

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
1	1	NV	edgarSubmission			1	m	m	m
2	1	String	schemaVersion	5		1	o	o	o
2	2	NV	headerData			1	m	m	m
3	1	String	submissionType		SUBMISSION_TYPE	1	m	m	m
3	2	NV	filerInfo			1	m	m	m
4	1	NV	filer			1	m	m	m
5	1	NV	filerCredentials			1	m	m	m
6	1	String	filerCik	10		1	m	m	m
6	2	String	filerCcc	8		1	m	m	m
5	2	String	fileNumber	17		1	m#	m#	m#
4	2	String	liveTestFlag		"LIVE" or "TEST"	1	o	o	o
4	3	NV	flags			1	o	o	o
5	1	Boolean	confirmingCopyFlag		"true" or "false"	1	o	o	o
5	2	Boolean	returnCopyFlag		"true" or "false"	1	o	o	o
5	3	Boolean	overrideInternetFlag		"true" or "false"	1	o	o	o
4	4	NV	contact			1	m	m	m
5	1	String	contactName	30		1	m	m	m
5	2	String	contactPhone	20		1	m	m	m
5	3	String	contactEmail	80		1	m	m	m
4	5	NV	notifications			1	o	o	o
5	1	String	notificationEmail	80		3	o	o	o
2	3	NV	formData			1	m	m	m
3	1	NV	identifyingInformation			1	m	m	m
4	1	String	amendmentExplanation	1K		1	NA	m	NA
4	2	String	nameOfPortal	150		1	m	m	m
4	3	NV	otherNamesAndWebsiteUrls			30	o	o	o
5	1	String	otherNamesUsedPortal	150		1	o	o	o
5	2	String	webSiteOfPortal	256		1	o	o	o
4	4	NV	irsIdOrSsn			1	m#	m#	m#
5	1	String	irsNum	10		1	m#	m#	m#
5	2	String	ssn	11		1	m#	m#	m#
4	5	String	legalNameChange		LEGAL_NAME_CHANGE_TYPE	2	o	o	o
4	6	NV	prevNamesAndWebsiteUrls			10	m#	m#	m#
5	1	String	prevNamesOfPortal	150		1	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	FPORTAL/A	CFPORTAL-W
5	2	String	prevWebSiteUrls	256		1	m#	m#	m#
4	7	NV	portalAddress			1	m	m	m
5	1	String	street1	40		1	m	m	m
5	2	String	street2	40		1	o	o	o
5	3	String	city	30		1	m	m	m
5	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m	m	m
5	5	String	zipCode	10		1	m	m	m
4	8	Boolean	mailingAddressDifferent		"true" or "false"	1	o	o	o
4	9	NV	portalMailingAddress			1	m#	m#	m#
5	1	String	street1	40		1	m#	m#	m#
5	2	String	street2	40		1	o	o	o
5	3	String	city	30		1	m#	m#	m#
5	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#	m#	m#
5	5	String	zipCode	10		1	m#	m#	m#
4	10	NV	otherOfficeLocationAddress			1	o	o	o
5	1	String	street1	40		1	o	o	o
5	2	String	street2	40		1	o	o	o
5	3	String	city	30		1	o	o	o
5	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	o	o	o
5	5	String	zipCode	10		1	o	o	o
4	11	NV	portalContact			1	m	m	m
5	1	String	portalContactPhone	20		1	m	m	m
5	2	String	portalContactFax	20		1	o	o	o
5	3	String	portalContactEmail	80		1	m	m	m
4	12	NV	contactEmployeeName			1	m	m	m
5	1	String	prefix	30		1	m	m	m
5	2	String	firstName	40		1	m	m	m
5	3	String	middleName	30		1	m	m	m
5	4	String	lastName	30		1	m	m	m
5	5	String	suffix	30		1	m	m	m
4	13	String	contactEmployeeTitle	256		1	m	m	m
4	14	NV	employeeContact			1	m	m	m
5	1	String	portalContactPhone	20		1	m	m	m
5	2	String	portalContactFax	20		1	o	o	o
5	3	String	portalContactEmail	80		1	m	m	m
4	15	String	fiscalYearEnd		MONTH_TYPE	1	m#	m#	m#
4	16	String	anyPreviousRegistrations		"Y" or "N"	1	m	m	m
4	17	String	secFileNumber	17		50	m#1	m#1	m#1

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
4	18	String	anyForeignRegistrations		"Y" or "N"	1	m	m	m
4	19	NV	foreignRegistrations			50	m#1	m#1	m#1
5	1	String	foreignFinancialRegulatory	150		1	m#1	m#1	m#1
5	2	String	registrationNumber	256		1	m#1	m#1	m#1
5	3	String	country		NON_US_COUNTRY_CODES defined in eis_Common.xsd	1	m#1	m#1	m#1
3	2	NV	formOfOrganization			1	m	m	m
4	1	String	legalStatusForm		LEGAL_STATUS_FORM_TYPE	1	m	m	m
4	2	String	legalStatusOtherDesc	256		1	m#1	m#1	m#1
4	3	String	jurisdictionOrganization		STATE_COUNTRY_CODE	1	m#1	m#1	m#1
4	4	Date	dateIncorporation			1	m#1	m#1	m#1
3	3	NV	successions			1	m	m	m
4	1	String	isSucceedingBusiness		"Y" or "N"	1	m	m	m
4	2	NV	acquiredHistoryDetails			5	m#1	m#1	m#1
5	1	String	acquiredFundingPortal	150		1	m#	m#	m#
5	2	String	acquiredPortalFileNumber	17		1	m#	m#	m#
5	3	String	acquiredDesc	4000		1	m#	m#	m#
3	4	NV	controlRelationships			1	m	m	m
4	1	NV	fullLegalNames			50	m	m	m
5	1	String	fullLegalName	150		1	m	m	m
3	5	NV	disclosureAnswers			1	m	m	m
4	1	NV	criminalDisclosure			1	m	m	m
5	1	String	isConvictedOfFelony		"Y" or "N"	1	m	m	m
5	2	String	isChargedWithFelony		"Y" or "N"	1	m	m	m
5	3	String	isConvictedMisdemeanor		"Y" or "N"	1	m	m	m
5	4	String	isChargedMisdemeanor		"Y" or "N"	1	m	m	m
4	2	NV	regulatoryActionDisclosure			1	m	m	m
5	1	String	isMadeFalseStatement		"Y" or "N"	1	m	m	m
5	2	String	isViolatedRegulation		"Y" or "N"	1	m	m	m
5	3	String	isCauseOfDenial		"Y" or "N"	1	m	m	m
5	4	String	isOrderAgainst		"Y" or "N"	1	m	m	m
5	5	String	isImposedPenalty		"Y" or "N"	1	m	m	m
5	6	String	isUnEthical		"Y" or "N"	1	m	m	m
5	7	String	isFoundInViolationOfRegulation		"Y" or "N"	1	m	m	m
5	8	String	isFoundInCauseOfDenial		"Y" or "N"	1	m	m	m
5	9	String	isOrderAgainstActivity		"Y" or "N"	1	m	m	m
5	10	String	isDeniedLicense		"Y" or "N"	1	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
5	11	String	isFoundMadeFalseStatement		"Y" or "N"	1	m	m	m
5	12	String	isFoundInViolationOfRules		"Y" or "N"	1	m	m	m
5	13	String	isFoundInCauseOfSuspension		"Y" or "N"	1	m	m	m
5	14	String	isDisciplined		"Y" or "N"	1	m	m	m
5	15	String	isAuthorizedToActAttorney		"Y" or "N"	1	m	m	m
5	16	String	isRegulatoryComplaint		"Y" or "N"	1	m	m	m
4	3	NV	civilJudicialActionDisclosure			1	m	m	m
5	1	String	isEnjoined		"Y" or "N"	1	m	m	m
5	2	String	isFoundInViolationOfRegulation		"Y" or "N"	1	m	m	m
5	3	String	isDismissed		"Y" or "N"	1	m	m	m
5	4	String	isNamedInCivilProceeding		"Y" or "N"	1	m	m	m
4	4	NV	financialDisclosure			1	m	m	m
5	1	String	hasSubjectOfBankruptcy		"Y" or "N"	1	m	m	m
5	2	String	hasTrusteeAppointed		"Y" or "N"	1	m	m	m
5	3	String	hasBondDenied		"Y" or "N"	1	m	m	m
5	4	String	doesAppHaveLiens		"Y" or "N"	1	m	m	m
3	6	NV	nonSecuritiesRelatedBusiness			1	m	m	m
4	1	String	isEngagedInNonSecurities		"Y" or "N"	1	m	m	m
4	2	String	nonSecuritiesBusinessDesc	256		1	m#1	m#1	m#1
3	7	NV	escrowArrangements			1	m	m	m
4	1	NV	investorFundsContacts			50	m	m	m
5	1	String	investorFundsContactName	150		1	m#	m#	m#
5	2	NV	investorFundsAddress			1	m#	m#	m#
6	1	String	street1	40		1	m#	m#	m#
6	2	String	street2	40		1	o	o	o
6	3	String	city	30		1	m#	m#	m#
6	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#	m#	m#
6	5	String	zipCode	10		1	m#	m#	m#
5	3	String	investorFundsContactPhone	20		1	m#	m#	m#
4	2	String	compensationDesc	10K		1	m	m	m
3	8	NV	execution			1	m	m	m
4	1	Date	executionDate			1	m	m	m
4	2	String	fullLegalNameFundingPortal	150		1	m	m	m
4	3	String	personSignature	255		1	m	m	m
4	4	String	personTitle	60		1	m	m	m
3	9	NV	scheduleA			1	m	m	m
4	1	NV	entityOrNaturalPerson			50	m	m	m
5	1	String	fullLegalName	150		1	m	m	m

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
5	2	String	entityType		ENTITY_TYPE	1	m#	m#	m#
5	3	String	titleStatus	256		1	m#	m#	m#
5	4	String	dateOfTitleStatusAquired		MM/YYYY	1	m#	m#	m#
5	5	String	ownershipCode		OWNERSHIP_CODE_TYPE	1	m#	m#	m#
5	6	String	controlPerson		"Y" or "N"	1	m#	m#	m#
5	7	String	pr		PR_TYPE	1	m#	m#	m#
5	8	String	crdNumber	9		1	m#	m#	m#
5	9	String	socialSecurityNumber	11		1	m#	m#	m#
5	10	Date	dateOfBirth			1	m#	m#	m#
5	11	String	irsTaxNumber	10		1	m#	m#	m#
5	12	String	irsTaxEmployerIdNumber	10		1	m#	m#	m#
3	10	NV	scheduleB			1	NA	m#	m#
4	1	NV	amendEntityOrNaturalPerson			50	NA	m#	m#
5	1	String	fullLegalName	150		1	NA	m#	m#
5	2	String	entityType		ENTITY_TYPE	1	NA	m#	m#
5	3	String	typeOfAmendment		AMENDMENT_TYPE	1	NA	m#	m#
5	4	String	titleStatus	256		1	NA	m#	m#
5	5	String	dateOfTitleStatusAquired		MM/YYYY	1	NA	m#	m#
5	6	String	ownershipCode		OWNERSHIP_CODE_TYPE	1	NA	m#	m#
5	7	String	controlPerson		"Y" or "N"	1	NA	m#	m#
5	8	String	pr		PR_TYPE	1	NA	m#	m#
5	9	String	crdNumber	9		1	NA	m#	m#
5	10	String	socialSecurityNumber	11		1	NA	m#	m#
5	11	Date	dateOfBirth			1	NA	m#	m#
5	12	String	irsTaxNumber	10		1	NA	m#	m#
5	13	String	irsTaxEmployerIdNumber	10		1	NA	m#	m#
3	11	NV	scheduleC			1	m#	m#	m#
4	1	String	agentName	150		1	m#	m#	m#
4	2	NV	agentAddress			1	m#	m#	m#
5	1	String	street1	40		1	m#	m#	m#
5	2	String	street2	40		1	o	o	o
5	3	String	city	30		1	m#	m#	m#
5	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#	m#	m#
5	5	String	zipCode	10		1	m#	m#	m#
4	3	String	personSignature	150		1	m#	m#	m#
4	4	String	printedName	150		1	m#	m#	m#
4	5	String	personTitle	150		1	m#	m#	m#
4	6	Date	signatureDate			1	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
3	12	NV	scheduledD			1	NA	NA	m
4	1	Date	dateBusinessCeasedWithdrawn			1	NA	NA	m
4	2	NV	bookKeepingDetails			5	NA	NA	m
5	1	String	bookKeepingEntityName	150		1	NA	NA	m
5	2	NV	bookKeepingEntityAddress			1	NA	NA	m
6	1	String	street1	40		1	NA	NA	m
6	2	String	street2	40		1	NA	NA	o
6	3	String	city	30		1	NA	NA	m
6	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	NA	NA	m
6	5	String	zipCode	10		1	NA	NA	m
5	3	String	bookKeepingEntityPhone	20		1	NA	NA	m
5	4	String	bookKeepingEntityFax	20		1	NA	NA	o
5	5	String	bookKeepingEntityType		BOOK_KEEPING_ENTITY_TYPE	1	NA	NA	m
5	6	String	isAddressPrivateResidence		"Y" or "N"	1	NA	NA	m
5	7	String	bookKeepingLocationDesc	256		1	NA	NA	m
4	3	String	isInvestigated		"Y" or "N"	1	NA	NA	m
4	4	String	investorInitiatedComplaint		"Y" or "N"	1	NA	NA	m
4	5	String	privateCivilLitigation		"Y" or "N"	1	NA	NA	m
3	13	NV	criminalDrpInfo			1	m#	m#	m#
4	1	NV	criminalDrp			50	m#	m#	m#
5	1	String	initialOrAmended		INITIAL_AMENDED_TYPE	1	m#	m#	m#
5	2	NV	respondingTo			1	m#	m#	m#
6	1	String	responseQuestion		CRIMINAL_RESPONDING_TO_TYPE	4	m#	m#	m#
5	3	String	drpFiledFor		DRP_FILE_FOR_TYPE	1	m#	m#	m#
5	4	NV	applicant			1	m#	m#	m#
6	1	String	drpRemoveReason		APPLICANT_DRP_REMOVAL_REASON_TYPE	1	NA	o	o
6	2	NV	criminalDrpDetails			1	o	o	o
7	1	String	organizationName	150		1	o	o	o
7	2	String	engagedInInvestmentRelatedBusiness		"Y" or "N"	1	o	o	o
7	3	String	descRelationshipWithApplicant	10K		1	o	o	o
7	4	String	courtType		CRIMINAL_EVENT_COURT_TYPE	1	m#	m#	m#
7	5	String	nameOfCourt	256		1	m#	m#	m#
7	6	NV	courtAddress			1	m#	m#	m#
8	1	String	street1	40		1	m#	m#	m#
8	2	String	street2	40		1	o	o	o

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
8	3	String	city	30		1	m#	m#	m#
8	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#	m#	m#
8	5	String	zipCode	10		1	m#	m#	m#
7	7	String	docketOrCaseNumber	256		1	o	o	o
7	8	NV	dateFirstCharged			1	o	o	o
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	9	NV	criminalCharge			50	m#	m#	m#
8	1	String	chargeDesc	10K		1	m#	m#	m#
8	2	String	numberOfCounts			1	m#	m#	m#
8	3	String	felonyOrMisdemeanor		FELONY_MISDEMEANOR_TYPE	1	m#	m#	m#
8	4	String	plea	10K		1	m#	m#	m#
8	5	String	investmentProductType	1K		1	m#	m#	m#
7	10	String	anyChargeFelony		"Y" or "N"	1	m#	m#	m#
7	11	String	eventCurrentStatus		EVENT_STATUS_TYPE	1	m#	m#	m#
7	12	NV	eventStatusDate			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
6	3	NV	dispositionDisclosure				o	o	o
7	1	String	dispositionTypes		CRIMINAL_DISPOSITION_OPTION_TYPE	13	m#	m#	m#
7	2	String	dispositionTypeOtherDesc	256		1	m#	m#	m#
7	3	String	appealTypes		APPEAL_TYPE	4	m#	m#	m#
7	4	String	appealTypeOtherDesc	256		1	m#	m#	m#
7	5	Date	dispositionDate			1	m#	m#	m#
7	6	String	sentencePenalty	1K		1	o	o	o
7	7	NV	duration			1	o	o	o
8	1	String	days			1	o	o	o
8	2	String	months			1	o	o	o
8	3	String	years			1	o	o	o
7	8	Date	startDatePenalty			1	o	o	o
7	9	Decimal	penaltyFineAmount	14,2 fixed		1	o	o	o
7	10	Date	datePaid			1	m#	m#	m#
6	4	String	summaryOfCircumstances	10K		1	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
5	5	NV	associatedPerson			50	m#	m#	m#
6	1	NV	associatedPersonDetails			1	m#	m#	m#
7	1	String	personType		ASSOCIATED_PERSON_TYPE	1	NA	o	o
7	2	String	personRegistered		ASSOCIATED_PERSON_REGISTERED_TYPE	1	NA	o	o
7	3	String	fullName	150		1	m#	m#	m#
7	4	String	crdNumber	9		1	o	o	o
6	2	NV	drpRemovalInfo			1	m#	m#	m#
7	1	String	drpRemoveReason		DRP_REMOVE_REASON_TYPE	1	NA	o	o
7	2	String	explanation	10K		1	NA	m#	m#
6	3	NV	criminalDrpDetails			1	o	o	o
7	1	String	organizationName	150		1	o	o	o
7	2	String	engagedInInvestmentRelatedBusiness		"Y" or "N"	1	o	o	o
7	3	String	descRelationshipWithApplicant	10K		1	o	o	o
7	4	String	courtType		CRIMINAL_EVENT_COURT_TYPE	1	m#	m#	m#
7	5	String	nameOfCourt	256		1	m#	m#	m#
7	6	String	courtAddress			1	m#	m#	m#
8	1	String	street1	40		1	m#	m#	m#
8	2	String	street2	40		1	o	o	o
8	3	String	city	30		1	m#	m#	m#
8	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#	m#	m#
8	5	String	zipCode	10		1	m#	m#	m#
7	7	String	docketOrCaseNumber	256		1	m#	m#	m#
7	8	NV	dateFirstCharged			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	9	NV	criminalCharge			50	m#	m#	m#
8	1	String	chargeDesc	10K		1	m#	m#	m#
8	2	String	numberOfCounts			1	m#	m#	m#
8	3	String	felonyOrMisdemeanor		FELONY_MISDEMEANOR_TYPE	1	m#	m#	m#
8	4	String	plea	10K		1	m#	m#	m#
8	5	String	investmentProductType	1K		1	m#	m#	m#
7	10	String	anyChargeFelony		"Y" or "N"	1	m#	m#	m#
7	11	String	eventCurrentStatus		EVENT_STATUS_TYPE	1	m#	m#	m#
7	12	NV	eventStatusDate			1	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
6	4	NV	dispositionDisclosure			1	m#	m#	m#
7	1	String	dispositionTypes		CRIMINAL DISPOSITION OPTION TYPE	13	m#	m#	m#
7	2	String	dispositionTypeOtherDesc	256		1	m#	m#	m#
7	3	String	appealTypes		APPEAL TYPE	4	m#	m#	m#
7	4	String	appealTypeOtherDesc	256		1	m#	m#	m#
7	5	Date	dispositionDate			1	m#	m#	m#
7	6	String	sentencePenalty	1K		1	o	o	o
7	7	NV	duration			1	o	o	o
8	1	String	days			1	o	o	o
8	2	String	months			1	o	o	o
8	3	String	years			1	o	o	o
7	8	Date	startDatePenalty			1	o	o	o
7	9	Decimal	penaltyFineAmount	14,2 fixed		1	o	o	o
7	10	Date	datePaid			1	m#	m#	m#
6	5	String	summaryOfCircumstances	10K		1	m#	m#	m#
3	14	NV	regulatoryDrpInfo			1	m#	m#	m#
4	1	NV	regulatoryDrp			50	m#	m#	m#
5	1	String	initialOrAmended		INITIAL AMENDED TYPE	1	m#	m#	m#
5	2	NV	respondingTo			1	m#	m#	m#
6	1	String	responseQuestion		REGULATORY RESPONDING TO TYPE	16	m#	m#	m#
5	3	String	drpFiledFor		PORTAL DRP FILE FOR TYPE	1	m#	m#	m#
5	4	NV	applicant			1	m#	m#	m#
6	1	String	drpRemovalReason		APPLICANT DRP REMOVAL REASON TYPE	1	NA	o	o
6	2	NV	regulatoryDrpDetails			1	m#	m#	m#
7	1	String	regulatoryActionInitiatedBy		REGULATOR INITIATED OPTION TYPE	1	o	o	o
7	2	String	regulatorName	1K		1	m#	m#	m#
7	3	String	principalSanction		PRINCIPAL SANCTION TYPE	1	m#	m#	m#
7	4	String	otherPrincipalSanctionDesc	1K		1	m#	m#	m#
7	5	String	otherSanctionsDesc	10K		1	o	o	o
7	6	NV	dateInitiated			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	7	String	docketOrCaseNumber	256		1	m#	m#	m#
7	8	String	apEmployingFirm	150		1	m#	m#	m#
7	9	String	principalProductType		PRINCIPAL_PRODUCT_TYPE	1	m#	m#	m#
7	10	String	principalProductTypeOtherDesc	256		1	m#	m#	m#
7	11	String	otherProductDesc	256		1	m#	m#	m#
7	12	String	descAllegations	10K		1	m#	m#	m#
7	13	String	currentStatus		EVENT_STATUS_TYPE	1	m#	m#	m#
7	14	String	appealedTo	256		1	m#	m#	m#
7	15	String	matterResolvedType		REGULATORY_MATTER_RESOLVED_TYPE	1	m#	m#	m#
7	16	String	matterResolvedTypeOtherDesc	256		1	m#	m#	m#
7	17	NV	resolutionDateExactExplain			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	18	NV	sanctionsOrderedDetails			1	m#	m#	m#
8	1	NV	sanctionsOrdered			1	m#	m#	m#
9	1	String	sanctionOrdered		SANCTIONS_ORDERED_LIST_TYPE	8	o	o	o
8	2	Decimal	amountPaid	4,2 fixed		1	m#	m#	m#
8	3	String	otherSanctions	10K		1	o	o	o
8	4	String	sanctionDetail	10K		1	o	o	o
7	19	String	summaryOfDetails	10K		1	m#	m#	m#
5	5	NV	associatedPerson			50	m#	m#	m#
6	1	NV	associatedPersonDetails			1	m#	m#	m#
7	1	String	personType		ASSOCIATED_PERSON_TYPE	1	NA	m#	m#
7	2	String	personRegistered		ASSOCIATED_PERSON_REGISTERED_TYPE	1	NA	m#	m#
7	3	String	fullName	150		1	m#	m#	m#
7	4	String	crdNumber	9		1	o	o	o
6	2	String	drpRemovalReason		REGULATORY_ASSOCIATED_PERSON_REMOVE_REASON_TYPE	1	m#	m#	m#
6	3	String	circumstancesExplanation	10K		1	NA	m#	m#
6	4	NV	regulatoryDrpDetails			1	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
7	1	String	regulatoryActionInitiatedBy		REGULATOR INITIA TED OPTION TYPE	1	o	o	o
7	2	String	RegulatorName	1K		1	m#	m#	m#
7	3	String	principalSanction		PRINCIPAL SANCTI ON TYPE	1	m#	m#	m#
7	4	String	otherPrincipalSanctionDesc	1K		1	m#	m#	m#
7	5	String	otherSanctionsDesc	10K		1	o	o	o
7	6	NV	DateInitiated			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	7	String	docketOrCaseNumber	256		1	m#	m#	m#
7	8	String	apEmployingFirm	150		1	m#	m#	m#
7	9	String	principalProductType		PRINCIPAL PRODU CT TYPE	1	m#	m#	m#
7	10	String	principalProductTypeOtherDesc	256		1	m#	m#	m#
7	11	String	otherProductDesc	256		1	m#	m#	m#
7	12	String	descAllegations	10K		1	m#	m#	m#
7	13	String	CurrentStatus		EVENT STATUS TY PE	1	m#	m#	m#
7	14	String	AppealedTo	256		1	m#	m#	m#
7	15	String	matterResolvedType		REGULATORY MAT TER RESOLVED TY PE	1	m#	m#	m#
7	16	String	matterResolvedTypeOtherDesc	256		1	m#	m#	m#
7	17	NV	resolutionDateExactExplain			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	18	NV	sanctionsOrderedDetails			1	m#	m#	m#
8	1	NV	sanctionsOrdered			1	m#	m#	m#
9	1	String	sanctionOrdered		SANCTIONS ORDE RED LIST TYPE	8	o	o	o
8	2	Decimal	amountPaid	4,2 fixed		1	m#	m#	m#
8	3	String	otherSanctions	10K		1	o	o	o
8	4	String	sanctionDetail	10K		1	o	o	o
7	19	String	summaryOfDetails	10K		1	m#	m#	m#
3	15	NV	civilJudicialDrplInfo			1	m#	m#	m#
4	1	NV	civilJudicialDrp			50	m#	m#	m#
5	1	String	initialOrAmended		INITIAL AMENDED TYPE	1	m#	m#	m#
5	2	NV	respondingTo			1	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
6	1	String	responseQuestion		CIVIL_JUDICIAL_RESPONDING_TO_TYPE	4	m#	m#	m#
5	3	String	drpFiledFor		DRP_FILE_FOR_TYPE	1	m#	m#	m#
5	4	NV	applicant			1	m#	m#	m#
6	1	String	drpRemovalReason		APPLICANT_DRP_REMOVAL_REASON_TYPE	1	NA	o	m#
6	2	String	circumstancesExplanation	10K		1	NA	m#	m#
6	3	NV	civilJudicialDrpDetails			1	m#	m#	m#
7	1	String	courtActionInitiatorName	1K		1	m#	m#	m#
7	2	String	principalReliefSought		RELIEF_SOUGHT_TYPE	1	m#	m#	m#
7	3	String	otherPrincipleReliefSought	1K		1	m#	m#	m#
7	4	String	otherReliefSought	1K		1	o	o	o
7	5	NV	filingDateOfCourtActionExactOrExplain			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	6	String	principalProductType		PRINCIPAL_PRODUCT_TYPE	1	m#	m#	m#
7	7	String	otherPrincipalProductType	1K		1	m#	m#	m#
7	8	String	otherProductType	1K		1	o	o	o
7	9	String	civilActionCourtType		CIVIL_ACTION_COURT_TYPE	1	m#	m#	m#
7	10	String	civilActionCourtName	256		1	m#	m#	m#
7	11	String	cityOrCounty	150		1	m#	m#	m#
7	12	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#	m#	m#
7	13	String	docketOrCaseNumber	256		1	m#	m#	m#
7	14	String	associatePersonEmployingFirm	150		1	o	o	o
7	15	String	describeCivilActionAllegations	10K		1	m#	m#	m#
7	16	String	eventCurrentStatus		EVENT_STATUS_TYPE	1	m#	m#	m#
7	17	String	courtNameAndDateAppeal	1K		1	m#	m#	m#
7	18	NV	processingDateCourtActionExactOrExplain			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	19	String	matterResolveType		MATTER_RESOLVE_TYPE	1	m#	m#	m#
7	20	String	otherMatterResolveType	256		1	m#	m#	m#
7	21	NV	resolutionDateExactOrExplain			1	m#	m#	m#

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Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	22	NV	sanctionReliefType			1	m#	m#	m#
8	1	String	sanctionOrdered		SANCTIONS ORDERED LIST TYPE	8	m#	m#	m#
7	23	Decimal	grantOrFineAmount	14,2 fixed		1	m#	m#	m#
7	24	String	otherSanctionsOrdered	10K		1	o	o	o
7	25	String	sanctionDetail	10K		1	m#	m#	m#
7	26	String	summaryOfCircumstances	10K		1	m#	m#	m#
5	5	NV	associatedPerson			50	m#	m#	m#
6	1	NV	associatedPersonDetails			1	m#	m#	m#
7	1	String	personType		ASSOCIATED PERSON TYPE	1	NA	m#	m#
7	2	String	personRegistered		ASSOCIATED PERSON REGISTERED TYPE	1	NA	o	m#
7	3	String	fullName	150		1	m#	m#	m#
7	4	String	crdNumber	9		1	o	o	o
6	2	String	drpRemovalReason		CIVIL JUDICIAL ASSOCIATED PERSON REMOVE REASON TYPE	1	NA	m#	m#
6	3	String	circumstancesExplanation	10K		1	NA	m#	m#
6	4	NV	civilJudicialDrpDetails			1	m#	m#	m#
7	1	String	courtActionInitiatorName	1K		1	m#	m#	m#
7	2	String	principalReliefSought		RELIEF SOUGHT TYPE	1	m#	m#	m#
7	3	String	otherPrincipleReliefSought	1K		1	m#	m#	m#
7	4	String	otherReliefSought	1K		1	o	o	o
7	5	NV	filingDateOfCourtActionExactOrExplain			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	6	String	principalProductType		PRINCIPAL PRODUCT TYPE	1	m#	m#	m#
7	7	String	otherPrincipalProductType	1K		1	m#	m#	m#
7	8	String	otherProductType	1K		1	o	o	o
7	9	String	civilActionCourtType		CIVIL ACTION COURT TYPE	1	m#	m#	m#
7	10	String	civilActionCourtName	256		1	m#	m#	m#
7	11	String	cityOrCounty	150		1	m#	m#	m#

DRAFT

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
7	12	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#	m#	m#
7	13	String	docketOrCaseNumber	256		1	m#	m#	m#
7	14	String	associatePersonEmployingFirm	150		1	o	o	o
7	15	String	describeCivilActionAllegations	10K		1	m#	m#	m#
7	16	String	eventCurrentStatus		EVENT_STATUS_TYPE	1	m#	m#	m#
7	17	String	courtNameAndDateAppeal	1K		1	m#	m#	m#
7	18	NV	ProcessingDateCourtActionExactOrExplain			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	19	String	matterResolveType		MATTER_RESOLVE_TYPE	1	m#	m#	m#
7	20	String	otherMatterResolveType	256		1	m#	m#	m#
7	21	NV	resolutionDateExactOrExplain			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	22	NV	sanctionReliefType			1	m#	m#	m#
8	1	String	sanctionOrdered		SANCTIONS_ORDERED_LIST_TYPE	8	m#	m#	m#
7	23	Decimal	grantOrFineAmount	14,2 fixed		1	m#	m#	m#
7	24	String	otherSanctionsOrdered	10K		1	o	o	o
7	25	String	sanctionDetail	10K		1	m#	m#	m#
7	26	String	summaryOfCircumstances	10K		1	m#	m#	m#
3	16	NV	bankruptcySipcDrpInfo			1	m#	m#	m#
4	1	NV	bankruptcyDrp			50	m#	m#	m#
5	1	String	initialOrAmended		INITIAL_AMENDED_TYPE	1	m#	m#	m#
5	2	NV	respondingTo			1	m#	m#	m#
6	1	String	responseQuestion		BANKRUPTCY_SIPC_RESPONDING_TO_TYPE	2	m#	m#	m#
5	3	String	drpFiledFor		DRP_FILE_FOR_TYPE_2	1	m#	m#	m#
5	4	NV	applicant			1	m#	m#	m#
6	1	NV	appBankruptcySipcDrpDetails			1	m#	m#	m#
7	1	String	actionType		BANKRUPTCY_ACTION_TYPE	6	m#	m#	m#
7	2	String	actionTypeOtherDesc	1K		1	m#	m#	m#
7	3	NV	actionDate			1	m#	m#	m#

DRAFT

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	4	String	organizationName	1K		1	m#	m#	m#
7	5	String	nameOfCourt	256		1	m#	m#	m#
7	6	String	cityOrCounty	150		1	m#	m#	m#
7	7	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#	m#	m#
7	8	String	docketOrCaseNo	256		1	m#	m#	m#
7	9	String	bankruptcyChapterNo	256		1	m#	m#	m#
7	10	String	isActionPending		"Y" or "N"	1	m#	m#	m#
7	11	String	dispositionType		BANKRUPTCY_DISPOSITION_TYPE	7	m#	m#	m#
7	12	String	dispositionTypeOtherDesc	256		1	m#	m#	m#
7	13	NV	dispositionDate			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	14	String	summaryOfEvents	1K		1	m#	m#	m#
7	15	Decimal	amountPaid	14,2 fixed		1	m#	m#	m#
7	16	String	nameOfTrustee	150		1	m#	m#	m#
7	17	String	isCurrentlyOpen		"Y" or "N"	1	m#	m#	m#
7	18	NV	dateDirectPayment			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	19	String	detailsOfDisposition	10K		1	m#	m#	m#
5	5	NV	affiliatePerson			50	m#	m#	m#
6	1	NV	affBankruptcySipcDrpDetails			1	m#	m#	m#
7	1	String	controlAffiliateType		ASSOCIATED_PERSON_TYPE	1	m#	m#	m#
7	2	String	isRegistered		"Y" or "N"	1	m#	m#	m#
7	3	String	fullNameOfFirmOrPerson	150		1	m#	m#	m#
7	4	String	isAmendmentRemoveDrp		"Y" or "N"	1	m#	m#	m#
7	5	String	isConAffRegisteredCrd		"Y" or "N"	1	m#	m#	m#
7	6	String	apCrdNumber	9		1	m#	m#	m#
7	7	String	actionType		BANKRUPTCY_ACTION_TYPE	6	m#	m#	m#
7	8	String	actionTypeOtherDesc	1K		1	m#	m#	m#
7	9	NV	actionDate			1	m#	m#	m#

DRAFT

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	10	String	organizationName	1K		1	o	o	o
7	11	String	nameOfCourt	256		1	o	o	o
7	12	String	cityOrCounty	150		1	o	o	o
7	13	String	stateOrCountry		STATE_COUNTRY_CODE	1	o	o	o
7	14	String	docketOrCaseNo	256		1	o	o	o
7	15	String	bankruptcyChapterNo	256		1	o	o	o
7	16	String	isActionPending		"Y" or "N"	1	m#	m#	m#
7	17	String	dispositionType		BANKRUPTCY_DISPOSITION_TYPE	7	m#	m#	m#
7	18	String	dispositionTypeOtherDesc	256		1	m#	m#	m#
7	19	NV	dispositionDate			1	m#	m#	m#
8	1	Date	date			1	m#	m#	m#
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	20	String	summaryOfEvents	1K		1	m#	m#	m#
7	21	Decimal	amountPaid	14,2 fixed		1	o	o	o
7	22	String	nameOfTrustee	150		1	o	o	o
7	23	String	isCurrentlyOpen		"Y" or "N"	1	o	o	o
7	24	NV	dateDirectPayment			1	o	o	o
8	1	Date	date			1	o	o	o
8	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
8	3	String	explanationInfo	1K		1	m#	m#	m#
7	25	String	detailsOfDisposition	10K		1	m#	m#	m#
3	17	NV	bondDrplInfo			1	m#	m#	m#
4	1	NV	bondDrp			50	m#	m#	m#
5	1	String	initialOrAmended		INITIAL_AMENDED_TYPE	1	m#	m#	m#
5	2	String	respondingTo		BOND_RESPONDING_TO_TYPE	1	m#	m#	m#
5	3	String	firmName	150		1	m#	m#	m#
5	4	String	bondingCompanyName	150		1	m#	m#	m#
5	5	String	dispositionType		BOND_DISPOSITION_OPTION_TYPE	1	m#	m#	m#
5	6	NV	dispositionDate			1	m#	m#	m#
6	1	Date	date			1	m#	m#	m#
6	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#

DRAFT

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	CFPORTAL	CFPORTAL/A	CFPORTAL-W
6	3	String	explanationInfo	1K		1	m#	m#	m#
5	7	NV	payoutInfo			1	m#	m#	m#
6	1	Decimal	payoutAmount	14,2 fixed		1	m#	m#	m#
6	2	Date	datePaid			1	m#	m#	m#
5	8	String	summarizeDetails	10K		1	m#	m#	m#
3	18	NV	judgementDrpInfo			1	m#	m#	m#
4	1	NV	judgementDrp			50	m#	m#	m#
5	1	String	initialOrAmended		INITIAL AMENDED TYPE	1	m#	m#	m#
5	2	String	respondingTo		JUDGEMENT RESPONDING TO TYPE	1	m#	m#	m#
5	3	Decimal	judgementOrLienAmount	14,2 fixed		1	m#	m#	m#
5	4	String	judgementOrLienHolder	150		1	m#	m#	m#
5	5	String	judgementOrLienType		LIEN JUDGEMENT TYPE	1	m#	m#	m#
5	6	NV	dateFiled			1	m#	m#	m#
6	1	Date	date			1	m#	m#	m#
6	2	String	exactOrExplanation		"Exact" or "Explanation"	1	m#	m#	m#
6	3	String	explanationInfo	1K		1	m#	m#	m#
5	7	NV	judgementLienOutstanding			1	m#	m#	m#
6	1	String	isJudgementLienOutstanding		"Y" or "N"	1	m#	m#	m#
6	2	String	provideExplanationDesc	1K		1	m#	m#	m#
6	3	String	matterResolved		LIEN RESOLVED TYPE	1	m#	m#	m#
5	8	String	nameOfCourt	256		1	m#	m#	m#
5	9	NV	courtAddress			1	m#	m#	m#
6	1	String	street1	40		1	m#	m#	m#
6	2	String	street2	40		1	o	o	o
6	3	String	city	30		1	m#	m#	m#
6	4	String	stateOrCountry		STATE COUNTRY CODE	1	m#	m#	m#
6	5	String	zipCode	10		1	m#	m#	m#
5	10	String	docketOrCaseNumber	256		1	m#	m#	m#
5	11	String	summaryOfEvents	10K		1	m#	m#	m#
2	4	NV	documents			1	m#	m#	m#
3	1	NV	document			unlimited	m#	m#	m#
4	1	String	conformedName	32		1	m#	m#	m#
4	2	String	conformedDocumentType			1	m#	m#	m#
4	3	String	description	255		1	m#	m#	m#
4	4	String	contents			1	m#	m#	m#

4 CF PORTAL 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
CFPORTAL	Initial application of funding portal
CFPORTAL/A	Amendment to registration, including a successor registration
CFPORTAL-W	Withdrawal of the funding portal's registration

4.2 LEGAL_NAME_CHANGE_TYPE

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

VALUE
Funding portal name (1A)
Business name (1B)

4.3 LEGAL_STATUS_FORM_TYPE

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

VALUE
Corporation
Sole Proprietorship
Partnership
Limited Liability Company
Other (Please Specify)

4.4 PR_TYPE

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

VALUE
PR

4.5 OWNERSHIP_CODE_TYPE

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

VALUE	CODE DESCRIPTION
NA	less than 5%
A	5% but less than 10%
B	10% but less than 25%
C	25% but less than 50%
D	50% but less than 75%
E	75% or more
G	Other (general partner, trustee, or elected member)

4.6 ENTITY_TYPE

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

VALUE	CODE DESCRIPTION
DE	Domestic Entity
FE	Foreign Entity
NP	Natural Person

4.7 AMENDMENT_TYPE

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

VALUE	CODE DESCRIPTION
A	addition
D	deletion
C	change in information about the same person

4.8 BOOK_KEEPING_ENTITY_TYPE

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

VALUE	CODE DESCRIPTION
BO	one of applicant's branch offices or affiliates
TP	a third party unaffiliated recordkeeper
O	other

5 CF DRP SCHEMA DATA VALUE CONSTRAINTS

5.1 INITIAL_AMENDED_TYPE

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

VALUE
INITIAL
AMENDED

5.2 DRP_FILE_FOR_TYPE

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

VALUE
Applicant
Applicant and one or more associated persons
One or more of applicant's associated persons

5.3 APPLICANT_DRP_REMOVAL_REASON_TYPE

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

VALUE
The applicant is registered or applying for registration and the event or proceeding was resolved in the applicant's favor
The DRP was filed in error

5.4 ASSOCIATED_PERSON_TYPE

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

VALUE
a firm
a natural person

5.5 ASSOCIATED_PERSON_REGISTERED_TYPE

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

VALUE
The associated person is registered with the SEC
The associated person is not registered with the SEC

5.6 DRP_REMOVE_REASON_TYPE

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

VALUE
The associated person(s) is (are) no longer associated with the applicant
The event or proceeding was resolved in the associated person's favor
The event or proceeding occurred more than ten years ago
The DRP was filed in error

5.7 EVENT_STATUS_TYPE

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

VALUE
Pending
On Appeal
Final

5.8 FELONY_MISDEMEANOR_TYPE

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

VALUE
Felony
Misdemeanor

5.9 DRP_FILE_FOR_TYPE_2

These are the valid values for the < DRP_FILE_FOR_TYPE_2> element in the submission file:

VALUE
Applicant
Applicant and one or more control affiliate(s)
One or more of control affiliate(s)

5.10 PRINCIPAL_PRODUCT_TYPE

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

VALUE
Annuity(ies) - Fixed
Annuity(ies) - Variable
Money Market Fund(s)
CD(s)
Commodity Option(s)
Debt - Asset Backed
Debt - Corporate
Debt - Government
Debt - Municipal
Derivative(s)
Direct Investment(s) - DPP & LP Interest(s)
Equity - OTC
Equity Listed (Common & Preferred Stock)
Futures - Commodity
Futures - Financial
Index Option(s)
Insurance
Investment Contract(s)
Money Market Fund(s)
Mutual Fund(s)
No Product
Options
Penny Sock(s)

VALUE
Unit Investment Trust(s)
Other

5.11 CRIMINAL_EVENT_COURT_TYPE

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

VALUE
Federal Court
Military Court
State Court
Foreign Court

5.12 CRIMINAL_DISPOSITION_OPTION_TYPE

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

VALUE
Acquitted
Amended
Convicted
Deferred Adjudication
Dismissed
Found not guilty
Pled guilty
Pled nolo contendere
Pled not guilty
Pretrial diversion/intervention
Reduced
Appealed
Other

5.13 CRIMINAL_RESPONDING_TO_TYPE

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

VALUE
5-A(1)
5-A(2)
5-B(1)
5-B(2)

5.14 APPEAL_TYPE

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

VALUE
Affirmed
Vacated & Returned For Further Action
Vacated / Final
Other

5.15 REGULATORY_ASSOCIATED_PERSON_REMOVE_REASON_TYPE

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

VALUE
The associated person(s) is (are) no longer associated with the applicant.
The event or proceeding was resolved in the associated person's favor.
The DRP was filed in error.

5.16 REGULATORY_RESPONDING_TO_TYPE

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

VALUE
5-C(1)
5-C(2)
5-C(3)
5-C(4)
5-C(5)
5-D(1)
5-D(2)
5-D(3)
5-D(4)
5-DC(5)
5-E(1)
5-E(2)
5-E(3)
5-E(4)
5-F
5-G

5.17 PORTAL_DRP_FILE_FOR_TYPE

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

VALUE
Applicant (the funding portal)
Applicant and one or more of the applicant's associated person(s)
One or more of applicant's associated person(s)

5.18 REGULATOR_INITIATED_OPTION_TYPE

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

VALUE
SEC
Foreign Authority

VALUE
Other Federal Authority
State
SRO

5.19 PRINCIPAL_SANCTION_TYPE

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

VALUE
Civil and Administrative Penalty(ies)/Fine(s)
Restitution
Bar
Cease and Desist
Censure
Denial
Expulsion
Revocation
Injunction
Prohibition
Reprimand
Disgorgement
Suspension
Undertaking
Other

5.20 REGULATORY_MATTER_RESOLVED_TYPE

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

VALUE
Acceptance, Waiver & Consent (AWC)
Consent
Decision

VALUE
Decision & Order of Offer of Settlement
Dismissed
Withdrawn
Settled
Stipulation & Consent
Vacated
Order
Other

5.21 SANCTIONS_ORDERED_LIST_TYPE

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

VALUE
Monetary/Fine
Bar
Revocation/Expulsion/Denial
Disgorgement
Cease and Desist/ Injunction
Censure
Suspension

5.22 CIVIL_JUDICIAL_RESPONDING_TO_TYPE

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

VALUE
5-H(1)
5-H(2)
5-H(3)
5-I

5.23 RELIEF_SOUGHT_TYPE

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

VALUE
Cease and Desist
Restraining Order
Injunction
Disgorgement
Civil Penalty(ies)/Fine(s)
Restitution
Money Damages
Other

5.24 CIVIL_ACTION_COURT_TYPE

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

VALUE
Federal Court
State Court
Foreign Court

5.25 MATTER_RESOLVE_TYPE

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

VALUE
Consent
Judgement Rendered
Settled
Dismissed
Opinion
Withdrawn
Other

5.26 CIVIL_JUDICIAL_ASSOCIATED_PERSON_REMOVE_REASON_TYPE

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

VALUE
The associated person(s) is (are) no longer associated with the applicant
The event or proceeding was resolved in the associated person's favor
The DRP was filed in error

5.27 BANKRUPTCY_ACTION_TYPE

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

VALUE
Bankruptcy
Compromise
Declaration
Liquidated
Receivership

VALUE
Other

5.28 BANKRUPTCY_SIPC_RESPONDING_TO_TYPE

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

VALUE
5-J(1)
5-J(2)

5.29 JUDGEMENT_RESPONDING_TO_TYPE

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

VALUE
5-L

5.30 BOND_DISPOSITION_OPTION_TYPE

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

VALUE
Denied
Payout
Revoked

5.31 BANKRUPTCY_DISPOSITION_TYPE

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

VALUE
Direct Payment Procedure
Discharged
Dismissed
Dissolved
Satisfied/Released
SIPA Trustee Appointed
Other

5.32 LIEN_RESOLVED_TYPE

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

VALUE
Discharged
Released
Removed
Satisfied

5.33 LIEN_JUDGEMENT_TYPE

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

VALUE
Civil
Default
Tax

5.34 BOND_RESPONDING_TO_TYPE

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

VALUE
5-K

6 BASIC SUBMISSION CONSTRUCTION

6.1 General Formatting of XML Files

The following rules apply to the submission file of an XML-format CF Portal 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 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>
```

6.2 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.

6.2.1 Enclosing a Document

1. Allowable file extensions are .pdf, .txt, .htm, .jpg, .xml and .gif.
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.
5. The XML for an enclosed supporting document looks like this:

```
<documents>
  <document>
    < conformedName>test1.txt</ conformedName>
    < conformedDocumentType>????</ conformedDocumentType>
    < description> Description field text here... </ description>
    < contents> dGVzdGA= </ contents>
  </document>
  document>
    < conformedName>test2.txt</ conformedName>
    < conformedDocumentType>????</ conformedDocumentType>
    < description> Description field text here... </ description>
    < contents> dGVzdGA= </ contents>
  </document>
</documents>
```

7 ERROR REPORTING

EDGAR will generate an error for each violation of an XML schema constraint, as well as for each violation of a CF Portal 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 7-1: Submission Errors and Severity

Error Condition	Severity
Elements not in sequence prescribed in Section 3.4	SUSPENDED
Inclusion of XML-style sheet 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 from Section 3.4	SUSPENDED

You may sometimes get multiple error messages reporting the same error. The XML parser EDGAR used to process a CF Portal submission generates messages that are rather technical in nature and require an understanding of the XML schema language. Whenever possible, EDGAR generates a more "friendly" error message to give a precise description of the error.

Appendix A. STATE/COUNTRY CODES

These are the valid designators for the < STATE_COUNTRY_CODE > 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

Code	State/Country Name
PA	PENNSYLVANIA
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

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Code	State/Country Name
C6	BAHRAIN
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

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Code	State/Country Name
H1	ECUADOR
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

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Code	State/Country Name
L6	ITALY
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

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Code	State/Country Name
T6	NAMIBIA
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

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Code	State/Country Name
T2	SEYCHELLES
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

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Code	State/Country Name
U5	WESTERN SAHARA
T7	YEMEN
Y4	ZAMBIA
Y5	ZIMBABWE

Appendix B. MONTH_TYPE

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

VALUE
January
February
March
April
May
June
July
August
September
October
November
December

Appendix C. 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