



EDGAR® Form N-CR XML Technical Specification

September 2023

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This draft EDGAR Form N-CR 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 Form N-CR 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 September 18, 2023. The final version of the technical specification will be made available if approved by the Commission on or about September 18, 2023, 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 Form N-CR Electronic Data Gathering, Analysis, and Retrieval (EDGAR) Extensible Markup Language (XML) submission types. The following table lists the submission types for Form N-CR.

Table 1-1: N-CR Submission Types

SUBMISSION TYPE	DESCRIPTION
N-CR	Current Report Money Market Fund Material Events
N-CR/A	Amendment to Current Report Money Market Fund Material Events

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

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

The N- CR 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 Website (<https://www.onlineforms.edgarfiling.sec.gov>).

In order to use the EDGAR FilerWeb or OnlineForms 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 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 Website, specifically in regard 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: N-CR Schema Files describes the schema files that the EDGAR system uses to validate N-CR submissions. These schemas are considered part of this specification and are distributed with this document.

Table 2-1: N-CR Schema Files

XML Schema File	Scope of File
eis_N_CR_Filer.xsd	Defines the elements of the Form N-CR submission.
eis_Common.xsd	Defines EDGAR common type definitions.

The schema files define the valid data elements for a Form N-CR 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-CR 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 N-CR 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.
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.
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.

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 is equipped with storing a maximum of 24 digits (with no restriction on the number of digits after a floating point; if floating point is provided). 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="586 630 1040 861"> <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.
m#1	If <confirmingCopyFlag> is "true", then the element becomes mandatory.
m#2	If <investmentCompanyType> is N-1A or N-3 then the element becomes mandatory.
m#3	If the filer selects the field "Is this an electronic copy of an official filing submitted in paper format?", then the "Confirming Copy File Number" will be required
m#4	The Investment Company Type is N-1A or N-3, then Series ID is required.
m#5	Investment Company Type is N-1A or N-3, and no Class IDs have been provided. then the element becomes mandatory.
m#6	The Investment Company Type N-1A or N-3, and All Class Flag is not checked (set to False).
m#7	Required for N-1A and N-3. Optional if company is not registered. (Note: By "not registered" we mean not N-1A or N-3)
m#9	Required for N-1A and N-3. Optional if company is not registered. (Note: By "not registered" we mean not N-1A or N-3) When required, must match the Series ID on the series/class page.

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m#10	When any item in B.1-B4 is completed, this is a mandatory field.
m#11	When any item in C.1 – C.5 is completed, this is a mandatory field.
m#12	When any item in C.6 – C.7 is completed, this is mandatory.
m#13	Required only if Extent of deviation between the fund's current net asset value per share and its intended stable price per share is answered.
m#14	Required only if "Date on which such downward deviation exceeded ¼ of 1 percent" is answered.
m#15	Either E.1 or E.2 must be filled in if either field of E.3 is completed.
m#16	Required if filer responded to E.1 or E.2
m#17	Mandatory when idType is "OTHER".
o	Optional.

3.4 Mapping of Form N-CR Submission Schemas to Submission Type

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	N-CR	N-CR/A	Max Occur
1	1	NV	edgarSubmission			m	m	1
2	1	String	schemaVersion	5		o	o	1
2	2	NV	headerData			m	m	1
3	1	String	submissionType	6	SUBMISSION TYPE	m	m	1
3	2	NV	filerInfo			m	m	1
4	1	String	liveTestFlag	4	"LIVE" or "TEST"	m	m	1
4	2	NV	flags			o	o	1
5	1	Boolean	confirmingCopyFlag		"true" or "false"	o	o	1
5	3	Boolean	overrideInternetFlag		"true" or "false"	o	o	1
4	3	NV	filer			m	m	1
5	1	NV	issuerCredentials			m	m	1
6	1	String	cik	10		m	m	1
6	2	String	ccc	8		m	m	1
5	2	String	fileNumber	17		m#3	m#3	1
4	4	NV	contact			m	m	1
5	1	String	name	30		m	m	1
5	2	String	phoneNumber	20		m	m	1
5	3	String	emailAddress	80		m	m	1
4	5	NV	notifications			o	o	1
5	1	String	notificationEmailAddress	80		o	o	3
4	6	date	periodOfReport	10		m	m	1
4	7	String	investmentCompanyType	4	COMPANY CLASSIFICATION TYPE	o	o	1
3	3	NV	oneSeriesClasses			m#2	m#2	1
4	1	String	seriesId	10	SERIES_ID_TYPE defined in eis_Common_SC.xsd	m#4	m#4	1
4	2	Boolean	includeAllClassesFlag		CHOICE "true"	m#5	m#5	1
4	3	NV	classInfos			m#6	m#6	1
5	1	NV	classInfo			m#6	m#6	999
6	1	String	classId	10	CLASS_ID_TYPE defined in eis_Common_SC.xsd	m#6	m#6	1

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	N-CR	N-CR/A	Max Occur
2	3	NV	formData			m	m	1
3	1	NV	generalInfo			m	m	1
4	1	Date	reportDate	Date: MM/DD/YY YY		m	m	1
4	2	String	registrantName	150		m	m	1
4	3	String	registrantCik	10		m	m	1
4	4	String	registrantLei	20		m#2	m#2	1
4	5	String	seriesName	150		m#2	m#2	1
4	6	String	seriesId	10	SERIES_ID_TYP E defined in eis_Common_SC.x sd	m#2	m#2	1
4	7	String	seriesLei	20		m#2	m#2	1
4	8	String	fileNumber	17		o	o	1
4	9	NV	contact			m	m	1
5	1	String	name	30		m	m	1
5	2	String	phoneNumber	20		m	m	1
5	3	String	emailAddress	80		m	m	1
3	2	NV	eventOfInsolvency			o	o	1
4	1	NV	partBSecurityInformations			m#	m#	1
5	1	NV	partBSecurityInformation			m#	m#	40
6	1	String	issuerName	150		m#1 0	m#10	1
6	2	String	issueTitle	200		m#1 0	m#10	1
6	3	String	coupon	25		o	o	1
6	4	String	yield	25		o	o	1
6	6	Decimal	securityValue	Decimal: 12 digits before the decimal and 2 digits after the decimal		m#1 0	m#10	1
6	7	Date	eventDate	Date: MM/DD/YY YY		m#1 0	m#1 0	1
6	8	Decimal	percentageOfFundsTotalAssets	Decimal: 1 digit before the decimal and 4 digits after the decimal		m#1 0	m#1 0	1
6	9	NV	securityIdentifiers			o	o	1
7	1	NV	securityIdentifier			m#	m#	5

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	N-CR	N-CR/A	Max Occur
8	1	String	idType	11	CHOICE See table of Security Identifier Type Choices	m#	m#	1
8	2	String	idValue	20		m#	m#	1
8	3	String	idDescription	50		m# 17	m# 17	1
4	3	String	actionDescription	500		o	o	1
3	3	NV	disclosure			o	o	1
4	1	String	supportDescription	500		m#1 1	m#11	1
4	2	String	supportPersonName	150		m#1 1	m#11	1
4	3	String	relationshipDescription	500		m#1 1	m#11	1
4	4	Date	supportDate	Date: MM/DD/YY YY		m#1 1	m#11	1
4	5	Decimal	supportAmtDescription	Decimal: 12 digits before the decimal and 2 digits after the decimal		m#1 1	m#11	1
4	6	NV	partCSecurityInformations			o	o	1
5	1	NV	partCSecurityInformation			m#	m#	40
6	1	String	issuerName	150		m#1 2	m#12	1
6	2	String	issueTitle	200		m#1 2	m#12	1
6	3	String	coupon	25		o	o	1
6	4	String	yield	25		o	o	1
6	5	Date	acquiredDate	Date: MM/DD/YY YY		m#1 2	m#12	1
6	6	Decimal	securityValue	Decimal: 12 digits before the decimal and 2 digits after the decimal		m#1 2	m#12	1
6	9	NV	securityIdentifiers			o	o	1
7	1	NV	securityIdentifier			m#	m#	5
8	1	String	idType	11	CHOICE See table of Security Identifier Type Choices	m#	m#	1

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Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	N-CR	N-CR/A	Max Occur
8	2	String	idValue	20		m#	m#	1
8	3	String	idDescription	50		m#17	m#17	1
4	8	String	reasonDescription	500		o	o	1
4	9	String	termOfSupport	500		o	o	1
4	10	String	contractRestrictionsDesc	500		o	o	1
3	4	NV	deviationAsset			o	o	1
4	1	Date	exceededOnePercentDate	Date: MM/DD/YY YY		m#13	m#13	1
4	2	Decimal	extentOfDeviation	Decimal: 4 digits before the decimal and 4 digits after the decimal		m#14	m#14	1
4	3	String	reasonForDeviation	500		o	o	1
4	4	NV	partDSecurityInformations			o	o	1
5	1	NV	partDSecurityInformation			m#	m#	40
6	1	String	issuerName	150		o	o	1
6	2	String	issueTitle	200		o	o	1
6	3	String	coupon	25		o	o	1
6	4	String	yield	25		o	o	1
6	9	NV	securityIdentifiers			o	o	1
7	1	Nv	securityIdentifier			m#	m#	5
8	1	String	idType	11	CHOICE See table of Security Identifier Type Choices	m#	m#	1
8	2	String	idValue	20		m#	m#	1
8	3	String	idDescription	50		m#17	m#17	1
3	5	NV	liquidityThresholdEvent			o	o	1
4	1	Date	dateOfWeeklyAssets	Date: MM/DD/YY YY		m#15	m#15	1
4	2	Date	dateOfDailyAssets	Date: MM/DD/YY YY		m#15	m#15	1
4	3	Decimal	percentageOfWeeklyAssets	Decimal: 1 digit before the decimal and 4 digits after the decimal		m#16	m#16	1
4	4	Decim	percentageOfDailyAssets	Decimal: 1		m#1	m#16	1

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Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	N-CR	N-CR/A	Max Occur
		al		digit before the decimal and 4 digits after the decimal		6		
4	5	String	factsDescription	500		o	o	1
3	6	NV	optionalDisclosure			o	o	1
4	1	String	optionalDisclosure	500		o	o	1
3	7	NV	signatureBlock			m	m	1
4	1	String	name	150		m	m	1
4	2	String	title	60		m	m	1
4	3	String	signature	150		m	m	1
4	4	Date	signatureDate	Date: MM/DD/YY YY		m	m	1
2	4	NV	documents			o	o	o
3	1	NV	Document			m#	m#	unbounded
4	1	String	conformedName	32		m#	m#	1
4	2	String	conformedDocumentType	128		m#	m#	1
4	3	String	relatedFormType	8		o	o	1
4	4	String	Description	255		o	o	1
4	5	String	contents	1		m#	m#	1

4 N-CR SCHEMA DATA VALUE CONSTRAINTS

4.1 Submission Type

These are the valid values for elements with type <SUBMISSION_TYPE> in the submission file:

VALUE	CODE DESCRIPTION
N-CR	Current Report Money Market Fund Material Events
N-CR/A	Amendment to Current Report Money Market Fund Material Events

4.2 Company Classification Type

These are the valid values for elements with type <COMPANY_CLASSIFICATION_TYPE> in the submission file:

VALUE
N-1A
N-3

4.3 Security Identifier Type Choices

These are the valid values for idType elements within a securityIdentifier element in the submission file:

Security Type Identifier	Type	Max Length
CIK	String	10
CUSIP	String	9
FIGI	String	12
INTERNAL ID	String	20
ISIN	String	12
LEI	String	20
OTHER	String	20

5 COMMON SCHEMA DATA VALUE CONSTRAINTS

5.1 Yes or No Type

These are the valid values for elements with type <YES_NO_TYPE> in the submission file:

VALUE
Y
N

6 BASIC SUBMISSION CONSTRUCTION

6.1 General Formatting of XML Files

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

7. 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.
8. The XML elements cannot have any namespaces.
For e.g.: It has to be `<contactName>` and not `<ns1:contactName>`
9. The order of any `<notificationEmailAddress>` elements does not matter.
10. The submission file must conform to the XML schema files. Any violation of this schema will result in the suspension of the filing.

6.3 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 an allowable file extension.
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>
  </document>
  <document>
    <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 an N-CR 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-stylesheet reference or any other Processing Instruction	SUSPENDED
Inclusion of an element not prescribed in the schema	SUSPENDED
String value exceeds maximum length constraint	SUSPENDED
Element constrained by a Choice List has an invalid value	SUSPENDED
Mandatory element has no value or an invalid value	SUSPENDED
Special character (&, <, >) not provided as escape sequence	SUSPENDED
Date, Boolean, or Decimal element does not have a value	SUSPENDED
Duplicate Notification Address	WARNING
“NA” or blank field has a value	WARNING
Invalid Issuer CIK	SUSPENDED
Improperly formatted email address	SUSPENDED
Exceeding a “Max Occur” limit from Section 3.4	SUSPENDED

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

Appendix A. ACRONYMS

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