# EDGARLink Online
# XML Technical Specification

**Version 26**  March 2019

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# 1. INTRODUCTION

## 1.1    Purpose

This document details the valid structure and content of the EDGARLink Online (ELO) Electronic Data Gathering, Analysis, and Retrieval (EDGAR) Extensible Markup Language (XML) submission types.  The following tables list the submission types for ELO.

**Table 1-1: Single Filer**

| SUBMISSION TYPE | DESCRIPTION |
| --- | --- |
| ANNLRPT | Periodic Development Bank filing, submitted annually |
| ANNLRPT/A | Amendment to periodic Development Bank filing, submitted annually |
| DSTRBRPT | Distribution of primary obligations Development Bank report |
| DSTRBRPT/A | Amendment to distribution of primary obligations Development Bank report |
| DSTRBRPT | Distribution of primary obligations Development Bank report |
| DSTRBRPT/A | Amendment to distribution of primary obligations Development Bank report |
| IRANNOTICE | Notice of Iran-related disclosure filed pursuant to Section 13(r)(3) of the Exchange Act |
| N-6F | Notice of intent by business development companies to elect to be subject to Sections 55 through 65 of the 1940 Act filed on Form N-6F |
| N-6F/A | Amendment to Notice of intent by business development companies to elect to be subject to Sections 55 through 65 of the 1940 Act filed on Form N-6F |
| N-8A | Initial notification of registration under section 8(a) filed on Form N-8A |
| N-8A/A | Amendment to initial notification of registration under section 8(a) filed on Form N-8A |
| N-54A | Notification of election by business development companies filed on Form N-54A |
| N-54C/A | Amendment to notification of withdrawal by business development companies filed on Form N-54C |
| QRTLYRPT | Periodic Development Bank filing, submitted quarterly |
| QRTLYRPT/A | Amendment to Periodic Development Bank filing, submitted quarterly |
| SH-ER | Weekly Form SH Entries Report Filed by Institutional Investment Managers |
| SH-ER/A | Amendment to a Weekly Form SH Entries Report Filed by Institutional Investment Managers |
| SH- NT | Weekly Form SH Notice Report Filed by Institutional Investment Managers |
| SH- NT/A | Amendment to Weekly Form SH Notice Report Filed by Institutional Investment Managers |
| N-PX-NT | Annual Form N-PX Notice filed by institutional managers |
| N-PX-NT/A | Amendment to an Annual Form N-PX Notice filed by institutional managers |
| N-PX-VR | Annual Form N-PX Voting Report filed by institutional managers |
| N-PX-VR/A | Amendment to an Annual Form N-PX Voting Report filed by institutional managers |
| N-PX-CR | Annual Form N-PX Combination Report filed by institutional managers |
| N-PX-CR/A | Amendment to an Annual Form N-PX Combination Report filed by institutional managers |
| NRSRO-UPD | Update of Registration |
| NRSRO-CE | Annual Certification |

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| NRSRO-CE/A | Amendment of Annual Certification |
| NRSRO-WREG | Withdrawal from Registration |
| NRSRO-WCLS | Withdrawal from Credit Rating Class |
| NRSRO-FR | Annual Financial Reports |
| NRSRO-FR/A | Amendment of Annual Financial Reports |
| SDR-CCO | Annual Compliance Report and Financial Report |
| SDR-CCO/A | Amendment to Annual Compliance Report and Financial Report |

## Table 1-2: Single Filer SC

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| 497K | Summary Prospectus for certain open-end management investment companies filed pursuant to Securities Act Rule 497(k) |
| N-PX | Annual Report of Proxy Voting Record of Registered Management Investment Companies filed on Form N-PX |
| N-PX/A | Amendment to an Annual Report of Proxy Voting Record of Registered Management Investment Companies filed on Form N-PX |
| N-PX-FM | Annual Report of Proxy Voting Record of Registered Management Investment Companies that includes proxy votes of institutional managers |
| N-PX-FM/A | Amendment to Annual Report of Proxy Voting Record of Registered Management Investment Companies that includes proxy votes of institutional managers |
| N-CR | Current Report of Money Market Fund Material Events |
| N-CR/A | Amendment to a Current Report of Money Market Fund Material Events |
| NT-NCEN | Notice under Exchange Act Rule 12b-25 of inability to timely file Form N-CEN |
| NT-NCEN/A | Amendment to a notice under Exchange Act Rule 12b-25 of inability to timely file Form N-CEN |
| NPORT-EX | Filers will have the ability to submit exhibits within 30 days after an NPORT submission (denoted with P) is filed. |
| NPORT-EX/A | Filers will have the ability to amendment exhibits after an NPORT/EX submission is filed. |
| N-LIQUID | Current Report Open-End Management Investment Company Liquidity |
| N-LIQUID/A | Amendment to a Current Report Open-End Management Investment Company Liquidity |

## Table 1-3: Single Filer SC Fee

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| 24F-2NT | Rule 24F-2 notice filed on Form 24F-2 |
| 24F-2NT/A | Amendment to Rule 24F-2 notice filed on Form 24F-2 |

## Table 1-4: CoReg

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| 486BXT | Post-effective amendment filed pursuant to Securities Act Rule 486(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 486(a) (this filing cannot be submitted as a 1940 Act only filing) |
| 487 | Pre-effective pricing amendment filed pursuant to Securities Act Rule 487 |
| 6-K | Report of Foreign Private Issuer |
| 8-K | Current report filing |
| 10-K | Annual report pursuant to section 13 and 15(d) |
| AW WD | Withdrawal of a request for withdrawal of an amendment to a registration statement |
| F-3DPOS | Post-Effective amendment to a F-3D registration |
| F-4 POS | Post-effective amendment to a F-4EF registration |
| F-7POS | Post-effective amendment to a F-7 registration |
| F-8POS | Post-effective amendment to a F-8 registration |
| F-80POS | Post-effective amendment to a F-80 registration |
| F-10POS | Post-effective amendment to a F10EF registration |
| N-1 | Initial registration statement filed on Form N-1 for open-end management investment companies |
| N-1/A | Pre-effective amendment to a registration statement filed on Form N-1 for open-end management investment companies |
| POS AM | Post-effective amendment to a registration statement that is not immediately effective upon filing |
| RW WD | Withdrawal of a request for withdrawal of a registration statement |
| S-3DPOS | Post-effective amendment to a S-3D registration statement |
| S-4 POS | Post-effective amendment to a S-4EF registration statement |
| S-6 | Initial registration statement filed on Form S-6 for unit investment trusts |
| S-6/A | Pre-effective amendment for initial registration statement filed on Form S-6 for unit investment trusts |
| S-8 POS | Post-effective amendment to a S-8 registration statement |
| T-3 | Initial application for qualification of trust indentures |
| T-3/A | Pre-effective amendment for initial application for qualification of trust indentures |
| T-6 | Application for determination of eligibility of a foreign person to act as institutional trustee filed pursuant to Section 310(a)(1) of the Trust Indenture Act of 1939 |
| T-6/A | Pre-effective amendment for application for determination of eligibility of a foreign person to act as institutional trustee filed pursuant to Section 310(a)(1) of the Trust Indenture Act of 1939 |
| 1-A-W | Withdrawal of offering statement under Regulation A |
| 1-A-W/A | Amendment to a withdrawal of offering statement under Regulation A |
| 253G1 | Reflects information previously omitted from the offering circular in reliance on Rule 253(b). |
| 253G2 | Reflects information that constitutes a substantive change from or addition to the information set forth in the last offering circular |

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| 253G3 | Reflects information covered in both 253G1 and 253G2. |
| 253G4 | Reflects information covered in 253G1, 253G2 or 253G3 that is not being filed late. |
| 1-U | Current Report pursuant to Regulation A |
| 1-U/A | Amendment to Current Report pursuant to Regulation A |
| 1-SA | Semiannual Report Pursuant to Regulation A |
| 1-SA/A | Amendment to Semiannual Report Pursuant to Regulation A |
| 1-Z-W | Withdrawal of Exit Report under Regulation A |
| 1-Z-W/A | Amendment to a withdrawal of Exit Report under Regulation A |
| DOSLTR | Draft Offering Statement Letter |

## Table 1-5: CoReg Fee

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| F-1 | Registration statement for securities of certain foreign private issuers |
| F-1/A | Pre-effective amendment for registration statement for securities of certain foreign private issuers Registration statement for securities of certain foreign private issuers |
| F-1MEF | A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-1 |
| F-3 | Registration statement for specified transactions by certain foreign private issuers |
| F-3/A | Pre-Effective amendment registration statement for specified transactions by certain foreign private issuers |
| F-3/ASR | Automatic shelf registration statement of securities of well-known seasoned issuers |
| F-3D | Registration statement for dividend or interest reinvestment plan securities of foreign private issuers |
| F-3MEF | A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-3 |
| F-4 | Registration statement for securities issued by foreign private issuers in certain business combination transactions |
| F-4/A | Pre-effective amendment for registration statement for securities issued by foreign private issuers in certain business combination transactions |
| F-4EF | Auto effective registration statement for securities by certain foreign private issuers in connection with certain business combination transactions |
| F-4MEF | A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form F-4 |
| F-7 | Registration statement for securities of certain Canadian issuers offered for cash upon the exercise of rights granted to existing security holders under the Securities Act of 1933 |
| F-7/A | Pre-effective amendment for registration statement for securities of certain Canadian issuers offered for cash upon the exercise of rights granted to existing security holders under the Securities Act of 1933 |
| F-8 | Registration statement for securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933 |

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| F-8/A | Pre-effective amendment for registration statement for securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933 |
| F-80 | Registration of securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933 |
| F-80/A | Pre-effective amendment for registration of securities of certain Canadian issuers to be issued in exchange offers or a business combination under the Securities Act of 1933 |
| F-10 | Registration statement for securities of certain Canadian issuers under the Securities Act of 1933 |
| F-10/A | Pre-effective amendment for registration statement for securities of certain Canadian issuers under the Securities Act of 1933 |
| F-10EF | Auto effective registration statement for securities of certain Canadian issuers under the Securities Act of 1933 |
| N-2 | Initial filing of a registration statement on Form N-2 for closed-end investment companies |
| N-14 8C | Initial registration statement filed on Form N-14 by closed-end investment company (business combinations) |
| N-14 8C/A | Pre-effective amendment for initial registration statement filed on Form N-14 by closed-end investment company (business combinations) |
| N-14MEF | A new registration statement filed on Form N-14 by closed end investment companies filed under Securities Act Rule 462(b) of up to an additional 20% of securities for an offering that was registered on Form N-14 |
| N-2 | Filing of a registration statement on Form N-2 for closed-end investment companies |
| N-2/A | Pre-effective amendment to a registration statement on Form N-2 for closed-end investment companies (this filing cannot be submitted as a 1940 Act only filing) |
| N-2MEF | A new registration statement on Form N-2 filed under the Securities Act Rule 462(b) by closed-end investment companies to register up to an additional 20% of securities for an offering that was registered on Form N-2 |
| N-5 | Initial registration statement on Form N-5 for small business investment companies |
| N-5/A | Pre-effective amendment to a registration statement on Form N-5 for small business investment companies (this filing cannot be submitted as a 1940 Act only filing) |
| POSASR | Post-effective amendment to an automatic shelf registration statement of Form S-3ASR or Form F-3ASR |
| S-1 | General form of registration statement for all companies including face-amount certificate companies |
| S-1/A | Pre-effective amendment to a S-1 registration statement |
| S-11 | Registration statement for securities to be issued by real estate companies |
| S-11/A | Pre-effective amendment to a S-11 registration statement |
| S-11MEF | A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-11 |
| S-1MEF | A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-1 |
| S-20 | Registration statement for standardized options |
| S-20/A | Pre-effective amendment to a S-20 registration statement |

| SUBMISSION TYPE | DESCRIPTION |
| --- | --- |
| S-3 | Registration statement for specified transactions by certain issuers including face-amount certificate companies |
| S-3/A | Pre-effective amendment to a S-3 registration statement |
| S-3ASR | Automatic shelf registration statement of securities of well-known seasoned issuers |
| S-3D | Automatically effective registration statement for securities issued pursuant to dividend or interest reinvestment plans |
| S-3MEF | A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-3 |
| S-4 | Registration statement for securities to be issued in business combination transactions |
| S-4/A | Pre-effective amendment to a S-4 registration statement |
| S-4EF | Auto effective registration statement for securities issued in connection with the formation of a bank or savings and loan holding company in compliance with General Instruction G |
| S-4MEF | A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-4 |
| S-8 | Initial registration statement for securities to be offered to employees pursuant to employee benefit plans |
| S-B | Registration statement for securities of foreign governments and subdivisions thereof under the Securities Act of 1933 (Schedule b) |
| S-B/A | Pre-effective amendment for S-B registration statement |
| S-BMEF | A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form S-B |

## Table 1-6: CoReg SC

| SUBMISSION TYPE | DESCRIPTION |
| --- | --- |
| 485APOS | Post-effective amendment filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing) |
| 485BPOS | Post-effective amendment filed pursuant to Securities Act Rule 485(b) (this filing cannot be submitted as a 1940 Act only filing) |
| 485BXT | Post-effective amendment filed pursuant to Securities Act Rule 485(b)(1)(iii) to designate a new effective date for a post-effective amendment previously filed pursuant to Securities Act Rule 485(a) (this filing cannot be submitted as a 1940 Act only filing) |
| 497 | Definitive materials filed under paragraph (a), (b), (c), (d), (e) or (f) of Securities Act Rule 497 |
| 497AD | Filing by certain investment companies of Securities Act Rule 482 advertising in accordance with Securities Act Rule 497 and the Note to Rule 482(c) |
| 497J | Certification of no change in definitive materials under paragraph (j) of Securities Act Rule 497 |
| 497K | Summary prospectuses for open-end management investment companies registered on Form N-1A filed pursuant to Securities Act Rule 497(k) |
| DEF 14A | Definitive proxy statements |
| DEF 14C | Definitive information statements |

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| DEFA14A | Definitive additional proxy soliciting materials including Rule 14(a)(12) material. Note: Submission type DEFA14A can be filed as part of Form 8-K. For filers subject to 8-K filing requirements, we recommend the use of the 8-K combined form type as the easiest method for fulfilling your filing requirement for both forms. |
| DEFA14C | Definitive additional information statement materials including Rule 14(a)(12) material |
| DEFR14A | Definitive revised proxy soliciting materials |
| DEFR14C | Definitive revised information statement materials |
| DEFM14A | Definitive proxy statement relating to a merger, acquisition, or disposition |
| DEFM14C | Definitive information statement relating to merger or acquisition |
| N-1A | Initial registration statement filed on Form N-1A for open-end management investment companies |
| N-1A/A | Pre-effective amendment to a registration statement filed on Form N-1A for open-end management investment companies (this filing cannot be submitted as a 1940 Act only filing) |
| N-14 | Initial registration statement filed on Form N-14 for open-end investment company, including those filed with automatic effectiveness under Rule 488 (business combinations). |
| N-14/A | Pre-effective amendment to registration statement filed on Form N-14 for open-end investment company, including those filed with automatic effectiveness under Rule 488 (business combinations). |
| N-3 | Initial registration statement on Form N-3 for separate accounts (management investment companies) |
| N-3/A | Pre-effective amendment to a registration statement on Form N-3 for separate accounts (management investment companies)(this filing cannot be submitted as a 1940 Act only filing) |
| N-30B-2 | Periodic and interim reports mailed to investment company shareholders (other than annual and semi-annual reports mailed to shareholders pursuant to Rule 30e-1) |
| N-30D | Initial annual and semi-annual reports mailed to investment company shareholders pursuant to Rule 30e-1 (other than those required to be submitted as part of Form N-CSR) |
| N-30D/A | Amendment to an annual and semi-annual reports mailed to investment company shareholders pursuant to Rule 30e-1 (other than those required to be submitted as part of Form N-CSR) |
| N-4 | Initial registration statement on Form N-4 for separate accounts (unit investment trusts) |
| N-4/A | Pre-effective amendment to a registration statement on Form N-4 for separate accounts (unit investment trusts)(this filing cannot be submitted as a 1940 Act only filing) |
| N-6 | Initial registration statement filed on Form N-6 for separate accounts (unit investment trusts) |
| N-6/A | Pre-effective amendment to a registration statement filed on Form N-6 for separate accounts (unit investment trusts) |
| N-CSR | Certified annual shareholder report of registered management investment companies filed on Form N-CSR |
| N-CSR/A | Amendment to certified annual shareholder report of registered management investment companies filed on Form N-CSR |
| N-CSRS | Certified semi-annual shareholder report of registered management investment companies filed on Form N-CSR |

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| N-CSRS/A | Amendment to certified semi-annual shareholder report of registered management investment companies filed on Form N-CSR |
| N-Q | Quarterly Schedule of Portfolio Holdings of Registered Management Investment Company filed on Form N-Q |
| N-Q/A | Amendment to a Quarterly Schedule of Portfolio Holdings of Registered Management Investment Company filed on Form N-Q |
| NSAR-A | Semi-annual report for management companies filed on Form N-SAR |
| NSAR-A/A | Amendment to a semi-annual report for management companies filed on Form N-SAR |
| NSAR-AT | Transitional semi-annual report filed on Form N-SAR |
| NSAR-AT/A | Amendment to a transitional semi-annual report filed on Form N-SAR |
| NSAR-B | Annual report for management companies filed on Form N-SAR |
| NSAR-B/A | Amendment to an annual report for management companies filed on Form N-SAR |
| NSAR-BT | Transitional annual report filed on Form N-SAR |
| NSAR-BT/A | Amendment to a transitional annual report filed on Form N-SAR |
| NT-NCSR | Notice under Exchange Act Rule 12b-25 of inability to timely file Form N-CSR (annual or semi-annual report) |
| NT-NCSR/A | Amendment to a notice under Exchange Act Rule 12b-25 of inability to timely file Form N-CSR (annual or semi-annual report) |
| NT-NSAR | Notice under Exchange Act Rule 12b-25 of inability to timely file Form N-SAR |
| NT-NSAR/A | Amendment to a notice under Exchange Act Rule 12b-25 of inability to timely file Form N-SAR |
| POS AMI | Amendment (for filings made under the1940 Act only) |
| PRE 14A | Preliminary proxy statement not related to a contested matter or merger / acquisition |
| PRE 14C | Preliminary information statement not related to a contested matter or merger/acquisition |

## Table 1-7: CoReg SC Fee

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| PREM14A | Preliminary proxy statement relating to a merger, acquisition, or disposition |
| PREM14C | Preliminary information statements relating to merger or acquisition |
| PRER14A | Preliminary revised proxy soliciting materials |
| PRER14C | Preliminary revised information statements |

## Table 1-8: CoReg Serial

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| 424B1 | Prospectus filed pursuant to Rule 424(b)(1) |
| 424B2 | Prospectus filed pursuant to Rule 424(b)(2) |
| 424B3 | Prospectus filed pursuant to Rule 424(b)(3) |
| 424B4 | Prospectus filed pursuant to Rule 424(b)(4) |
| 424B5 | Prospectus filed pursuant to Rule 424(b)(5) |

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| 424B7 | Prospectus filed pursuant to Rule 424(b)(7) |
| 424B8 | Prospectus filed pursuant to Rule 424(b)(8) |
| SF-1 | General form of registration statement for all issuers of asset-backed securities |
| SF-1/A | Pre-effective amendment to an SF-1 registration statement |
| SF-1MEF | A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form SF-1 |
| SF-3 | Shelf registration statement for qualified offerings of asset-backed securities |
| SF-3/A | Pre-effective amendment to an SF-3 registration statement |
| SF-3MEF | A new registration statement filed under Rule 462(b) to add securities to a prior related effective registration statement filed on Form SF-3 |
| 424H | Preliminary Prospectus filed pursuant to Rule 424(h) |
| 424H/A | Amendment to Preliminary Prospectus filed pursuant to Rule 424(h) |
| ABS-EE | Form for Submission of Electronic Exhibits in Asset-Backed Securities Offerings |
| ABS-EE/A | Amendment to Form for Submission of Electronic Exhibits in Asset-Backed Securities Offerings |

## Table 1-9: Subject

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| 40-17F1 | Initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-1 of the Investment Company Act of 1940 filed on Form N-17F-1 |
| 40-17F1/A | Amendment to initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-1 of the Investment Company Act of 1940 filed on Form N-17F-1 |
| 40-17F2 | Initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-2 of the Investment Company Act of 1940 filed on Form N-17F-2 |
| 40-17F2/A | Amendment to initial certificate of accounting of securities and similar investments in the custody of management investment companies filed pursuant to Rule 17f-2 of the Investment Company Act of 1940 filed on Form N-17F-2 |
| CB | Notification form filed in connection with certain tender offers, business combinations and rights offerings, in which the subject company is a foreign private issuer of which less than 10% of its securities are held by U.S. persons |
| CB/A | Amendment to notification form filed in connection with certain tender offers, business combinations and rights offerings, in which the subject company is a foreign private issuer of which less than 10% of its securities are held by U.S. persons |
| F-N | Notification of the appointment of an agent for service by certain foreign institutions |
| F-N/A | Amendment to notification of the appointment of an agent for service by certain foreign institutions |
| F-X | For appointment of agent for service of process by issuers registering securities |
| F-X/A | Amendment to appointment of agent for service of process by issuers registering securities |
| N-27D-1 | Accounting for segregated trust accounts on Form N-27D-1 |
| N-27D-1/A | Amendment to accounting for segregated trust accounts on Form N-27D-1 |
| SC 14F1 | Statement regarding change in majority of directors pursuant to Rule 14f-1 |

| SUBMISSION TYPE | DESCRIPTION |
| --- | --- |
| SC 14F1/A | Amendment to statement regarding change in majority of directors pursuant to Rule 14f-1 |

## Table 1-10: Subject SC

| SUBMISSION TYPE | DESCRIPTION |
| --- | --- |
| DEFC14A | Definitive proxy statement in connection with contested solicitations |
| DEFC14C | Definitive information statement – contested solicitations |
| DEFN14A | Definitive proxy statement filed by non-management |
| DFAN14A | Definitive additional proxy soliciting materials filed by nonmanagement including Rule 14(a)(12) material |
| DFRN14A | Revised definitive proxy statement filed by nonmanagement |
| PREC14A | Preliminary proxy statement in connection with contested solicitations |
| PREC14C | Preliminary information statements – contested solicitations |
| PREN14A | Preliminary proxy statement filed by non-management |
| PRRN14A | Revised preliminary proxy statement filed by nonmanagement |
| PX14A6G | Notice of exempt solicitation |
| PX14A6N | Notice of exempt solicitation for the purpose of determining whether to solicit proxies, consents, or authorizations in opposition to a proposed rollup transaction filed pursuant to Rule 14a6(g) of the Securities Exchange Act of 1934 |

## Table 1-11: Subject Fee

| SUBMISSION TYPE | DESCRIPTION |
| --- | --- |
| SC 13E1 | Schedule 13-E1 statement of issuer required by Rule 13e-1 |
| SC 13E1/A | Amendment to Schedule 13-E1 statement of issuer required by Rule 13e-1 |
| F-6 | Registration statement for American Depositary Receipts representing securities of certain foreign private issuers |
| F-6/A | Pre-effective amendment to a registration statement for American Depositary Receipts representing securities of certain foreign private issuers |
| F-6EF | Auto effective registration statement for American Depositary Receipts representing securities of certain foreign private issuers |

## Table 1-12: Subject Group

| SUBMISSION TYPE | DESCRIPTION |
| --- | --- |
| FWP | Filing under Securities Act Rule 163/433 of free writing prospectuses. |
| SC 13D | Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities |
| SC 13D/A | Amendment to Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities |
| SC 13G | Schedule filed to report acquisition of beneficial ownership of 5% or more of a class of equity securities by passive investors and certain Institutions |
| SC 13G/A | Amendment to Schedule filed to report acquisition of beneficial ownership of 5% or |

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
|  | more of a class of equity securities by passive investors and certain Institutions |
| SC 14D9 | Tender offer solicitation/recommendation statements filed under Rule 14-d9 |
| SC 14D9/A | Amendment to tender offer solicitation/recommendation statements filed under Rule 14-d9 |
| SC TO-C | Written communication relating to an issuer or third party tender offer |
| SC14D9C | Written communication by the subject company relating to a third party tender offer |
| SC14D9F | Solicitation/recommendation statement pursuant to Section 14(d)(4) of the Securities Exchange Act of 1934 and Rules 14d-1(b) and 14e-2(c) by foreign issuers |
| SC14D9F/A | Amendment to solicitation/recommendation statement pursuant to Section 14(d)(4) of the Securities Exchange Act of 1934 and Rules 14d-1(b) and 14e-2(c) by foreign issuers |

## Table 1-13: Subject Group SC

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| 425 | Filing under Securities Act Rule 425 of certain prospectuses and communications in connection with business combination transactions |

## Table 1-14: Subject Group Fee

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| SC 13E3 | Schedule filed to report going private transactions |
| SC 13E3/A | Amendment to schedule filed to report going private transactions |
| SC TO-I | Issuer tender offer statement |
| SC TO-I/A | Amendment to issuer tender offer statement |
| SC TO-T | Third party tender offer statement |
| SC TO-T/A | Amendment to third party tender offer statement |
| SC13E4F | Issuer tender offer statement filed pursuant to Rule 13(e)(4) by foreign issuers |
| SC13E4F/A | Amendment to issuer tender offer statement filed pursuant to Rule 13(e)(4) by foreign issuers |
| SC14D1F | Third party tender offer statement filed pursuant to Rule 14d-1(b) by foreign issuers |
| SC14D1F/A | Amendment to third party tender offer statement filed pursuant to Rule 14d-1(b) by foreign issuers |

## Table 1-15: Correspondence

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| CORRESP | Correspondence Submission. Correspondence is not publicly disseminated immediately. The SEC staff may release all or portions of these documents electronically if they relate to the staff's review process. See SEC Press Release 2004-89, "SEC Staff to Publicly Release Comment Letters and Responses." |

## Table 1-16: Ownership

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| 144 | Filing for proposed sale of securities under Rule 144. Note: Form 144 may be filed electronically on a voluntary basis if the issuer of the securities is a public company |
| 144/A | An amendment to a filing for proposed sale of securities under Rule 144. Note: Form 144 may be filed electronically on a voluntary basis if the issuer of the securities is a public company |

## Table 1-17: Modules and Segments

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| Module | Module Submission |
| Segment | Segment Submission |

## Table 1-18: Single Filer Subject

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| ABS-15G | Asset-backed securities report pursuant to Section 15G |
| ABS-15G/A | Amendment to Asset-backed securities report pursuant to Section 15G |

## Table 1-19: Subject CoReg

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| SC 14N | Information filed by certain nominating shareholders (pursuant to Section 240.14n-1) |
| SC 14N/A | Amendment to information filed by certain nominating shareholders (pursuant to Section 240.14n-2) |
| SC 14N-S | Solicitation in connection with the formation or attempted formation of a Rule 14a-11 nominating shareholder group or solicitation in connection with a Rule 14a-11 nomination |
| SC 14N-S/A | Amendment to solicitation in connection with the formation or attempted formation of a Rule 14a-11 nominating shareholder group or solicitation in connection with a Rule 14a-11 nomination |

## Table 1-20: CoReg Specialized Disclosure

| SUBMISSION TYPE | DESCRIPTION |
|---|---|
| SD | Specialized Disclosure Report |
| SD/A | Amendment to Specialized Disclosure Report |

This specification provides a basis for creating XML submissions without the use of the EDGAR OnlineForms/XML Website. The expectation is that software developers, working on behalf of filers, will construct software that will generate an XML ELO submission that can be successfully parsed by the EDGAR system.

The ELO Submissions should conform to the EDGARLink Online XML Technical Specification, namely, the XML schemas. Refer to XML schemas for detailed information on the common XML constructs of the EDGAR Filing submissions. For specific information about the data content of the ELO submission types, refer to the EDGAR Filer Manual Volume II available on the SEC's Public Website (https://www.sec.gov/info/edgar/edmanuals.htm).

## 1.2     Summary of Changes

In March 2019, the following schemas were added to the schema zip file:

- eis_SingleFiler_SC_Fee.xsd

- eis_Subject.xsd

- eis_Subject_Fee.xsd

- eis_Subject_SC.xsd

- eis_SubjectCoreg.xsd

- eis_SubjectGroup.xsd

- eis_SubjectGroup_Fee.xsd

- eis_SubjectGroup_SC.xsd

## 2. EDGAR SCHEMA FILES

These are the schema files that the EDGAR system uses to validate ELO submissions. They are considered part of this specification and are distributed with this document.

**Table 2-1: XML Schema Files**

| XML Schema File | Scope of File |
| --- | --- |
| eis_Common.xsd | All EDGAR submissions |
| eis_Common_Fee.xsd | Fee Bearing EDGAR Submission |
| eis_Common_SC.xsd | Series And Class Edgar Submissions |
| eis_SingleFiler.xsd | All EDGAR Submissions |
| | |
| eis_SingleFiler.xsd | EDGAR Single Filer submissions |
| eis_SingleFiler_SC.xsd | EDGAR Single Filer Series and Class submissions |
| eis_SingleFiler_SC_Fee.xsd | EDGAR Single Filer Series and Class Fee bearing submissions |
| eis_Subject.xsd | EDGAR Subject submissions |
| eis_Subject_Fee.xsd | EDGAR Fee bearing Subject submissions |
| eis_Subject_SC.xsd | EDGAR Subject Series and Class submissions |
| eis_SubjectGroup.xsd | EDGAR Subject Group submission |
| eis_SubjectGroup_Fee.xsd | EDGAR Subject Group Fee Submission |
| eis_SubjectGroup_SC.xsd | EDGAR Subject Group Series and Class Submission |
| | |
| eis_CoReg.xsd | EDGAR Co Reg Submission |
| eis_CoReg_Fee.xsd | EDGAR Co Reg Fee bearing Submission |
| eis_CoReg_SC.xsd | EDGAR Co Reg Series and Class Submission |
| eis_CoReg_SC_Fee.xsd | EDGAR Co Reg Series and Class Fee bearing Submissions |
| eis_CoReg_Serial.xsd | EDGAR CoReg Serial Submission |
| eis_BulkFiling.xsd | EDGAR ALL Submissions in BULK |
| eis_Corresp.xsd | EDGAR Correspondence Submission |
| eis_ModulesSegments.xsd | EDGAR Modules and Segments Submission |
| eis_Ownership.xsd | EDGAR Ownership Submission |
| eis_SubjectCoreg.xsd | EDGAR Subject CoReg Submission |
| eis_stateCodes.xsd | All State Codes |
| eis_ABS_15GFiler.xsd | EDGAR Single Filer Subject Company Submission |
| eis_SD_Filer.xsd | EDGAR CoReg Specialized Disclosure Submission |

These files define the valid data elements for an ELO submission, the hierarchy and sequencing of these elements, data types, valid values, maximum lengths, number of occurrences, etc.

It is recommended that you download these files and use them for your own validation prior to submitting a filing. This will greatly reduce the likelihood of receiving an EDGAR Suspense 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 Reporting Owner Central Index Key (CIK)/ CIK Confirmation Code (CCC) pair is valid.

## 2.1    Key Schema Indicators

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 ELO submission schema files. These are:

**Table 2-2: Frequently Used Schema Language Features**

| 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 Sections 3.4.1.1 through 3.4.21 |
| \<choice> | Specifies that either one child element or another can occur |
| \<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> indicators are 1. An optional field will have a \<minOccurs> value of zero.

Below is an example of the \<sequence>, \<choice>, \<minOccurs>, \<maxOccurs> indicators for the ownershipDocumentCommon.xsd schema:

```
<xs:complexType name="UNDERLYING_SECURITY">
  <xs:sequence>
    <xs:element name="underlyingSecurityTitle" type="SECURITY_TITLE"/>
    <xs:choice>
      <xs:element name="underlyingSecurityShares" type="OPT_NUMBER_WITH_FOOTNOTE" minOccurs="0"/>
      <xs:element name="underlyingSecurityValue"  type="OPT_NUMBER_WITH_FOOTNOTE" minOccurs="0"/>
    </xs:choice>
  </xs:sequence>
</xs:complexType>
<xs:complexType name="NUMBER_WITH_FOOTNOTE">
  <xs:sequence>
    <xs:element name="value" type="xs:decimal"  minOccurs="0"/>
    <xs:element name="footnoteId" type="FOOTNOTE_ID" minOccurs="0" maxOccurs="99"/>
  </xs:sequence>
</xs:complexType>
```

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

```xml
<underlyingSecurity>
  <underlyingSecurityTitle>
    <value>Underlying Title</value>
  </underlyingSecurityTitle>
  <underlyingSecurityShares>
    <value>123000</value>
    <footnoteId id="F1"/>
    <footnoteId id="F2"/>
    <footnoteId id="F4"/>
  </underlyingSecurityShares>
</underlyingSecurity>
```

# 3. XML SCHEMAS

This section summarizes the restrictions and constraints imposed on the content of the ELO 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 defines the columns in the two schema summation tables provided in Sections 3.4.1.1 through 3.4.21:

**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 3.2 for a detailed description. |
| Element Name | Name of the XML element. This is case-sensitive |
| Max Length | Maximum length for string 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 in the tables in Sections 3.4.1.1 through 3.4.21 will be one of these values:

**Table 3-2: Data Type Definitions for the Tables in Section 3-4**

| Data Type | Constraints |
|---|---|
| Boolean | Indicate a "true" value with either a "1" or the word "true." <br> Indicate a "false" value with either a "0" or the word "false." <br> 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. |
| decimal | Only valid characters are 0-9 and a period. Cannot contain commas, a minus sign, a dollar sign, or parentheses. EDGAR stores up to four decimal places. <br> 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. <br> Minimum allowable value = 0.0 <br> Maximum allowable value = 999999999999.9999 |
| string | Should be no longer than the length shown in the tables in Sections 3.4.1.1 through 3.4.21. <br> EDGAR stores values in the <footnote>, <signatureName>, and <contactEmailAddress> elements exactly as provided. All other values are stored in the database as uppercase. <br> You must use special escape sequences to represent these four characters: <br><br> For the < character use the escape sequence "&lt;" or "&#60;". <br> For the > character use the escape sequence "&gt;" or "&#62;". <br> For the & character use the escape sequence "&amp;" or "&#38;". <br> For the " character use the escape sequence "&quot;" or "&#34;". |
| ID, IDREF | Used for linking footnotes to data fields. Must start with a capital "F," which must be followed by a number from 1 to 99 |
| 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. |

## 3.3    Applicability of Schema Elements

Each entry in the submission/document type columns in the tables in Sections 3.4.1.1 through 3.4.21 will have one of these values:

**Table 3-3: Submission/Document Type Definitions for the Tables in Section 3-4**

| 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 | Mandatory for NPORT-EX and NPORT-EX/A form type |
| o | Optional |
| 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 ELO Submission Schemas to Submission Types

### 3.4.1.1 Mapping of ELO Single Filer Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | ANNLRPT | ANNLRPT/A | DSTRBRPT | DSTRBRPT/A | N-54A | N-54A/A | N-54C | N-54C/A | N-6F | F/A6-N | N-8A | N-8A/A | QRTLYRPT | QRTLYRPT/A | SDR-CCO | SDR-CCO/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | NV | flag | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | Date | startPeriod | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | o |
| 2 | 7 | Date | endPeriod | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | o |
| 2 | 8 | String | briefDescription | 1000 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | ANNLRPT | ANNLRPT/A | DSTRBRPT | DSTRBRPT/A | N-54A | N-54A/A | N-54C | N-54C/A | N-6F | F/A6-N | N-8A | N-8A/A | QRTLYRPT | QRTLYRPT/A | SDR-CCO | SDR-CCO/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 9 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 10 | String | accessionNumber | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 11 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 12 | Date | periodOfReport | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 13 | YEAR_ | calendarYearEnd | 4 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 14 | String | description | 256 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 15 | NV | notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 16 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | ANNLRPT | ANNLRPT/A | DSTRBRPT | DSTRBRPT/A | N-54A | N-54A/A | N-54C | N-54C/A | N-6F | F/A6-N | N-8A | N-8A/A | QRTLYRPT | QRTLYRPT/A | SDR-CCO | SDR-CCO/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 4 | String | ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 13 | NV | documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m | m | m | m | NA | NA |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | NA | NA |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | NA | NA |
| 4 | 3 | String | description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA |
| 4 | 4 | String | contents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | NA | NA |
| 2 | 14 | NV | documentsConfidential | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m | m |
| 3 | 1 | NV | document | | | Unlimited | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m | m |
| 4 | 1 | String | conformedName | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m | m |
| 4 | 3 | String | description | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | o |
| 4 | 4 | String | contents | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m | m |
| 4 | 5 | Boolean | confidentiality | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | o |

## 3.4.1.2    Mapping of ELO Single Filer Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SH-ER | SH-ER/A | SH-NT | SH-NT/A | N-PX-NT | N-PX-NT/A | N-PX-VR | N-PX-VR/A | N-PX-CR | N-PX-CR/A | NRSRO-UPD | NRSRO-CE | NRSRO-CE/A | NRSRO-WCLS | NRSRO-WREG | NRSRO-FR | NRSRO-FR/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | NV | flag | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | Date | startPeriod | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 7 | Date | endPeriod | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 8 | String | briefDescription | 1000 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 9 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SH-ER | SH-ER/A | SH-NT | SH-NT/A | N-PX-NT | N-PX-NT/A | N-PX-VR | N-PX-VR/A | N-PX-CR | N-PX-CR/A | NRSRO-UPD | NRSRO-CE | NRSRO-CE/A | NRSRO-WCLS | NRSRO-WREG | NRSRO-FR | NRSRO-FR/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | m# | m# | m# | m# | m# | m# | m# |
| 2 | 10 | String | accessionNumber | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 11 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | NA | NA | NA | NA | NA | NA | NA |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m | NA | NA | NA | NA | NA | NA | NA |
| 2 | 12 | Date | periodOfReport | | | 1 | o | o | o | o | o | o | o | o | o | o | NA | NA | NA | NA | NA | m | m |
| 2 | 13 | YEAR_ | calendarYearEnd | 4 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m | m | NA | NA | NA | NA |
| 2 | 14 | String | description | 256 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | o | o | o | o | o | o |
| 2 | 15 | NV | notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 16 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SH-ER | SH-ER/A | SH-NT | SH-NT/A | N-PX-NT | N-PX-NT/A | N-PX-VR | N-PX-VR/A | N-PX-CR | N-PX-CR/A | NRSRO-UPD | NRSRO-CE | NRSRO-CE/A | NRSRO-WCLS | NRSRO-WREG | NRSRO-FR | NRSRO-FR/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 13 | NV | documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 3 | String | description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | contents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 14 | NV | documentsConfidential | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 3 | 1 | NV | document | | | Unlimited | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 4 | 1 | String | conformedName | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 4 | 3 | String | description | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 4 | 4 | String | contents | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 4 | 5 | Boolean | confidentiality | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |

### 3.4.2 Mapping of ELO Single Filer SC Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 497K | N-PX | N-PX/A | N-PX-FM | N-PX-FM/A | N-CR | N-CR/A | NT-NCEN | NT-NCEN/A | NPORT-EX | NPORT-EX/A | N-LIQUID | N-LIQUID/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | NV | flag | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | String | contactEmail | 80 | | 1 | NA | NA | NA | NA | NA | o | o | m | m | m | m | o | o |
| 2 | 7 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | o | o | o | o | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | m | m | m | m | m#1 | m#1 |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 497K | N-PX | N-PX/A | N-PX-FM | N-PX-FM/A | N-CR | N-CR/A | NT-NCEN | NT-NCEN/A | NPORT-EX | NPORT-EX/A | N-LIQUID | N-LIQUID/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 8 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 9 | Date | periodOfReport | | | 1 | NA | m | m | m | m | m | m | m | m | m | m | NA | NA |
| 2 | 10 | String | invCompany | | INV_COMPANY_TYPE | 1 | m | m | m | m | m | m#1 | m#1 | o | o | o | o | m | m |
| 2 | 11 | NV | notifications | | | 1 | o | o | o | o | o | o | o | m# | m# | m# | m# | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | o | o | o | o | o | o |
| 2 | 12 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | m# | m# | m# | m# | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | o | o |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | o | o |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | o | o | o | o | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | m# | m# |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o | o | o | m# | m# | m# | m# | m# | m# |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m | m | m | m | m# | m# |
| 2 | 13 | NV | Documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 497K | N-PX | N-PX/A | N-PX-FM | N-PX-FM/A | N-CR | N-CR/A | NT-NCEN | NT-NCEN/A | NPORT-EX | NPORT-EX/A | N-LIQUID | N-LIQUID/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | o | o | o | o | m | m |
| 4 | 3 | String | Description | 255 | | 1 | o | o | o | o | o | o | o | m | m | m | m | o | o |
| 4 | 4 | String | Contents | | | 1 | m | m | m | m | m | m | m | o | o | o | o | m | m |
| 2 | 14 | NV | seriesClasses | | | 1 | m | o | o | o | o | m | m | m# | m# | m# | m# | m# | m# |
| 3 | 1 | NV | reportSeriesClass | | | 1 | m | m# | m# | m# | m# | m | m | m# | m# | m# | m# | m# | m# |
| 4 | 1 | Boolean | rptIncludeAllSeriesFlag | | "true" or "false" | 1 | m | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | NA | NA |
| 4 | 2 | NV | rptSeriesClassInfo | | | Unlimited | m | m# | m# | m# | m# | m | m | m# | m# | m# | m# | m# | m# |
| 5 | 1 | String | seriesId | 10 | | 1 | m | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | Boolean | includeAllClassesFlag | | "true" or "false" | 1 | m | m# | m# | m# | m# | m | m | m# | m# | m# | m# | m# | m# |
| 5 | 3 | String | classId | 10 | | Unlimited | m | m# | m# | m# | m# | m | m | o | o | o | o | m# | m# |
| 3 | 2 | NV | reportClass | | | Unlimited | o | o | o | o | o | o | o | m# | m# | m# | m# | m# | m# |
| 4 | 1 | Boolean | rptIncludeAllClassesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | rptClassId | 10 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | NA | NA | m#2 | m#2 | m# | m# |
| 5 | 1 | String | accessionNumber | 20 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 5 | 1 | String | multiAccessionNumbers | | | 999 | NA | NA | NA | NA | NA | NA | NA | NA | NA | m#2 | m#2 | NA | NA |
| 6 | 1 | String | accessionNumber | 20 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | m#2 | m#2 | NA | NA |

### 3.4.3 Mapping of ELO Single Filer SC Fee Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 24F-2NT | 24F-2NT/A |
|-------|-------|-----------|--------------|------------|-------------|-----------|---------|-----------|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m |
| 2 | 3 | NV | Flags | | | 1 | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o |
| 3 | 2 | Boolean | delayingAmendmentFlag | | "true" or "false" | 1 | NA | NA |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o |
| 3 | 4 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o |
| 3 | 5 | Boolean | serialFlag | | "true" or "false" | 1 | NA | NA |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o |
| 2 | 6 | NV | filer | | | 1 | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 24F-2NT | 24F-2NT/A |
|---|---|---|---|---|---|---|---|---|
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o |
| 2 | 7 | NV | sros | | | 1 | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m |
| 2 | 8 | Date | periodOfReport | | | 1 | m | m |
| 2 | 9 | String | invCompany | | INV_COMPANY_TYPE | 1 | m | m |
| 2 | 10 | NV | notifications | | | 1 | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# |
| 2 | 11 | NV | moduleSegments | | | 1 | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# |
| 2 | 12 | NV | Documents | | | 1 | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 24F-2NT | 24F-2NT/A |
|-------|-------|-----------|--------------|------------|-------------|-----------|---------|-----------|
| 4 | 1 | String | conformedName | 32 | | 1 | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m |
| 4 | 3 | String | Description | 255 | | 1 | o | o |
| 4 | 4 | String | Contents | | | 1 | m | m |
| 2 | 13 | NV | seriesClasses | | | 1 | m | m |
| 3 | 1 | NV | reportSeriesClass | | | 1 | m | m |
| 4 | 1 | Boolean | rptIncludeAllSeriesFlag | | "true" or "false" | 1 | m | m |
| 4 | 2 | NV | rptSeriesClassInfo | | | Unlimited | m | m |
| 5 | 1 | String | seriesId | 10 | | 1 | m | m |
| 5 | 2 | Boolean | includeAllClassesFlag | | "true" or "false" | 1 | m | m |
| 5 | 3 | String | classId | 10 | | Unlimited | m | m |
| 3 | 2 | NV | reportClass | | | 1 | o | o |
| 4 | 1 | Boolean | rptIncludeAllClassesFlag | | "true" or "false" | 1 | m | m |
| 4 | 2 | String | rptClassId | 10 | | Unlimited | m | m |
| 2 | 14 | NV | edgarFee | | | 1 | m | m |
| 3 | 1 | NV | submissionFee | | | 1 | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 24F-2NT | 24F-2NT/A |
|---|---|---|---|---|---|---|---|---|
| 4 | 1 | NV | feePayorInformation | | | 1 | o | o |
| 5 | 1 | String | filerId | 10 | | 1 | m# | m# |
| 5 | 2 | String | filerCcc | 8 | | 1 | m# | m# |
| 4 | 2 | String | feePaymentMethod | | PAYMENT_METHOD_TYPE | 1 | o | o |
| 4 | 3 | Decimal | feeAmount | 17 | | 1 | m# | m# |
| 4 | 4 | Decimal | feeBasis | 17 | | 1 | o | o |
| 3 | 2 | NV | submissionSalesShares | | | 1 | o | o |
| 4 | 1 | Boolean | salesSharesItemizeFlag | | "true" or "false" | 1 | o | o |
| 4 | 2 | NV | salesSharesInformation | | | Unlimited | m# | m# |
| 5 | 1 | String | saleSharesSeriesOrClassId | 10 | | 1 | o | o |
| 5 | 2 | Decimal | salesSharesSalesProceeds | 17 | | 1 | m# | m# |
| 5 | 3 | Decimal | salesSharesRedeemedValue | 17 | | 1 | o | o |
| 5 | 4 | Decimal | salesSharesNetValue | 17 | | 1 | m# | m# |
| 5 | 5 | Decimal | salesSharesFeeAmount | 17 | | 1 | m# | m# |

### 3.4.4.1 Mapping of ELO CoReg Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 486BXT | 487 | N-1 | N-1/A | AW WD | F-3DPOS | F-4 POS | F-7POS | F-8POS | F-80POS | F-10POS | POS AM | RW WD | S-3DPOS | S-4 POS | S-6 | S-6/A | S-8 POS | T-3 | T-3/A | T-6 | T-6/A | 8-K | 10-K | 6-K |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | NV | flags | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | delayingAmendmentFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 5 | Boolean | serialFlag | | "true" or "false" | 1 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filderId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 486BXT | 487 | N-1 | N-1/A | AW WD | F-3DPOS | F-4 POS | F-7POS | F-8POS | F-80POS | F-10POS | POS AM | RW WD | S-3DPOS | S-4 POS | S-6 | S-6/A | S-8 POS | T-3 | T-3/A | T-6 | T-6/A | 8-K | 10-K | 6-K |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 3 | String | fileNumber | 17 |  | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | Boolean | dutyToFileReportsRemains |  | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 7 | String | sponsorId | 10 |  | 1 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | o | NA |
| 2 | 8 | NV | absAssetClasses |  |  | 1 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | o | NA |
| 3 | 1 | String | absAssetClass |  | ABS_ASSET_CLASS_TYPE | 17 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | m# | NA |
| 2 | 9 | NV | absSubAssetClasses |  |  | 1 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | o | NA |
| 3 | 1 | String | absSubAssetClass |  | ABS_SUB_ASSET_CLASS_TYPE | 16 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m#1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m#1 | m#1 | NA |
| 2 | 10 | NV | coregs |  |  | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | Filer |  |  | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | filerId | 10 |  | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | filerCcc | 8 |  | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | fileNumber | 17 |  | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | Boolean | dutyToFileReportsRemains |  | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | Boolean | emergingGrowthCompanyFlag |  | "true" or "false" | 1 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | m# | NA |
| 4 | 6 | Boolean | exTransitionPeriodFlag |  | "true" or "false" | 1 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m#1 | m#1 | NA |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 486BXT | 487 | N-1 | N-1/A | AW WD | F-3DPOS | F-4 POS | F-7POS | F-8POS | F-80POS | F-10POS | POS AM | RW WD | S-3DPOS | S-4 POS | S-6 | S-6/A | S-8 POS | T-3 | T-3/A | T-6 | T-6/A | 8-K | 10-K | 6-K |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 11 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 9 | String | act | | ACT_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 12 | Date | periodOfReport | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 13 | Date | effectiveDate | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 14 | String | invCompany | | INV_COMPANY_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 15 | NV | items | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | Item | | ITEM_TYPE | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 16 | String | itemSubmissionType | | ITEM_SUBMISSION_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 17 | String | fiscalYear | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 18 | NV | depositor | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | depositorId | 10 | | 1 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | o | NA |
| 3 | 2 | String | depositorFileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 19 | NV | successorCompany | | | 1 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 3 | 1 | String | successorFilingFlag | | "Y" or "N" | 1 | m# | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 486BXT | 487 | N-1 | N-1/A | AW WD | F-3DPOS | F-4 POS | F-7POS | F-8POS | F-80POS | F-10POS | POS AM | RW WD | S-3DPOS | S-4 POS | S-6 | S-6/A | S-8 POS | T-3 | T-3/A | T-6 | T-6/A | 8-K | 10-K | 6-K |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 2 | String | successorFileNumber | 17 | | 1 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 20 | NV | subCompanyFiler | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | String | irsNumber | 9 | | 1 | o | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 4 | String | Filername | 150 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 5 | String | groupName | 150 | | 1 | o | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 21 | Boolean | shellCompanyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 22 | Boolean | voluntaryFilerFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 23 | Boolean | wellKnownSeasonedIssuerFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 24 | Boolean | emergingGrowthCompanyFlag | | "true" or "false" | 1 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m | m | NA |
| 2 | 25 | Boolean | exTransitionPeriodFlag | | "true" or "false" | 1 | o | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m#1 | m#1 | NA |
| 2 | 26 | String | acceleratedFilerStatus | | [ACCELERATED_STATUS_TYPE] | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 27 | Boolean | smallBusinessFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 486BXT | 487 | N-1 | N-1/A | AW WD | F-3DPOS | F-4 POS | F-7POS | F-8POS | F-80POS | F-10POS | POS AM | RW WD | S-3DPOS | S-4 POS | S-6 | S-6/A | S-8 POS | T-3 | T-3/A | T-6 | T-6/A | 8-K | 10-K | 6-K |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 28 | NV | references | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | references_429 | 17 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 29 | NV | Notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 30 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 31 | NV | Documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 3 | String | Description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 486BXT | 487 | N-1 | N-1/A | AW WD | F-3DPOS | F-4 POS | F-7POS | F-8POS | F-80POS | F-10POS | POS AM | RW WD | S-3DPOS | S-4 POS | S-6 | S-6/A | S-8 POS | T-3 | T-3/A | T-6 | T-6/A | 8-K | 10-K | 6-K |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 4 | String | Contents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |

### 3.4.4.2 Mapping of ELO CoReg Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 1-A-W | 1-A-W/A | 253G1 | 253G2 | 253G3 | 253G4 | 1-U | 1-U/A | 1-SA | 1-SA/A | 1-Z-W | 1-Z-W/A | DOSLTR | 10-D | 10-D/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | NV | flags | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | delayingAmendmentFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | NA | o | o |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | NA | o | o |
| 3 | 4 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 5 | Boolean | serialFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 1-A-W | 1-A-W/A | 253G1 | 253G2 | 253G3 | 253G4 | 1-U | 1-U/A | 1-SA | 1-SA/A | 1-Z-W | 1-Z-W/A | DOSLTR | 10-D | 10-D/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 3 | String | fileNumber | 17 | | 1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | NA | m#1 | m#1 |
| 3 | 4 | Boolean | dutyToFileReportsRemains | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | NA |
| 2 | 7 | String | sponsorId | 10 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | NA | NA | m | m |
| 2 | 8 | NV | absAssetClasses | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | NA | NA | m | m |
| 3 | 1 | String | absAssetClass | | ABS_ASSET_CLASS _TYPE | 17 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | NA | NA | m | m |
| 2 | 9 | NV | absSubAssetClasses | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | NA | NA | NA | NA |
| 3 | 1 | String | absSubAssetClass | | ABS_SUB_ASSET _CLASS_TYPE | 16 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m#1 | NA | NA | NA | NA |
| 2 | 10 | NV | coregs | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | NA | o | o |
| 3 | 1 | NV | Filer | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | NA | m# | m# |
| 4 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | NA | m# | m# |
| 4 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | NA | m# | m# |
| 4 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | NA |
| 4 | 4 | Boolean | dutyToFileReportsRemains | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | NA |
| 4 | 5 | Boolean | emergingGrowthCompanyFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 4 | 6 | Boolean | exTransitionPeriodFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 11 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | NA | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 1-A-W | 1-A-W/A | 253G1 | 253G2 | 253G3 | 253G4 | 1-U | 1-U/A | 1-SA | 1-SA/A | 1-Z-W | 1-Z-W/A | DOSLTR | 10-D | 10-D/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m | m | m | NA | m | m |
| 2 | 12 | String | act | | ACT_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA |
| 2 | 13 | Date | periodOfReport | | | 1 | NA | NA | NA | NA | NA | NA | m | m | m | m | NA | NA | NA | m | m |
| 2 | 14 | Date | effectiveDate | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | m | NA | NA |
| 2 | 15 | String | accessionNumber | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m |
| 2 | 16 | String | invCompany | | INV_COMPANY_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | NA |
| 2 | 17 | NV | itemsType2 | | | 1 | NA | NA | NA | NA | NA | NA | m | m | NA | NA | NA | NA | NA | NA | NA |
| 3 | 1 | String | itemType2 | | ITEM_TYPE_2 | 10 | NA | NA | NA | NA | NA | NA | m | m | NA | NA | NA | NA | NA | NA | NA |
| 2 | 18 | String | itemSubmissionType | | ITEM_SUBMISSION_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | NA |
| 2 | 19 | String | fiscalYear | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | NA |
| 2 | 20 | NV | depositor | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | NA | m | m |
| 3 | 1 | String | depositorId | 10 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | o | NA | NA | m | m |
| 3 | 2 | String | depositorFileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | NA |
| 2 | 21 | NV | successorCompany | | | 1 | NA | NA | NA | NA | NA | NA | o | o | o | o | NA | NA | NA | NA | NA |
| 3 | 1 | String | successorFilingFlag | | "yes" or "no" | 1 | NA | NA | NA | NA | NA | NA | m# | m# | m# | m# | NA | NA | NA | NA | NA |
| 3 | 2 | | successorFileNumber | 17 | | 1 | NA | NA | NA | NA | NA | NA | m#1 | m#1 | m#1 | m#1 | NA | NA | NA | NA | NA |
| 2 | 22 | NV | subCompanyFiler | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 3 | 1 | String | filerId | 10 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 1-A-W | 1-A-W/A | 253G1 | 253G2 | 253G3 | 253G4 | 1-U | 1-U/A | 1-SA | 1-SA/A | 1-Z-W | 1-Z-W/A | DOSLTR | 10-D | 10-D/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 2 | String | irsNumber | 9 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 3 | 3 | String | fileNumber | 17 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 3 | 4 | String | Filername | 150 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 3 | 5 | String | groupName | 150 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 22 | Boolean | shellCompanyFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 23 | Boolean | voluntaryFilerFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 24 | Boolean | wellKnownSeasonedIssuerFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 25 | Boolean | emergingGrowthCompanyFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 26 | Boolean | exTransitionPeriodFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 27 | String | acceleratedFilerStatus | | ACCELERATED_STATUS_TYPE | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 28 | Boolean | smallBusinessFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 29 | Boolean | isComboSubmission | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m | m |
| 2 | 30 | NV | abseeElements | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | m# |
| 3 | 1 | Date | abseeStartPeriod | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | m# |
| 3 | 2 | Date | abseeEndPeriod | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | m# |
| 3 | 3 | String | abseeFileNumber | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | m# |
| 3 | 4 | NV | abseeCoregs | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | m# |
| 4 | 1 | NV | filer | | | unlimited | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 1-A-W | 1-A-W/A | 253G1 | 253G2 | 253G3 | 253G4 | 1-U | 1-U/A | 1-SA | 1-SA/A | 1-Z-W | 1-Z-W/A | DOSLTR | 10-D | 10-D/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 5 | 1 | String | filerId | 10 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | m# |
| 5 | 2 | String | filerCcc | 8 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | m# |
| 5 | 3 | String | fileNumber | 17 | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | m# |
| 5 | 4 | Boolean | dutyToFileReportsRemains | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 5 | 5 | Boolean | emergingGrowthCompanyFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 5 | 6 | Boolean | exTransitionPeriodFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 3 | 5 | String | abseeAccessionNumber | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# |
| 2 | 31 | NV | references | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 3 | 1 | String | references_429 | 17 | | Unlimited | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 32 | NV | Notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 33 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | o | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 1-A-W | 1-A-W/A | 253G1 | 253G2 | 253G3 | 253G4 | 1-U | 1-U/A | 1-SA | 1-SA/A | 1-Z-W | 1-Z-W/A | DOSLTR | 10-D | 10-D/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 34 | NV | Documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 3 | String | relatedFormType | | RELATED_FORM_TYPE | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m# | m# |
| 4 | 4 | String | Description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | Contents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |

### 3.4.5.1 Mapping of ELO CoReg Fee Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | F-1 | F-1MEF | F-1/A | N-14 8C | F-10 | F-10/A | F-10EF | F-3 | F-3/A | F-3ASR | F-3D | F-3MEF | F-4 | F-4/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | Boolean | flags | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | delayingAmendmentFlag | | "true" or "false" | | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | F-1 | F-1MEF | F-1/A | N-14 8C | F-10 | F-10/A | F-10EF | F-3 | F-3/A | F-3ASR | F-3D | F-3MEF | F-4 | F-4/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 4 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 4 | String | filerFormType | | COMBO_FORM_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 7 | NV | Coregs | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | Filer | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | filerFormType | | COMBO_FORM_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | Boolean | emergingGrowthCompanyFlag | | "true" or "false" | 1 | m# | NA | m# | NA | NA | NA | NA | m# | m# | NA | NA | NA | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | F-1 | F-1MEF | F-1/A | N-14 8C | F-10 | F-10/A | F-10EF | F-3 | F-3/A | F-3ASR | F-3D | F-3MEF | F-4 | F-4/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 6 | Boolean | exTransitionPeriodFlag | | "true" or "false" | 1 | m#1 | NA | m#1 | NA | NA | NA | NA | m#1 | m#1 | NA | NA | NA | m#1 | m#1 |
| 2 | 8 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 9 | Boolean | smallBusinessFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 10 | NV | invCompany | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | investCompany | | INV_COMPANY_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | NV | investmentCompany | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | Boolean | isImCompany | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 2 | String | invCompanyType | | INV_COMPANY_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 11 | Boolean | emergingGrowthCompanyFlag | | "true" or "false" | 1 | m | NA | m | NA | NA | NA | NA | m | m | NA | NA | NA | m | m |
| 2 | 12 | Boolean | exTransitionPeriodFlag | | "true" or "false" | 1 | m#1 | NA | m#1 | NA | NA | NA | NA | m#1 | m#1 | NA | NA | NA | m#1 | m#1 |
| 2 | 13 | NV | References | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | references_429 | 17 | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | references_462b | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 14 | Date | effectiveDate | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 15 | String | Act | | ACT_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | F-1 | F-1MEF | F-1/A | N-14 8C | F-10 | F-10/A | F-10EF | F-3 | F-3/A | F-3ASR | F-3D | F-3MEF | F-4 | F-4/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 16 | NV | Notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 17 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 18 | NV | Documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | String | Contents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 19 | NV | edgarFee | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | submissionFee | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | F-1 | F-1MEF | F-1/A | N-14 8C | F-10 | F-10/A | F-10EF | F-3 | F-3/A | F-3ASR | F-3D | F-3MEF | F-4 | F-4/A |
|-------|-------|-----------|--------------|------------|-------------|-----------|-----|--------|-------|---------|------|--------|--------|-----|-------|--------|------|--------|-----|-------|
| 4 | 1 | NV | feePayorInformation | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 5 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | feePaymentMethod | | PAYMENT_METHOD_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | Decimal | feeAmount | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 4 | Decimal | feeBasis | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | NV | submissionOffering | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | feeOfferingTypeOfPayment | | PAYMENT_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 2 | String | feeOfferingSecurityName | | SECURITY_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | Decimal | feeOfferingShares | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | Decimal | feeOfferingAmountPerShare | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | Decimal | feeOfferingAggregatePrice | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | NV | submissionOffset | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | offsetCik | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | offsetFormType | | SUBMISSION_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | String | offsetFileNumber | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 4 | Date | offsetFilingDate | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 5 | Decimal | offsetAmount | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

### 3.4.5.2    Mapping of ELO CoReg Fee Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | F-4EF | F-4MEF | F-7 | N-7/A | F-8 | F-8/A | F-80 | F-80/A | N-148C/A | N-14MEF | N-2 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | Boolean | flags | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | delayingAmendmentFlag | | "true" or "false" | | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | m | m | m | m | m | m | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | F-4EF | F-4MEF | F-7 | N-7/A | F-8 | F-8/A | F-80 | F-80/A | N-148C/A | N-14MEF | N-2 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 4 | String | filerFormType | | COMBO_FORM_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 7 | NV | Coregs | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | Filer | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | filerFormType | | COMBO_FORM_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | Boolean | emergingGrowthCompanyFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 4 | 6 | Boolean | exTransitionPeriodFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 8 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 9 | Boolean | smallBusinessFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 10 | NV | invCompany | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | investCompany | | INV_COMPANY_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | NV | investmentCompany | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | Boolean | isImCompany | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | F-4EF | F-4MEF | F-7 | N-7/A | F-8 | F-8/A | F-80 | F-80/A | N-148C/A | N-14MEF | N-2 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 2 | String | invCompanyType | | INV_COMPANY_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 11 | Boolean | emergingGrowthCompanyFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 12 | Boolean | exTransitionPeriodFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA |
| 2 | 13 | NV | References | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | references_429 | 17 | | Unlimited | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | references_462b | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 14 | Date | effectiveDate | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 15 | String | Act | | ACT_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 16 | NV | Notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 17 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | F-4EF | F-4MEF | F-7 | N-7/A | F-8 | F-8/A | F-80 | F-80/A | N-148C/A | N-14MEF | N-2 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 18 | NV | Documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | string | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | String | Contents | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 19 | NV | edgarFee | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | submissionFee | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | NV | feePayorInformation | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 5 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | feePaymentMethod | | PAYMENT_METHOD_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | Decimal | feeAmount | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 4 | Decimal | feeBasis | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | NV | submissionOffering | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | feeOfferingTypeOfPayment | | PAYMENT_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 2 | String | feeOfferingSecurityName | | SECURITY_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | Decimal | feeOfferingShares | | | 1 | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | F-4EF | F-4MEF | F-7 | N-7/A | F-8 | F-8/A | F-80 | F-80/A | N-148C/A | N-14MEF | N-2 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 4 | Decimal | feeOfferingAmountPerShare | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | Decimal | feeOfferingAggregatePrice | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | NV | submissionOffset | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | offsetCik | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | offsetFormType | | SUBMISSION_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | String | offsetFileNumber | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 4 | Date | offsetFilingDate | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 5 | Decimal | offsetAmount | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

### 3.4.5.3 Mapping of ELO CoReg Fee Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-2/A | N-2MEF | N-5 | N-5/A | POSASR | S-1 | S-1/A | S-11 | S-11/A | S-11MEF | S-1MEF | S-20 | S-20/A | S-3 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | Boolean | flags | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | delayingAmendmentFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-2/A | N-2MEF | N-5 | N-5/A | POSASR | S-1 | S-1/A | S-11 | S-11/A | S-11MEF | S-1MEF | S-20 | S-20/A | S-3 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 4 | String | filerFormType | | COMBO_FORM_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 7 | NV | Coregs | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | Filer | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | filerFormType | | COMBO_FORM_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | Boolean | emergingGrowthCompanyFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | m# | m# | m# | m# | NA | NA | NA | NA | m# |
| 4 | 6 | Boolean | exTransitionPeriodFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | m# 1 | m# 1 | m# 1 | m# 1 | NA | NA | NA | NA | m# 1 |
| 2 | 8 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 9 | Boolean | smallBusinessFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 10 | NV | invCompany | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | investCompany | | INV_COMPANY_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | NV | investmentCompany | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | Boolean | isImCompany | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-2/A | N-2MEF | N-5 | N-5/A | POSASR | S-1 | S-1/A | S-11 | S-11/A | S-11MEF | S-1MEF | S-20 | S-20/A | S-3 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 2 | String | invCompanyType | | INV_COMPANY_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 11 | Boolean | emergingGrowthCompanyFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | m | m | m | m | NA | NA | NA | NA | m |
| 2 | 12 | Boolean | exTransitionPeriodFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | m#1 | m#1 | m#1 | m#1 | NA | NA | NA | NA | m#1 |
| 2 | 13 | NV | References | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | references_429 | 17 | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | references_462b | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 14 | Date | effectiveDate | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 15 | String | Act | | ACT_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 16 | NV | Notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 17 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-2/A | N-2MEF | N-5 | N-5/A | POSASR | S-1 | S-1/A | S-11 | S-11/A | S-11MEF | S-1MEF | S-20 | S-20/A | S-3 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 18 | NV | Documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | string | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | String | Contents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 19 | NV | edgarFee | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | submissionFee | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | NV | feePayorInformation | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 5 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | feePaymentMethod | | PAYMENT_METHOD_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | Decimal | feeAmount | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 4 | Decimal | feeBasis | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | NV | submissionOffering | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | feeOfferingTypeOfPayment | | PAYMENT_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 2 | String | feeOfferingSecurityName | | SECURITY_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | Decimal | feeOfferingShares | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-2/A | N-2MEF | N-5 | N-5/A | POSASR | S-1 | S-1/A | S-11 | S-11/A | S-11MEF | S-1MEF | S-20 | S-20/A | S-3 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 4 | Decimal | feeOfferingAmountPerShare | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | Decimal | feeOfferingAggregatePrice | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | NV | submissionOffset | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | offsetCik | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | offsetFormType | | SUBMISSION_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | String | offsetFileNumber | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 4 | Date | offsetFilingDate | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 5 | Decimal | offsetAmount | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

### 3.4.5.4 Mapping of ELO CoReg Fee Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | S-3/A | S-3ASR | S-3D | S-3MEF | S-4 | S-4/A | S-4EF | S-4MEF | S-8 | S-B | S-B/A | S-BMEF |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | Boolean | flags | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | delayingAmendment | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | S-3/A | S-3ASR | S-3D | S-3MEF | S-4 | S-4/A | S-4EF | S-4MEF | S-8 | S-B | S-B/A | S-BMEF |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 4 | String | filerFormType | | COMBO_FORM_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 7 | NV | Coregs | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | Filer | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | filerFormType | | COMBO_FORM_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | S-3/A | S-3ASR | S-3D | S-3MEF | S-4 | S-4/A | S-4EF | S-4MEF | S-8 | S-B | S-B/A | S-BMEF |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 5 | Boolean | emergingGrowthCompanyFlag | | "true" or "false" | 1 | m# | NA | NA | NA | m# | m# | NA | NA | m# | NA | NA | NA |
| 4 | 6 | Boolean | exTransitionPeriodFlag | | "true" or "false" | 1 | m#1 | NA | NA | NA | m#1 | m#1 | NA | NA | m#1 | NA | NA | NA |
| 2 | 8 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 9 | Boolean | smallBusinessFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 10 | NV | invCompany | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | investCompany | | INV_COMPANY_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | NV | investmentCompany | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | Boolean | isImCompany | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 2 | String | invCompanyType | | INV_COMPANY_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 11 | Boolean | emergingGrowthCompanyFlag | | "true" or "false" | 1 | m | NA | NA | NA | m | m | NA | NA | m | NA | NA | NA |
| 2 | 12 | Boolean | exTransitionPeriodFlag | | "true" or "false" | 1 | m#1 | NA | NA | NA | m#1 | m#1 | NA | NA | m#1 | NA | NA | NA |
| 2 | 13 | NV | References | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | references_429 | 17 | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | references_462b | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 14 | Date | effectiveDate | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | S-3/A | S-3ASR | S-3D | S-3MEF | S-4 | S-4/A | S-4EF | S-4MEF | S-8 | S-B | S-B/A | S-BMEF |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 15 | String | Act | | ACT_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 16 | NV | Notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 17 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 18 | NV | Documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | string | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | String | Contents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 19 | NV | edgarFee | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | S-3/A | S-3ASR | S-3D | S-3MEF | S-4 | S-4/A | S-4EF | S-4MEF | S-8 | S-B | S-B/A | S-BMEF |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 1 | NV | submissionFee | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | NV | feePayorInformation | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 5 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | feePaymentMethod | | PAYMENT_METHOD_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | Decimal | feeAmount | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 4 | Decimal | feeBasis | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | NV | submissionOffering | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | feeOfferingTypeOfPayment | | PAYMENT_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 2 | String | feeOfferingSecurityName | | SECURITY_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | Decimal | feeOfferingShares | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | Decimal | feeOfferingAmountPerShare | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | Decimal | feeOfferingAggregatePrice | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | NV | submissionOffset | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | offsetCik | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | offsetFormType | | SUBMISSION_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | String | offsetFileNumber | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 4 | Date | offsetFilingDate | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | S-3/A | S-3ASR | S-3D | S-3MEF | S-4 | S-4/A | S-4EF | S-4MEF | S-8 | S-B | S-B/A | S-BMEF |
|-------|-------|-----------|--------------|-----------|-------------|-----------|-------|--------|------|--------|-----|-------|-------|--------|-----|-----|-------|--------|
| 4 | 5 | Decimal | offsetAmount | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

### 3.4.6 Mapping of ELO CoReg SC Fee Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | PREM14A | PREM14C | PRER14A | PRER14C |
|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m |
| 2 | 3 | NV | flags | | | 1 | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | m# | m# | m# | m# |
| 3 | 2 | Boolean | returnCopyFlag | | "true" or "false" | 1 | m# | m# | m# | m# |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | m# | m# | m# | m# |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o |
| 3 | 1 | String | name | 30 | | 1 | m# | m# | m# | m# |
| 3 | 2 | String | phoneNumber | 20 | | 1 | m# | m# | m# | m# |
| 2 | 6 | NV | filer | | | 1 | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | m | m | m | m |
| 2 | 7 | NV | coregs | | | 1 | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | PREM14A | PREM14C | PRER14A | PRER14C |
|-------|-------|-----------|--------------|------------|-------------|-----------|---------|---------|---------|---------|
| 3 | 1 | NV | filer | | | 1 | m# | m# | m# | m# |
| 4 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# |
| 4 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# |
| 4 | 3 | String | fileNumber | 17 | | 1 | m# | m# | m# | m# |
| 2 | 8 | NV | sros | | | 1 | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m |
| 2 | 9 | NV | invCompany | | | 1 | o | o | o | o |
| 3 | 1 | Boolean | isImCompany | | "true" or "false" | 1 | m# | m# | m# | m# |
| 3 | 2 | String | invCompanyType | | INV_COMPANY_TYPE | 1 | m# | m# | m# | m# |
| 2 | 10 | Date | periodOfReport | | | 1 | m | m | NA | NA |
| 2 | 11 | NV | notifications | | | 1 | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# |
| 2 | 12 | NV | moduleSegments | | | 1 | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | o | o | o | o |
| 4 | 1 | String | modOrSegFlag | 10 | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# |
| 4 | 3 | String | cik | 10 | | 1 | o | o | o | o |
| 4 | 4 | String | ccc | 8 | | 1 | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | PREM14A | PREM14C | PRER14A | PRER14C |
|-------|-------|-----------|--------------|------------|-------------|-----------|---------|---------|---------|---------|
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# |
| 2 | 13 | NV | documents | | | 1 | m | m | m | m |
| 3 | 1 | NV | document | | | Unlimited | m | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m |
| 4 | 3 | String | description | 255 | | 1 | o | o | o | o |
| 4 | 4 | String | contents | | | 1 | m | m | m | m |
| 2 | 12 | NV | seriesClass | | | 1 | o | o | o | o |
| 3 | 1 | NV | reportSeriesClass | | | 1 | m# | m# | m# | m# |
| 4 | 1 | Boolean | rptIncludeAllSeriesFlag | | | 1 | m# | m# | m# | m# |
| 4 | 2 | NV | rptSeriesClassInfo | | | Unlimited | m# | m# | m# | m# |
| 5 | 1 | String | seriesId | 10 | | 1 | m# | m# | m# | m# |
| 5 | 2 | Boolean | includeAllClassesFlag | | | 1 | m# | m# | m# | m# |
| 5 | 3 | String | classId | 10 | | Unlimited | m# | m# | m# | m# |
| 3 | 2 | NV | reportClass | | | 1 | m# | m# | m# | m# |
| 4 | 1 | Boolean | rptIncludeAllClassesFlag | | "true" or "false" | 1 | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | PREM14A | PREM14C | PRER14A | PRER14C |
|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 2 | String | rptClassId | 10 | | Unlimited | m# | m# | m# | m# |
| 3 | 3 | NV | mergeSeriesClass | | | 1 | m# | m# | m# | m# |
| 4 | 1 | NV | mgrSeriesClass | | | Unlimited | m# | m# | m# | m# |
| 5 | 1 | NV | acquiringInfo | | | 1 | m# | m# | m# | m# |
| 6 | 1 | String | acquiringInvCompanyType | | MERGE_INV_COMPANY_TYPE | 1 | m# | m# | m# | m# |
| 6 | 2 | String | acquiringCik | 10 | | 1 | m# | m# | m# | m# |
| 6 | 3 | String | acquiringSeriesId | 10 | | 1 | o | o | o | o |
| 6 | 4 | String | acquiringClassId | 10 | | 1 | o | o | o | o |
| 5 | 2 | NV | targetInfo | | | 1 | m# | m# | m# | m# |
| 6 | 1 | String | targetInvCompanyType | | MERGE_INV_COMPANY_TYPE | 1 | m# | m# | m# | m# |
| 6 | 2 | String | targetCik | 10 | | 1 | m# | m# | m# | m# |
| 6 | 3 | String | targetIncludeAllSeriesFlag | | "true" or "false" | 1 | o | o | o | o |
| 6 | 4 | NV | targetSeriesClassInfo | | | Unlimited | o | o | o | o |
| 7 | 1 | String | seriesId | 10 | | 1 | m# | m# | m# | m# |
| 7 | 2 | Boolean | includeAllClassesFlag | | "true" or "false" | 1 | m# | m# | m# | m# |
| 7 | 3 | String | classId | 10 | | Unlimited | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | PREM14A | PREM14C | PRER14A | PRER14C |
|---|---|---|---|---|---|---|---|---|---|---|
| 6 | 5 | String | targetClassInfo | | | 1 | o | o | o | o |
| 7 | 1 | Boolean | rptIncludeAllClassesFlag | | | 1 | m# | m# | m# | m# |
| 7 | 2 | String | rptClassId | 10 | | Unlimited | m# | m# | m# | m# |
| 2 | 15 | NV | edgarFee | | | 1 | m | m | m | m |
| 3 | 1 | NV | submissionFee | | | 1 | o | o | o | o |
| 4 | 1 | NV | feePayorInformation | | | 1 | o | o | o | o |
| 5 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# |
| 5 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# |
| 4 | 2 | String | feePaymentMethod | | PAYMENT_METHOD_TYPE | 1 | o | o | o | o |
| 4 | 3 | Decimal | feeAmount | 17 | | 1 | m# | m# | m# | m# |
| 4 | 4 | Decimal | feeBasis | 17 | | 1 | o | o | o | o |
| 3 | 2 | NV | submissionOffering | | | Unlimited | o | o | o | o |
| 4 | 1 | String | feeOfferingTypeOfPayment | | PAYMENT_TYPE | 1 | o | o | o | o |
| 4 | 2 | String | feeOfferingSecurityName | | SECURITY_TYPE | 1 | o | o | o | o |
| 4 | 3 | Decimal | feeOfferingShares | | | 1 | o | o | o | o |
| 4 | 4 | Decimal | feeOfferingAmountPerShare | 17 | | 1 | o | o | o | o |
| 4 | 5 | Decimal | feeOfferingAggregatePrice | 17 | | 1 | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | PREM14A | PREM14C | PRER14A | PRER14C |
|-------|-------|-----------|--------------|------------|-------------|-----------|---------|---------|---------|---------|
| 3 | 3 | Decimal | submissionOffset | | | Unlimited | o | o | o | o |
| 4 | 1 | String | offsetCik | 10 | | 1 | m# | m# | m# | m# |
| 4 | 2 | String | offsetFormType | | SUBMISSION_TYPE | 1 | o | o | o | o |
| 4 | 3 | String | offsetFileNumber | 17 | | 1 | m# | m# | m# | m# |
| 4 | 4 | Date | offsetFilingDate | | | 1 | m# | m# | m# | m# |
| 4 | 5 | Decimal | offsetAmount | 17 | | 1 | m# | m# | m# | m# |

## 3.4.7  Mapping of ELO CoReg Serial Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 424B1 | 424B2 | 424B3 | 424B4 | 424B5 | 424B7 | 424B8 | SF-1 | SF-1/A | SF-3 | SF-3/A | SF-3MEF | 424H | 424H/A | ABS-EE | ABS-EE/A | SF-1MEF |
|-------|-------|-----------|--------------|------------|-------------|-----------|-------|-------|-------|-------|-------|-------|-------|------|--------|------|--------|---------|------|--------|--------|----------|---------|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m | M | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | Boolean | flags | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 424B1 | 424B2 | 424B3 | 424B4 | 424B5 | 424B7 | 424B8 | SF-1 | SF-1/A | SF-3 | SF-3/A | SF-3MEF | 424H | 424H/A | ABS-EE | ABS-EE/A | SF-1MEF |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 3 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | Boolean | delayingAmendmentFlag | | "true" or "false" | 1 | NA | NA | NA | NA | NA | NA | NA | o | NA | o | NA | NA | NA | NA | NA | NA | NA |
| 3 | 5 | Boolean | serialFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | NA | NA | NA | NA | NA | o | NA | NA | NA | NA |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 7 | String | depositorId | 10 | | 1 | o | o | o | o | o | o | o | m | m | m | m | m | m | m | m | m | m |
| 2 | 8 | String | sponsorId | 10 | | 1 | o | o | o | o | o | o | o | m | m | m | m | m | m | m | m | m | m |
| 2 | 9 | NV | absAssetClasses | | | 1 | o | o | o | o | o | o | o | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | absAssetClass | | ABS_ASSET_CLASS _TYPE | 17 | m# | m# | m# | m# | m# | m# | m# | m | m | m | m | m | m | m | m | m | m |
| 2 | 10 | NV | absSubAssetClasses | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 424B1 | 424B2 | 424B3 | 424B4 | 424B5 | 424B7 | 424B8 | SF-1 | SF-1/A | SF-3 | SF-3/A | SF-3MEF | 424H | 424H/A | ABS-EE | ABS-EE/A | SF-1MEF |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 1 | String | absSubAssetClass | | ABS_SUB_ASSET _CLASS_TYPE | 16 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 | m#1 |
| 2 | 11 | Date | startPeriod | | | | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m | m | NA |
| 2 | 12 | Date | endPeriod | | | | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m | m | NA |
| 2 | 13 | String | accessionNumber | 20 | | | NA | NA | NA | NA | NA | NA | NA | m | NA | m | NA | NA | NA | m | NA | m | NA |
| 2 | 14 | NV | coregs | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | filer | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | fileNumber | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 15 | NV | serials | | | 13 | o | o | o | o | o | o | o | NA | NA | NA | NA | NA | o | NA | NA | NA | NA |
| 3 | 1 | String | serialCompanyName | 150 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | NA | NA | NA | NA | NA | m# | NA | NA | NA | NA |
| 2 | 16 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 17 | Boolean | feeTableInProspectusFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 18 | NV | notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 424B1 | 424B2 | 424B3 | 424B4 | 424B5 | 424B7 | 424B8 | SF-1 | SF-1/A | SF-3 | SF-3/A | SF-3MEF | 424H | 424H/A | ABS-EE | ABS-EE/A | SF-1MEF |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 19 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | Boolean | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 20 | NV | references | | | Unlimited 1 | NA | NA | NA | NA | NA | NA | NA | o | o | o | o | o | NA | NA | NA | NA | o |
| 3 | 1 | String | references_429 | | | Unlimited | NA | NA | NA | NA | NA | NA | NA | o | o | o | o | NA | NA | NA | NA | NA | NA |
| 3 | 2 | String | references_462b | | | 1 | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | NA | m | NA | NA | NA | NA | m |
| 2 | 21 | NV | documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 3 | String | description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 424B1 | 424B2 | 424B3 | 424B4 | 424B5 | 424B7 | 424B8 | SF-1 | SF-1/A | SF-3 | SF-3/A | SF-3MEF | 424H | 424H/A | ABS-EE | ABS-EE/A | SF-1MEF |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 4 | String | contents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 22 | NV | edgarFee | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | o |
| 3 | 1 | NV | submissionFee | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | o | m# | m# | NA | NA | m# |
| 4 | 1 | NV | feePayorInformation | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | o |
| 5 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | NA | NA | m# |
| 5 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | NA | NA | m# |
| 4 | 2 | String | feePaymentMethod | | PAYMENT_METHOD_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | o |
| 4 | 3 | Decimal | feeAmount | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m | m# | m# | m# | m | m# | m# | NA | NA | m |
| 4 | 4 | Decimal | feeBasis | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | o |
| 3 | 2 | NV | submissionOffering | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | o | m# | m# | NA | NA | m# |
| 4 | 1 | String | feeOfferingTypeOfPayment | | PAYMENT_TYPE | 1 | o | o | o | o | o | o | o | NA | NA | m | o | NA | o | o | NA | NA | NA |
| 4 | 2 | String | feeOfferingSecurityName | | SECURITY_TYPE | 1 | o | o | o | o | o | o | o | m | o | m# | m# | m | o | o | NA | NA | m |
| 4 | 3 | Decimal | feeOfferingShares | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | o |
| 4 | 4 | Decimal | feeOfferingAmountPerShare | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | o |
| 4 | 5 | Decimal | feeOfferingAggregatePrice | 17 | | 1 | o | o | o | o | o | o | o | m | m# | m# | m# | m | o | o | NA | NA | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 424B1 | 424B2 | 424B3 | 424B4 | 424B5 | 424B7 | 424B8 | SF-1 | SF-1/A | SF-3 | SF-3/A | SF-3MEF | 424H | 424H/A | ABS-EE | ABS-EE/A | SF-1MEF |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 3 | NV | submissionOffset | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | o |
| 4 | 1 | String | offsetCik | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | NA | NA | m# |
| 4 | 2 | String | offsetFormType | | SUBMISSION_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | NA | NA | o |
| 4 | 3 | String | offsetFileNumber | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | NA | NA | m# |
| 4 | 4 | Date | offsetFilingDate | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | NA | NA | m# |
| 4 | 5 | Decimal | offsetAmount | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | NA | NA | m# |

### 3.4.8 Mapping of ELO Subject Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 40-17F1 | 40-17F1/A | 40-17F2 | 40-17F2/A | CB | CB/A | F-N | F-N/A | F-X | F-X/A | N-27D-1 | N-27D-1/A | SC 14F1 | SC 14F1/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | NV | Flag | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | Boolean | returnCopyFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 40-17F1 | 40-17F1/A | 40-17F2 | 40-17F2/A | CB | CB/A | F-N | F-N/A | F-X | F-X/A | N-27D-1 | N-27D-1/A | SC 14F1 | SC 14F1/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | Name | 30 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | String | phoneNumber | 20 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 6 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | Decimal | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | Decimal | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 7 | NV | subCompanyFiler | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | irsNumber | 9 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | String | filerName | 150 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 8 | NV | sros | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 9 | String | periodOfReport | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 10 | String | notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 40-17F1 | 40-17F1/A | 40-17F2 | 40-17F2/A | CB | CB/A | F-N | F-N/A | F-X | F-X/A | N-27D-1 | N-27D-1/A | SC 14F1 | SC 14F1/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 11 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | Decimal | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | Decimal | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 12 | NV | Documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | string | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 3 | String | description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | contents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m |

### 3.4.9 Mapping of ELO Subject SC Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | DEFC14A | DEFC14C | DEFN14A | DFAN14A | DFRN14A | PREC14A | PREC14C | PREN14A | PRRN14A | PX14A6G | PX14A6N |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | Boolean | Flag | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | delayingAmendmentFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 5 | Boolean | serialFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | Name | 30 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | String | phoneNumber | 20 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 6 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | DEFC14A | DEFC14C | DEFN14A | DFAN14A | DFRN14A | PREC14A | PREC14C | PREN14A | PRRN14A | PX14A6G | PX14A6N |
|-------|-------|-----------|--------------|-----------|-------------|-----------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|
| 2 | 7 | NV | subCompanyFiler | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | irsNumber | 9 | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | m |
| 3 | 4 | String | filerName | 150 | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 5 | NV | filerInvCompany | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | Boolean | isImCompany | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | invCompanyType | | INV_COMPANY_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 8 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 9 | String | periodOfReport | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 10 | NV | Notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 11 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 1 | String | modorSegFlag | 1 | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | DEFC14A | DEFC14C | DEFN14A | DFAN14A | DFRN14A | PREC14A | PREC14C | PREN14A | PRRN14A | PX14A6G | PX14A6N |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 12 | NV | Documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | String | conformedName | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Contents | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 13 | NV | seriesClasses | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | reportSeriesClass | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | Boolean | rptIncludeAllSeriesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | NV | rptSeriesClassInfo | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 1 | String | seriesId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | Boolean | includeAllClassesFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 5 | 3 | String | classId | 10 | | Unlimited | o | o | o | o | o | o | o | o | o | o | o |

### 3.4.10 Mapping of ELO Subject Fee Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SC 13E1 | SC 13E1/A | F-6 | F-6/A | F-6EF |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m |
| 2 | 3 | Boolean | flags | | | 1 | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o |
| 3 | 2 | Boolean | delayingAmendmentFlag | | "true" or "false" | 1 | o | o | o | o | o |
| 3 | 2 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o |
| 2 | 6 | String | filer | | | 1 | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m |
| 3 | 4 | String | subCompanyfiler | | | 1 | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SC 13E1 | SC 13E1/A | F-6 | F-6/A | F-6EF |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 7 | NV | subCompanyFiler | | | 1 | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m |
| 3 | 2 | String | irsNumber | 9 | | 1 | o | o | o | o | o |
| 3 | 3 | String | fileNumber | 17 | | 1 | m | m | m | m | m |
| 3 | 4 | String | filerName | 150 | | 1 | m | m | m | m | m |
| 2 | 8 | String | sros | | | 1 | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m |
| 2 | 9 | String | effectiveDate | | | 1 | o | o | o | o | o |
| 2 | 10 | String | Depository | 50 | | 1 | o | o | o | o | o |
| 2 | 11 | String | References | | | 1 | o | o | o | o | o |
| 3 | 1 | String | references_429 | 17 | | Unlimited | m# | m# | m# | m# | m# |
| 2 | 12 | String | Notifications | | | 1 | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# |
| 2 | 13 | NV | moduleSegments | | | 1 | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# |
| 4 | 1 | String | modorSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 8 | | 1 | m# | m# | m# | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SC 13E1 | SC 13E1/A | F-6 | F-6/A | F-6EF |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# |
| 2 | 14 | String | Documents | | | 1 | m | m | m | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m | m | m | m |
| 4 | 1 | string | conformedName | | | 1 | m# | m# | m# | m# | m# |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# |
| 4 | 3 | String | description | 255 | | 1 | o | o | o | o | o |
| 4 | 4 | String | Contents | | | 1 | m# | m# | m# | m# | m# |
| 2 | 15 | NV | edgarFee | | | 1 | o | o | o | o | o |
| 3 | 1 | NV | submissionFee | | | 1 | m# | m# | m# | m# | m# |
| 4 | 1 | NV | feePayorInformation | | | 1 | o | o | o | o | o |
| 5 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# |
| 5 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# |
| 4 | 2 | String | feePaymentMethod | | PAYMENT_METHOD_TYPE | 1 | o | o | o | o | o |
| 4 | 3 | Decimal | feeAmount | 17 | | 1 | m# | m# | m# | m# | m# |
| 4 | 4 | Decimal | feeBasis | 17 | | 1 | o | o | o | o | o |
| 3 | 2 | NV | submissionOffering | | | Unlimited | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SC 13E1 | SC 13E1/A | F-6 | F-6/A | F-6EF |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 1 | String | feeOfferingTypeOfPayment | | PAYMENT_TYPE | 1 | o | o | o | o | o |
| 4 | 2 | String | feeOfferingSecurityName | | SECURITY_TYPE | 1 | o | o | o | o | o |
| 4 | 3 | Decimal | feeOfferingShares | | | 1 | o | o | o | o | o |
| 4 | 4 | Decimal | feeOfferingAmountPerShare | 17 | | 1 | o | o | o | o | o |
| 4 | 5 | Decimal | feeOfferingAggregatePrice | 17 | | 1 | o | o | o | o | o |
| 3 | 3 | NV | submissionOffset | | | Unlimited | o | o | o | o | o |
| 4 | 1 | String | offsetCik | 10 | | 1 | m# | m# | m# | m# | m# |
| 4 | 2 | String | offsetFormType | | SUBMISSION_TYPE | 1 | o | o | o | o | o |
| 4 | 3 | String | offsetFileNumber | 17 | | 1 | m# | m# | m# | m# | m# |
| 4 | 4 | Date | offsetFilingDate | | | 1 | m# | m# | m# | m# | m# |
| 4 | 5 | Decimal | offsetAmount | 17 | | 1 | m# | m# | m# | m# | m# |

### 3.4.11 Mapping of ELO Subject Group Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | FWP | SC 13D | SC 13D/A | SC 13G | SC 13G/A | SC 14D9 | SC 14D9/A | SC TO-C | SC14D9C | SC14D9F | SC14D9F/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | Decimal | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | Boolean | flags | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | Boolean | returnCopyFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | Decimal | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | Decimal | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | Decimal | fileNumber | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | NV | comboFormTypes | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | comboFormType | | COMBO_SUBMISSION_TYPE_1 | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 6 | NV | subCompanyFiler | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | FWP | SC 13D | SC 13D/A | SC 13G | SC 13G/A | SC 14D9 | SC 14D9/A | SC TO-C | SC14D9C | SC14D9F | SC14D9F/A |
|-------|-------|-----------|--------------|------------|-------------|-----------|-----|--------|----------|--------|----------|---------|-----------|---------|---------|---------|-----------|
| 3 | 2 | String | irsNumber | 9 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | String | filerName | 150 | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 5 | String | groupName | 150 | | Unlimited | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 7 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | name | 30 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | String | phoneNumber | 20 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 8 | String | sros | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 9 | Boolean | rule163Flag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 10 | Boolean | rule433Flag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 11 | Boolean | firstFilingIssuingEntityFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 12 | String | depositor | 150 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 13 | NV | notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 14 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | FWP | SC 13D | SC 13D/A | SC 13G | SC 13G/A | SC 14D9 | SC 14D9/A | SC TO-C | SC14D9C | SC14D9F | SC14D9F/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 1 | String | modorSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Ccc | 3 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | 5 | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 15 | NV | documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | Description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Contents | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

### 3.4.12  Mapping of ELO Subject Group SC Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 425 |
|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m |
| 2 | 3 | NV | flag | | | 1 | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 425 |
|---|---|---|---|---|---|---|---|
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or false" | 1 | o |
| 3 | 2 | Boolean | returnCopyFlag | | "true" or false" | 1 | o |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or false" | 1 | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m |
| 2 | 5 | NV | filer | | | 1 | m |
| 3 | 1 | String | filerId | 10 | | 1 | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m |
| 2 | 6 | NV | subCompanyFiler | | | 1 | m |
| 3 | 1 | String | filerId | 10 | | 1 | m |
| 3 | 2 | String | fileNumber | 17 | | 1 | m |
| 3 | 3 | String | filerName | 150 | | 1 | m |
| 3 | 4 | NV | filerInvCompany | | | 1 | m# |
| 4 | 1 | Boolean | isImCompany | | | 1 | m# |
| 4 | 2 | String | invCompanyType | | | 1 | m |
| 3 | 5 | String | groupName | | | Unlimited | m# |
| 2 | 7 | NV | contact | | | 1 | o |
| 3 | 1 | String | Name | 30 | | 1 | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 425 |
|-------|-------|-----------|--------------|------------|-------------|-----------|-----|
| 2 | 8 | String | sros | | | 1 | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m |
| 2 | 9 | Boolean | rule163Flag | | "true" or "false" | 1 | o |
| 2 | 10 | Boolean | rule433Flag | | "true" or "false" | 1 | o |
| 2 | 11 | NV | Notifications | | | 1 | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# |
| 2 | 12 | NV | moduleSegments | | | 1 | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# |
| 4 | 2 | String | nickName | 8 | | 1 | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o |
| 4 | 4 | String | ccc | 8 | | 1 | o |
| 4 | 5 | NV | documentType | | | 1 | m# |
| 2 | 12 | NV | Documents | | | 1 | m |
| 3 | 1 | NV | document | | | Unlimited | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m |
| 4 | 3 | String | description | 255 | | 1 | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 425 |
|---|---|---|---|---|---|---|---|
| 4 | 4 | String | contents | | | 1 | m |
| 2 | 13 | NV | seriesClasses | | | 1 | o |
| 3 | 1 | NV | mgrSeriesClass | | | 1 | o |
| 4 | 1 | NV | acquiringInfo | | | 1 | m |
| 5 | 1 | NV | acquiringInvCompanyType | | | 1 | m |
| 5 | 2 | String | acquiringCik | 10 | | 1 | m |
| 5 | 3 | String | acquiringSeriesId | 150 | | 1 | m# |
| 5 | 4 | String | acquiringClassId | 10 | | 1 | m# |
| 3 | 2 | NV | targetInfo | | | 1 | m |
| 4 | 1 | NV | targetInvCompanyType | | | 1 | m |
| 4 | 2 | String | targetCik | 10 | | 1 | m |
| 4 | 3 | Boolean | targetIncludeAllSeriesFlag | | "true" or "false" | 1 | o |
| 4 | 4 | NV | targetSeriesClassInfo | | | Unlimited | o |
| 5 | 1 | String | seriesId | 10 | | 1 | m |
| 5 | 2 | Boolean | includeAllClassesFlag | | | 1 | m |
| 5 | 3 | String | classId | 10 | | Unlimited | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 425 |
|-------|-------|-----------|--------------|------------|-------------|-----------|-----|
| 4 | 5 | NV | targetClassInfo | | | 1 | o |
| 5 | 1 | Boolean | rptIncludeAllClassesFlag | | "true" or "false" | 1 | m |
| 5 | 2 | String | rptClassId | 10 | | unlimited | m |

### 3.4.13 Mapping of ELO Subject Group Fee Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SC 13E3 | SC 13E3/A | SC TO-I | SC TO-I/A | SC TO-T | SC TO-T/A | SC13E4F | SC13E4F/A | SC14D1F | SC14D1F/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | NV | flag | | | 1 | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or false" | 1 | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | overrideInternetFlag | | "true" or false" | 1 | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | Boolean | returnCopyFlag | | "true" or false" | 1 | o | o | o | o | o | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m |
| 2 | 6 | NV | comboFormTypes | | | 1 | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | comboFormType | | COMBO_SUBMISSION_TYPE | 2 | o | o | o | o | o | o | o | o | o | o |
| 2 | 7 | NV | subCompanyFiler | | | 1 | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | irsNumber | 9 | | 1 | m | m | m | m | m | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SC 13E3 | SC 13E3/A | SC TO-I | SC TO-I/A | SC TO-T | SC TO-T/A | SC13E4F | SC13E4F/A | SC14D1F | SC14D1F/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 2 | String | irsNumber | 7 | | 1 | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | filerName | 150 | | 1 | m | m | m | m | m | m | m | m | m | m |
| 2 | 8 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o |
| 2 | 9 | String | sros | | | 1 | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m |
| 2 | 10 | NV | Notifications | | | 1 | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 11 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | NV | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 12 | NV | Documents | | | 1 | m | m | m | m | m | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SC 13E3 | SC 13E3/A | SC TO-I | SC TO-I/A | SC TO-T | SC TO-T/A | SC13E4F | SC13E4F/A | SC14D1F | SC14D1F/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 1 | NV | Document | | | Unlimited | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m |
| 4 | 3 | String | description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | contents | | | 1 | m | m | m | m | m | m | m | m | m | m |
| 2 | 13 | NV | edgarFee | | | | | | | | | | | | | |
| 3 | 1 | NV | submissionFee | | | 1 | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | NV | feePayorInformation | | | 1 | o | o | o | o | o | o | o | o | o | o |
| 5 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | feePaymentMethod | | PAYMENT_METHOD_TYPE | 1 | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | decimal | feeAmount | 17 | | 1 | m | m | m | m | m | m | m | m | m | m |
| 4 | 4 | decimal | feeBasis | 17 | | 1 | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | NV | submissionOffset | | | Unlimited | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | offsetCik | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | offsetFormType | | SUBMISSION_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | offsetFileNumber | 17 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SC 13E3 | SC 13E3/A | SC TO-I | SC TO-I/A | SC TO-T | SC TO-T/A | SC13E4F | SC13E4F/A | SC14D1F | SC14D1F/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 4 | String | offsetFilingDate | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 5 | decimal | offsetAmount | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

### 3.4.14 Mapping of ELO Correspondence Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | CORRESP |
|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m |
| 2 | 3 | NV | flags | | | 1 | o |
| 3 | 1 | Boolean | returnCopyFlag | | "true" or false" | 1 | o |
| 3 | 2 | Boolean | overrideInternetFlag | | "true" or false" | 1 | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m |
| 2 | 5 | NV | contact | | | 1 | o |
| 3 | 1 | String | name | 30 | | 1 | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o |
| 2 | 6 | NV | filer | | | 1 | m |
| 3 | 1 | String | filerId | 10 | | 1 | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | CORRESP |
|---|---|---|---|---|---|---|---|
| 3 | 2 | String | filerCcc | 8 | | 1 | m |
| 2 | 7 | NV | coregs | | | Unlimited | o |
| 3 | 1 | String | filerId | 10 | | 1 | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m |
| 2 | 8 | NV | notifications | | | 1 | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# |
| 2 | 9 | NV | moduleSegments | | | 1 | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# |
| 4 | 3 | String | cik | 10 | | 1 | o |
| 4 | 4 | String | ccc | 8 | | 1 | o |
| 4 | 5 | NV | documentType | | SUB_DOCUMENT_TYPE | 1 | m# |
| 2 | 10 | NV | documents | | | 1 | m |
| 3 | 1 | NV | document | | | Unlimited | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m |
| 4 | 3 | String | description | 255 | | 1 | o |
| 4 | 4 | String | contents | | | 1 | m |

### 3.4.15  Mapping of ELO Bulk Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | Bulk |
|-------|-------|-----------|--------------|------------|-------------|-----------|------|
| 1 | 1 | NV | edgarBulkSubmission | | | 1 | o |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m |
| 2 | 3 | NV | attachments | | | 1 | m |
| 3 | 1 | NV | attachment | | | Unlimited | m# |
| 4 | 1 | String | submissionName | 32 | | 1 | m# |
| 4 | 2 | String | Description | 255 | | 1 | o |
| 4 | 3 | String | Contents | | | 1 | m# |

### 3.4.16  Mapping of Ownership Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 144 | 144/A |
|-------|-------|-----------|--------------|------------|-------------|-----------|-----|-------|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m |
| 2 | 3 | NV | flag | | | 1 | o | o |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or false" | 1 | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 144 | 144/A |
|---|---|---|---|---|---|---|---|---|
| 3 | 4 | Boolean | returnCopyFlag | | "true" or false" | 1 | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o |
| 2 | 6 | NV | Filer | | | 1 | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m |
| 3 | 3 | String | filerRelationship | | RPT_OWNER_RELATIONSHIP_TYPE | 1 | m | m |
| 2 | 7 | NV | subCompanyFiler | | | 1 | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m |
| 3 | 2 | String | irsNumber | 7 | | 1 | m | m |
| 3 | 3 | String | filerName | 150 | | 1 | m | m |
| 2 | 8 | NV | sros | | | 1 | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m |
| 2 | 9 | NV | Notifications | | | 1 | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# |
| 2 | 10 | NV | moduleSegments | | | 1 | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 144 | 144/A |
|---|---|---|---|---|---|---|---|---|
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o |
| 4 | 5 | NV | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# |
| 2 | 11 | NV | Documents | | | 1 | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m |
| 4 | 3 | String | description | 255 | | 1 | o | o |
| 4 | 4 | String | contents | | | 1 | m | m |

### 3.4.17  Mapping of Modules and Segments Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | MODULE | SEGMENT |
|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m |
| 2 | 3 | NV | Flag | | | 1 | o | o |
| 3 | 1 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | m# | m# |
| 3 | 2 | Boolean | returnCopyFlag | | "true" or "false" | 1 | m# | m# |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o |
| 3 | 1 | String | Name | 30 | | 1 | m# | m# |
| 3 | 2 | String | phoneNumber | 20 | | 1 | m# | m# |
| 2 | 6 | NV | filer | | | 1 | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | m | m |
| 2 | 7 | NV | notifications | | | 1 | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | MODULE | SEGMENT |
|-------|-------|-----------|--------------|------------|-------------|-----------|--------|---------|
| 2 | 8 | NV | Documents | | | 1 | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m |
| 4 | 3 | String | Description | 255 | | 1 | o | o |
| 4 | 4 | String | Contents | | | 1 | m | m |

### 3.4.18 Mapping of Single Filer Subject Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | ABS-15G | ABS-1G/A |
|-------|-------|-----------|--------------|------------|-------------|-----------|---------|----------|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m |
| 2 | 3 | Boolean | flag | | | 1 | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o |
| 3 | 2 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o |
| 3 | 3 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | ABS-15G | ABS-1G/A |
|---|---|---|---|---|---|---|---|---|
| 2 | 4 | NV | contact | | | 1 | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o |
| 2 | 5 | NV | sros | | | 1 | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m |
| 2 | 6 | Date | startPeriodOfReport | | DATE_TYPE | 1 | m#1 | m#1 |
| 2 | 7 | Date | periodOfReport | | DATE_TYPE | 1 | m#1 | m#1 |
| 2 | 8 | String | submissionType | | ABS_15G_SUBMISSION_TYPE | 1 | m | m |
| 2 | 9 | String | accessionNumber | | | 1 | o | o |
| 2 | 10 | String | assetClassType | | ASSET_CLASS_TYPE | 1 | m | m |
| 2 | 11 | NV | filer | | | 1 | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o |
| 2 | 12 | NV | rule15gaType | | | 1 | m | m |
| 3 | 1 | NV | rule15ga1Type | | | 1 | m | m |
| 4 | 1 | Boolean | isRule15Ga1 | | "true" or "false" | 1 | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | ABS-15G | ABS-1G/A |
|-------|-------|-----------|--------------|------------|-------------|-----------|---------|----------|
| 4 | 2 | String | rule15Ga1Item | | RULE15GA1_ITEM_TYPE | 1 | m# | m# |
| 4 | 3 | String | filedItem101 | | "yes" or "no" | 1 | m#1 | m#1 |
| 4 | 4 | String | fileNumberItem101 | 17 | | 1 | m#1 | m#1 |
| 4 | 5 | String | noActivityInitial | | "yes" or "no" | 1 | o | o |
| 4 | 6 | String | noActivityQtr | | "yes" or "no" | 1 | o | o |
| 4 | 7 | String | noActivityAnnual | | "yes" or "no" | 1 | o | o |
| 3 | 2 | NV | rule15ga2Type | | | 1 | m# | m# |
| 4 | 1 | Boolean | isRule15Ga2 | | "true" or "false" | 1 | m | m |
| 4 | 2 | String | rule15Ga2Item | | RULE15GA2_ITEM_TYPE | 1 | m | m |
| 4 | 3 | String | isRegistered | | "yes" or "no" | 1 | o | o |
| 4 | 4 | NV | securitizer | | | 1 | m | m |
| 4 | 1 | String | securitizerHasCik | | yes" or "no" | 1 | m | m |
| 4 | 2 | String | securitizerCik | 10 | | 1 | m# | m# |
| 4 | 3 | String | securitizerHas025FileNumber | | yes" or "no" | 1 | m#1 | m#1 |
| 4 | 4 | String | securitizerFileNumber | 17 | | 1 | m# | m# |
| 4 | 5 | NV | depositor | | | 1 | m | m |
| 5 | 1 | String | depositorId | 10 | | 1 | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | ABS-15G | ABS-1G/A |
|---|---|---|---|---|---|---|---|---|
| 5 | 2 | String | depositorFileNumber | 17 | | 1 | o | o |
| 4 | 6 | NV | issuer | | | 1 | m | m |
| 6 | 1 | NV | issuingEntityCik | 10 | | 1 | m#1 | m#1 |
| 6 | 2 | NV | issuingEntityName | 30 | | 1 | m#1 | m#1 |
| 6 | 3 | String | issuingEntityHasFileNumber | | "yes" or "no" | 1 | o | o |
| 6 | 4 | String | issuingEntityFileNumber | 17 | | 1 | m# | m# |
| 4 | 7 | String | underwriterCik | 10 | | 1 | o | o |
| 2 | 13 | NV | notifications | | | 1 | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# |
| 2 | 14 | NV | moduleSegments | | | 1 | o | o |
| 3 | 1 | NV | moduleSegments | 15 | | Unlimited | m# | m# |
| 4 | 1 | String | modOrSegFlag | 10 | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# |
| 4 | 3 | String | cik | 10 | | 1 | o | o |
| 4 | 4 | String | ccc | 8 | | 1 | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# |
| 2 | 15 | NV | documents | | | 1 | m | m |
| 3 | 1 | NV | document | | | Unlimited | m | m |
| 4 | 1 | string | conformedName | 32 | | 1 | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | ABS-15G | ABS-1G/A |
|-------|-------|-----------|--------------|------------|-------------|-----------|---------|----------|
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m |
| 4 | 3 | String | description | 255 | | 1 | o | o |
| 4 | 4 | String | contents | | | 1 | m | m |

### 3.4.19 Mapping of Subject CoReg Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SC 14N | SC 14N/A | SC 14N-S | SC 14N-S/A |
|-------|-------|-----------|--------------|------------|-------------|-----------|--------|----------|----------|------------|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m |
| 2 | 3 | NV | Flag | | | 1 | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o |
| 3 | 2 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o |
| 3 | 3 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m |
| 2 | 5 | NV | filer | | | 1 | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m |
| 2 | 6 | Boolean | isN1orN3InvCompany | | "true" or "false" | 1 | o | o | o | o |
| 2 | 7 | NV | subCompanyFiler | | | 1 | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m |
| 3 | 2 | String | irsNumber | 9 | | 1 | o | o | o | o |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SC 14N | SC 14N/A | SC 14N-S | SC 14N-S/A |
|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 4 | String | filerName | 150 | | 1 | m | m | m | m |
| 2 | 8 | NV | coregs | | | 1 | o | o | o | o |
| 3 | 1 | NV | filer | | | Unlimited | o | o | o | o |
| 3 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# |
| 3 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o |
| 3 | 1 | String | name | 30 | | 1 | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o |
| 2 | 7 | NV | sros | | | 1 | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m |
| 2 | 9 | NV | notifications | | | 1 | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# | m# | m# |
| 2 | 10 | NV | moduleSegments | | | 1 | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_ FLAG | 1 | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# |
| 4 | 3 | String | cik | 10 | | 1 | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SC 14N | SC 14N/A | SC 14N-S | SC 14N-S/A |
|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 4 | String | ccc | 8 | | 1 | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# |
| 2 | 11 | NV | documents | | | 1 | m | m | m | m |
| 3 | 1 | NV | document | | | Unlimited | m | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m |
| 4 | 3 | String | description | 255 | | 1 | o | o | o | o |
| 4 | 4 | String | contents | | | 1 | m | m | m | m |
| 2 | 12 | NV | reportseries | | | 1 | m | m | m | m |
| 3 | 1 | Boolean | rptIncludeAllSeriesFlag | | "true" or "false" | 1 | m | m | m | m |
| 4 | 2 | NV | rptSeriesClassInfo | | | Unlimited | m | m | m | m |
| 5 | 1 | String | seriesId | 10 | | 1 | m | m | m | m |
| 5 | 3 | Boolean | includeAllClassesFlag | | "true" or "false" | 1 | m | m | m | m |
| 5 | 2 | String | classId | 10 | | Unlimited | o | o | o | o |

### 3.4.20.1  Mapping of Subject CoReg SC Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 485APOS | 485BPOS | 485BXT | 497 | 497AD | 497J | 497K | DEF 14A | DEF 14C | DEFA14A | DEFA14C | DEFR14A | DEFR14C | DEFM14A | DEFM14C | N-1A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | NV | flags | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | delayingAmendmentFlag | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 485APOS | 485BPOS | 485BXT | 497 | 497AD | 497J | 497K | DEF 14A | DEF 14C | DEFA14A | DEFA14C | DEFR14A | DEFR14C | DEFM14A | DEFM14C | N-1A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 7 | NV | coregs | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | filer | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 8 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 9 | String | act | | ACT_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 10 | Date | periodOfReport | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 11 | Date | effectiveDate | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 12 | String | invCompany | | INV_COMPANY_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 13 | NV | notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 14 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 485APOS | 485BPOS | 485BXT | 497 | 497AD | 497J | 497K | DEF 14A | DEF 14C | DEFA14A | DEFA14C | DEFR14A | DEFR14C | DEFM14A | DEFM14C | N-1A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 15 | NV | documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 3 | String | description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | contents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 16 | NV | seriesClasses | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | mergeSeriesClass | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | NV | acquiringInfo | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 1 | String | acquiringInvCompanyType | | MERGE_INV_COMPANY_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | String | acquiringCik | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 3 | String | acquiringSeriesId | 150 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 485APOS | 485BPOS | 485BXT | 497 | 497AD | 497J | 497K | DEF 14A | DEF 14C | DEFA14A | DEFA14C | DEFR14A | DEFR14C | DEFM14A | DEFM14C | N-1A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 5 | 4 | String | acquiringClassId | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 2 | NV | targetInfo | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 1 | String | targetInvCompanyType | | MERGE_INV_CO MPANY_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | String | targetCik | 10 | | | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 3 | Boolean | targetIncludeAllSeriesFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 5 | 4 | NV | targetSeriesClassInfo | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 6 | 1 | String | seriesId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 6 | 2 | Boolean | includeAllClassesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 6 | 3 | String | classId | 10 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | NV | reportSeriesClass | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | Boolean | rptIncludeAllSeriesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | NV | rptSeriesClassInfo | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 485APOS | 485BPOS | 485BXT | 497 | 497AD | 497J | 497K | DEF 14A | DEF 14C | DEFA14A | DEFA14C | DEFR14A | DEFR14C | DEFM14A | DEFM14C | N-1A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 5 | 1 | String | seriesId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | Boolean | includeAllClassesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 3 | String | classId | 10 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 3 | NV | reportClass | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | Boolean | rptIncludeAllClassesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | rptClassId | 10 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 4 | NV | newSeriesClass | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | seriesName | 150 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | Boolean | useCompNameAsSeriesNameFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | String | className | 150 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 4 | Boolean | useSeriesNameAsClassNameFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 5 | NV | newClass2 | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | 485APOS | 485BPOS | 485BXT | 497 | 497AD | 497J | 497K | DEF 14A | DEF 14C | DEFA14A | DEFA14C | DEFR14A | DEFR14C | DEFM14A | DEFM14C | N-1A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 1 | String | seriesId | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 2 | String | className | 150 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 6 | NV | newClass | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | className | 150 | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 2 | Boolean | useCompNameAsClassNameFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

### 3.4.20.2 Mapping of Subject CoReg SC Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-1A/A | N-14 | N-14/A | N-3 | N-3/A | N-30B-2 | N-30D | N-30D/A | N-4 | N-4/A | N-6 | N-6/A | N-CSR | N-CSR/A | N-CSRS | N-CSRS/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 3 | NV | flags | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-1A/A | N-14 | N-14/A | N-3 | N-3/A | N-30B-2 | N-30D | N-30D/A | N-4 | N-4/A | N-6 | N-6/A | N-CSR | N-CSR/A | N-CSRS | N-CSRS/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | delayingAmendmentFlag | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 3 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 4 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 6 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 7 | NV | Coregs | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | Filer | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 8 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-1A/A | N-14 | N-14/A | N-3 | N-3/A | N-30B-2 | N-30D | N-30D/A | N-4 | N-4/A | N-6 | N-6/A | N-CSR | N-CSR/A | N-CSRS | N-CSRS/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 1 | String | srold | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 9 | String | Act | | ACT_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 10 | Date | periodOfReport | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 11 | Date | effectiveDate | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 12 | String | invCompany | | INV_COMPANY_TYPE | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 2 | 13 | NV | notifications | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 14 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 15 | NV | Documents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 4 | 3 | String | Description | 255 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-1A/A | N-14 | N-14/A | N-3 | N-3/A | N-30B-2 | N-30D | N-30D/A | N-4 | N-4/A | N-6 | N-6/A | N-CSR | N-CSR/A | N-CSRS | N-CSRS/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 4 | String | Contents | | | 1 | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m | m |
| 2 | 16 | NV | seriesClasses | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | mergeSeriesClass | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | NV | acquiringInfo | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 1 | String | acquiringInvCompanyType | | MERGE_INV_COMPANY_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | String | acquiringCik | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 3 | String | acquiringSeriesId | 150 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 5 | 4 | String | acquiringClassId | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 2 | NV | targetInfo | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 1 | String | targetInvCompanyType | | MERGE_INV_COMPANY_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | String | targetCik | 10 | | | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 3 | Boolean | targetIncludeAllSeriesFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 5 | 4 | NV | targetSeriesClassInfo | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 6 | 1 | String | seriesId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 6 | 2 | Boolean | includeAllClassesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-1A/A | N-14 | N-14/A | N-3 | N-3/A | N-30B-2 | N-30D | N-30D/A | N-4 | N-4/A | N-6 | N-6/A | N-CSR | N-CSR/A | N-CSRS | N-CSRS/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 6 | 3 | String | classId | 10 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | NV | reportSeriesClass | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | Boolean | rptIncludeAllSeriesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | NV | rptSeriesClassInfo | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 1 | String | seriesId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | Boolean | includeAllClassesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 3 | String | classId | 10 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 3 | NV | reportClass | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | Boolean | rptIncludeAllClassesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | rptClassId | 10 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 4 | NV | newSeriesClass | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | seriesName | 150 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | Boolean | useCompNameAsSeriesNameFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 3 | String | className | 150 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 4 | Boolean | useSeriesNameAsClassNameFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 3 | 5 | NV | newClass2 | | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-1A/A | N-14 | N-14/A | N-3 | N-3/A | N-30B-2 | N-30D | N-30D/A | N-4 | N-4/A | N-6 | N-6/A | N-CSR | N-CSR/A | N-CSRS | N-CSRS/A |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 1 | String | seriesId | 10 | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 2 | String | className | 150 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 6 | NV | newClass | | | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | className | 150 | | Unlimited | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |
| 4 | 2 | Boolean | useCompNameAsClassNameFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o | o |

### 3.4.20.3 Mapping of Subject CoReg SC Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-Q | N-Q/A | NT-NCSR | NT-NCSR/A | NT-NSAR | NT-NSAR/A | POS AMI | PRE 14A | PRE 14C |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m | m | m | m | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o | o | o | o | o | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m | m | m | m | m | m | m | m |
| 2 | 3 | NV | Flags | | | 1 | o | o | o | o | o | o | o | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o |
| 3 | 2 | Boolean | delayingAmendmentFlag | | | 1 | o | o | o | o | o | o | o | o | o |
| 3 | 3 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-Q | N-Q/A | NT-NCSR | NT-NCSR/A | NT-NSAR | NT-NSAR/A | POS AMI | PRE 14A | PRE 14C |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 4 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o |
| 2 | 4 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m | m | m | m | m | m | m |
| 2 | 5 | NV | contact | | | 1 | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o | o | o | o | o | o | o | o |
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o | o | o | o | o | o | o | o |
| 2 | 6 | NV | filer | | | 1 | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m | m | m | m | m | m | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m | m | m | m | m | m | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o |
| 2 | 7 | NV | Coregs | | | 1 | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | Filer | | | Unlimited | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | filerId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | filerCcc | 8 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | fileNumber | 17 | | 1 | o | o | o | o | o | o | o | o | o |
| 2 | 8 | NV | sros | | | 1 | m | m | m | m | m | m | m | m | m |
| 3 | 1 | String | sroId | | SRO_TYPE | 13 | m | m | m | m | m | m | m | m | m |
| 2 | 9 | String | Act | | ACT_TYPE | 1 | o | o | o | o | o | o | o | o | o |
| 2 | 10 | Date | periodOfReport | | | 1 | o | o | o | o | o | o | o | o | o |
| 2 | 11 | Date | effectiveDate | | | 1 | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-Q | N-Q/A | NT-NCSR | NT-NCSR/A | NT-NSAR | NT-NSAR/A | POS AMI | PRE 14A | PRE 14C |
|-------|-------|-----------|--------------|------------|-------------|-----------|-----|-------|---------|-----------|---------|-----------|---------|---------|---------|
| 2 | 12 | String | invCompany | | INV_COMPANY_TYPE | 1 | o | o | o | o | o | o | o | o | o |
| 2 | 13 | NV | notifications | | | 1 | o | o | o | o | o | o | o | o | o |
| 3 | 1 | String | internetNotificationAddress | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 14 | NV | moduleSegments | | | 1 | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | String | modOrSegFlag | | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o | o | o | o | o | o | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 2 | 15 | NV | Documents | | | 1 | m | m | m | m | m | m | m | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m | m | m | m | m | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m | m | m | m | m | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m | m | m | m | m | m | m | m |
| 4 | 3 | String | Description | 255 | | 1 | o | o | o | o | o | o | o | o | o |
| 4 | 4 | String | Contents | | | 1 | m | m | m | m | m | m | m | m | m |
| 2 | 16 | NV | seriesClasses | | | 1 | o | o | o | o | o | o | o | o | o |
| 3 | 1 | NV | mergeSeriesClass | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 1 | NV | acquiringInfo | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-Q | N-Q/A | NT-NCSR | NT-NCSR/A | NT-NSAR | NT-NSAR/A | POS AMI | PRE 14A | PRE 14C |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 5 | 1 | String | acquiringInvCompanyType | | MERGE_INV_CO MPANY_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | String | acquiringCik | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 3 | String | acquiringSeriesId | 150 | | 1 | o | o | o | o | o | o | o | o | o |
| 5 | 4 | String | acquiringClassId | 10 | | 1 | o | o | o | o | o | o | o | o | o |
| 4 | 2 | NV | targetInfo | | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 1 | String | targetInvCompanyType | | MERGE_INV_CO MPANY_TYPE | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | String | targetCik | 10 | | | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 3 | Boolean | targetIncludeAllSeriesFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o |
| 5 | 4 | NV | targetSeriesClassInfo | | | Unlimited | o | o | o | o | o | o | o | o | o |
| 6 | 1 | String | seriesId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 6 | 2 | Boolean | includeAllClassesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 6 | 3 | String | classId | 10 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 2 | NV | reportSeriesClass | | | 1 | o | o | o | o | o | o | o | o | o |
| 4 | 1 | Boolean | rptIncludeAllSeriesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-Q | N-Q/A | NT-NCSR | NT-NCSR/A | NT-NSAR | NT-NSAR/A | POS AMI | PRE 14A | PRE 14C |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 2 | NV | rptSeriesClassInfo | | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 1 | String | seriesId | 10 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 2 | Boolean | includeAllClassesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 5 | 3 | String | classId | 10 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 3 | NV | reportClass | | | 1 | o | o | o | o | o | o | o | o | o |
| 4 | 1 | Boolean | rptIncludeAllClassesFlag | | "true" or "false" | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | String | rptClassId | 10 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 4 | NV | newSeriesClass | | | Unlimited | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | seriesName | 150 | | 1 | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 2 | Boolean | useCompNameAsSeriesNameFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o |
| 4 | 3 | String | className | 150 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 4 | 4 | Boolean | useSeriesNameAsClassNameFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o |
| 3 | 5 | NV | newClass2 | | | Unlimited | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | seriesId | 10 | | 1 | o | o | o | o | o | o | o | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | N-Q | N-Q/A | NT-NCSR | NT-NCSR/A | NT-NSAR | NT-NSAR/A | POS AMI | PRE 14A | PRE 14C |
|-------|-------|-----------|--------------|------------|-------------|-----------|-----|-------|---------|-----------|---------|-----------|---------|---------|---------|
| 4 | 2 | String | className | 150 | | Unlimited | m# | m# | m# | m# | m# | m# | m# | m# | m# |
| 3 | 6 | NV | newClass | | | 1 | o | o | o | o | o | o | o | o | o |
| 4 | 1 | String | className | 150 | | Unlimited | o | o | o | o | o | o | o | o | o |
| 4 | 2 | Boolean | useCompNameAsClassNameFlag | | "true" or "false" | 1 | o | o | o | o | o | o | o | o | o |

### 3.4.21 Mapping of CoReg Specialized Disclosure Submission Schemas to Submission Types

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SD | SD/A |
|-------|-------|-----------|--------------|------------|-------------|-----------|----|----|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o |
| 2 | 2 | String | liveTestFlag | | LIVE_TEST_TYPE | 1 | m | m |
| 2 | 3 | NV | flags | | | 1 | o | o |
| 3 | 1 | Boolean | confirmingCopyFlag | | "true" or "false" | 1 | o | o |
| 3 | 2 | Boolean | overrideInternetFlag | | "true" or "false" | 1 | o | o |
| 3 | 3 | Boolean | returnCopyFlag | | "true" or "false" | 1 | o | o |
| 2 | 5 | String | submissionType | | SD_SUBMISSION_TYPE | 1 | m | |
| 2 | 4 | NV | contact | | | 1 | o | o |
| 3 | 1 | String | Name | 30 | | 1 | o | o |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SD | SD/A |
|---|---|---|---|---|---|---|---|---|
| 3 | 2 | String | phoneNumber | 20 | | 1 | o | o |
| 2 | 6 | String | accessionNumber | | | 1 | NA | m |
| 2 | 7 | NV | filer | | | 1 | m | m |
| 3 | 1 | String | filerId | 10 | | 1 | m | m |
| 3 | 2 | String | filerCcc | 8 | | 1 | m | m |
| 3 | 3 | String | fileNumber | 17 | | 1 | o | o |
| 2 | 8 | NV | Coregs | | | 1 | o | o |
| 3 | 1 | NV | Filer | | | Unlimited | m# | m# |
| 4 | 1 | String | filerId | 10 | | 1 | m# | m# |
| 4 | 2 | String | filerCcc | 8 | | 1 | m# | m# |
| 4 | 3 | String | fileNumber | 17 | | 1 | o | o |
| 2 | 9 | NV | rule13 | | | 1 | m | m |
| 3 | 1 | NV | rule13P1 | | | 1 | o | o |
| 4 | 1 | NV | rule13P1ItemPeriod | | | 2 | m# | m# |
| 5 | 1 | String | rule13P1Item | | RULE13P1_ITEM_TYPE | 1 | m# | m# |
| 5 | 2 | Date | Period | | | 1 | m# | m# |
| 3 | 2 | NV | rule13Q1 | | | 1 | o | o |
| 4 | 1 | String | rule13Q1Item | | RULE13Q1_ITEM_TYPE | 1 | m# | m# |

| Level | Order | Data Type | Element Name | Max Length | Choice List | Max Occur | SD | SD/A |
|---|---|---|---|---|---|---|---|---|
| 4 | 2 | Date | Period | | | 1 | m# | m# |
| 4 | 3 | String | resourceExtIssuer | | "yes" or "no" | 1 | m# | m# |
| 2 | 10 | NV | Notifications | | | 1 | o | o |
| 3 | 1 | String | internetNotificationAddress | 80 | | Unlimited | m# | m# |
| 2 | 11 | NV | moduleSegments | | | 1 | o | o |
| 3 | 1 | NV | moduleSegment | | | Unlimited | m# | m# |
| 4 | 1 | String | modOrSegFlag | 10 | MODULE_OR_SEGMENT_FLAG | 1 | m# | m# |
| 4 | 2 | String | nickName | 15 | | 1 | m# | m# |
| 4 | 3 | String | Cik | 10 | | 1 | o | o |
| 4 | 4 | String | Ccc | 8 | | 1 | o | o |
| 4 | 5 | String | documentType | | SUB_DOCUMENT_TYPE | 1 | m# | m# |
| 2 | 12 | NV | Documents | | | 1 | m | m |
| 3 | 1 | NV | Document | | | Unlimited | m | m |
| 4 | 1 | string | conformedName | 32 | | 1 | m | m |
| 4 | 2 | String | conformedDocumentType | | SUB_DOCUMENT_TYPE | 1 | m | m |
| 4 | 3 | String | Description | 255 | | 1 | o | o |
| 4 | 4 | String | Contents | | | 1 | m | m |

# 4. DATA VALUE CONSTRAINTS

## 4.1    ACCELERATED_STATUS_TYPE

These are the valid values for a < ACCELERATED_STATUS_TYPE > element in the primary document:

| VALUE |
| --- |
| Non-Accelerated Filer |
| Accelerated Filer |
| Large Accelerated Filer |
| Not Applicable |

## 4.2    ACT_TYPE

These are the valid values for the < ACT_TYPE > element in the submission document and the <documentType> element in the primary document:

| VALUE |
| --- |
| 33 |
| 40 |
| 33 40 |
| 34 |

Note:   For certain filings by investment companies, the tag identifies Act or Acts when the form type may be filed under more than one Act.  The delaying amendment is not appropriate for, and will not be displayed for, a 40 Act only filing.

## 4.3    DOCUMENT_TYPE

This list, which is actually a combination of two sets of values, defines the valid entries for a <edgarDocument.documentType> element in the submission file.

The <documentType> of the primary document must match the submission type.

The <documentType> for non-primary attached documents is one of the following values:

The <documentType> of a supporting document must be one of these values:

| Value for Non-Primary Attached Document | Value for Non-Primary Attached Document | Value for Non-Primary Attached Document |
| --- | --- | --- |
| CORRESP | EX-99.11 OPIN COUNSL | EX-99.C6 OTHER OPIN |
| COVER | EX-99.12 REV RULING | EX-99.CERT |
| EU-1 | EX-99.12 TAX OPINION | EX-99.CODE ETH |
| EX-1 | EX-99.13 OTH CONTRCT | EX-99.d ADVSR CONTR |
| EX-1.01 | EX-99.14 OTH CONSENT | EX-99.d CONTRACTS |
| EX-10 | EX-99.15 OTH FIN ST | EX-99.e APPLICATIONS |

| Value for Non-Primary Attached Document | Value for Non-Primary Attached Document | Value for Non-Primary Attached Document |
|---|---|---|
| EX-100.CAL | EX-99.16 PWR OF ATTY | EX-99.e UNDR CONTR |
| EX-100.DEF | EX-99.17 (as approp) | EX-99.f BONUS PROFIT |
| EX-100.INS | EX-99.2 BYLAWS | EX-99.f DEP CERT/BYL |
| EX-100.LAB | EX-99.2 OPIN COUNSEL | EX-99.g CUST AGREEMT |
| EX-100.PRE | EX-99.2A CHARTER | EX-99.g REINS CONTRT |
| EX-100.REF | EX-99.2B BYLAWS | EX-99.h OTH MAT CONT |
| EX-100.SCH | EX-99.2C VOTING TRST | EX-99.h PARTIC AGREE |
| EX-101.CAL | EX-99.2D HOLDERS RTS | EX-99.i ADMIN CONTRT |
| EX-101.DEF | EX-99.2E DIV REIN PL | EX-99.i LEGAL OPININ |
| EX-101.INS | EX-99.2F SUBSID DEBT | EX-99.j OTH MAT CONT |
| EX-101.LAB | EX-99.2G ADVSR CONTR | EX-99.j OTHER OPININ |
| EX-101.PRE | EX-99.2H DISTR CONTR | EX-99.k LEGAL OPININ |
| EX-101.REF | EX-99.2I O&amp;D BENEFTS | EX-99.k OMT FIN STAT |
| EX-101.SCH | EX-99.2J CUST CONTR | EX-99.l ACTUARIAL OP |
| EX-11 | EX-99.2K OTH CONTRCT | EX-99.l INT CAP AGRE |
| EX-12 | EX-99.2L OPIN COUNSL | EX-99.m 12B-1 PLAN |
| EX-13 | EX-99.2M CNSNT SRVCE | EX-99.m CALCULATION |
| EX-14 | EX-99.2N OTH CONSENT | EX-99.n 18F-3 PLAN |
| EX-15 | EX-99.2O OTH FIN ST | EX-99.n OTH OPINIONS |
| EX-16 | EX-99.2P STOCK LTR | EX-99.o OMITD FIN ST |
| EX-17 | EX-99.2Q RETRMT PLAN | EX-99.p CODE ETH |
| EX-18 | EX-99.2R CODE ETH | EX-99.p INIT CAP AGR |
| EX-19 | EX-99.3 OTHER FIN ST | EX-99.q REDEEM EXEMP |
| EX-2 | EX-99.3 VOTING TRUST | EX-99.Rule23C1 |
| EX-2.01.CAL | EX-99.4 ACQ AGREEMNT | GRAPHIC |
| EX-2.01.DEF | EX-99.4 UNREG ISSUER | EX-102 |
| EX-2.01.INS | EX-99.5 HOLDERS RTS | EX-103 |
| EX-2.01.LAB | EX-99.6 ADVSER CONTR | EX-106 |
| EX-2.01.PRE | EX-99.7 DISTR CONTR | EX1U-1 UNDR AGMT |
| EX-2.01.REF | EX-99.77B ACCT LTTR | EX1U-2A CHARTER |
| EX-2.01.SCH | EX-99.77C VOTES | EX1U-2B BYLAWS |
| EX-20 | EX-99.77D POLICIES | EX1U-3 HLDRS RTS |
| EX-21 | EX-99.77E LEGAL | EX1U-4 SUBS AGMT |
| EX-22 | EX-99.77F CHNG DEBT | EX1U-5 VOTG TRST |
| EX-23 | EX-99.77G DEFAULTS | EX1U-6 MAT CTRCT |
| EX-24 | EX-99.77H CHNG CNTRL | EX1U-7 ACQ AGMT |
| EX-25 | EX-99.77I NEW SECUR | EX1U-8 ESCW AGMT |
| EX-25/A | EX-99.77J REVALUATN | EX1U-9 ACCT LTR |

| Value for Non-Primary Attached Document | Value for Non-Primary Attached Document | Value for Non-Primary Attached Document |
| --- | --- | --- |
| EX-26 | EX-99.77K CHNG ACCNT | EX1U-10 PWR ATTY |
| EX-3 | EX-99.77L NEW ACCTNG | EX1U-11 CONSENT |
| EX-31 | EX-99.77M MERGERS | EX1U-12 OPN CNSL |
| EX-32 | EX-99.77N RULE 2A-7 | EX1U-13 TST WTRS |
| EX-33 | EX-99.77O RULE 10F-3 | EX1U-14 CNSNT SV |
| EX-34 | EX-99.77P EXMPT INFO | EX1U-15 ADD EXHB |
| EX-35 | EX-99.77Q1 OTHR EXHB | EX1SA-1 UNDR AGMT |
| EX-36 | EX-99.8 O&amp;D BENEFTS | EX1SA-2A CHARTER |
| EX-4 | EX-99.9 CUST CONTRCT | EX1SA-2B BYLAWS |
| EX-5 | EX-99.906 CERT | EX1SA-3 HLDRS RTS |
| EX-7 | EX-99.a BD-DIR-RESOL | EX1SA-4 SUBS AGMT |
| EX-8 | EX-99.a CHARTER | EX1SA-5 VOTG TRST |
| EX-9 | EX-99.A1 INDNTR ORGN | EX1SA-6 MAT CTRCT |
| EX-95 | EX-99.77Q2 ITEM 405 | EX1SA-7 ACQ AGMT |
| EX-99 | EX-99.A10 PERIODC PP | EX1SA-8 ESCW AGMT |
| EX-99.1 CHARTER | EX-99.A2 INDNTR PMT | EX1SA-9 ACCT LTR |
| EX-99.10 12B1 PLAN | EX-99.A3A DIST CONTR | EX1SA-10 PWR ATTY |
| EX-99.11 OPIN COUNSL | EX-99.A3B DEALER AGR | EX1SA-11 CONSENT |
| EX-99.12 REV RULING | EX-99.A3C SCH COMMIS | EX1SA-12 OPN CNSL |
| EX-99.12 TAX OPINION | EX-99.A4 OTHER AGRMT | EX1SA-13 TST WTRS |
| EX-99.13 OTH CONTRCT | EX-99.A5 FORM/SECRTY | EX1SA-14 CNSNT SV |
| EX-99.14 OTH CONSENT | EX-99.A6 CERT/BYLAWS | EX1SA-15 ADD EXHB |
| EX-99.15 OTH FIN ST | EX-99.A7 INSR POLICY | EX-99.C4 TAX OPINION |
| EX-99.16 PWR OF ATTY | EX-99.A8 DEPOSIT AGR | EX-99.C5 REV RULING |
| EX-99.17 (as approp) | EX-99.A9 OTHER CONTR | EX-99.E1 NRSRO |
| EX-99.2 BYLAWS | EX-99.b BYLAWS | EX-99.E2 NRSRO |
| EX-99.2A CHARTER | EX-99.b CUST-AGRMETS | EX-99.E3 NRSRO |
| EX-99.2B BYLAWS | EX-99.B1 NOTIC/SHLDR | EX-99.E4 NRSRO |
| EX-99.2C VOTING TRST | EX-99.B2 ANRPT/SHLDR | EX-99.E5 NRSRO |
| EX-99.2D HOLDERS RTS | EX-99.c HOLDERS RTS | EX-99.E6 NRSRO |
| EX-99.2E DIV REIN PL | EX-99.c UNDER CONTRT | EX-99.E7 NRSRO |
| EX-99.2F SUBSID DEBT | EX-99.C1 ACCT CONSNT | EX-99.E8 NRSRO |
| EX-99.2 OPIN COUNSEL | EX-99.C2 EVAL CONSNT | EX-99.E9 NRSRO |
| EX-99.2G ADVSR CONTR | EX-99.C3 RTG AGY OPN | EX-99.Ra1 NRSRO |
| EX-99.2H DISTR CONTR | EX-99.Ra5 NRSRO | EX-99.Ra7 NRSRO |
| EX-99.Ra2 NRSRO | EX-99.Ra6 NRSRO | EX-99.Ra7S NRSRO |
| EX-99.Ra3 NRSRO | EX-99.Ra6S NRSRO | EX-99.Ra8 NRSRO |
| EX-99.Ra4 NRSRO | SDR-CR | SDR-FR |

| Value for Non-Primary Attached Document |
|---|
| SDR-CR/A |

| Value for Non-Primary Attached Document |
|---|
| SDR-FR/A |

| Value for Non-Primary Attached Document |
|---|
| EX-99.IND PUB ACCT |

| VALUE |
|---|
| CORRESP |
| COVER |
| EX-24 |
| EX-99 |
| GRAPHIC |

You can actually append optional text to these DocType values. This optional text must begin with a period. The overall length of the DocType value cannot exceed 20 characters. Some examples of a valid DocType are:

COVER.i_wrote_this

COVER.1

EX-99.myExhibit

## 4.4    INV_COMPANY_TYPE

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

| VALUE |
|---|
| N-1A |
| N-1 |
| N-2 |
| N-3 |
| N-4 |
| N-5 |
| N-6 |
| S-1 or S-3 |
| S-6 |

## 4.5    MERGE_INV_COMPANY_TYPE

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

| VALUE |
|---|
| N-1A |
| N-1 |
| N-2 |
| N-3 |
| N-4 |

| VALUE |
|---|
| N-5 |
| N-6 |
| S-1 or S-3 |
| S-6 |
| Not an Investment Company |

## 4.6    LIVE_TEST_TYPE

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

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

## 4.7    MODULE_OR_SEGMENT_FLAG

These are the valid values for a <MODULE_OR_SEGMENT_FLAG> element in the primary document:

| VALUE | MEANING |
|---|---|
| M | Module |
| S | Segment |

## 4.8    RPT_OWNER_RELATIONSHIP_TYPE

These are the valid values for a < RPT_OWNER_RELATIONSHIP_TYPE > element in the primary document:

| VALUE |
|---|
| DIRECTOR |
| OFFICER |
| OWNER |
| OTHER |

## 4.9    SRO_TYPE

These are the valid values for a < SRO_TYPE > element in the primary document:

| VALUE | VALUE |
|---|---|
| NONE | ISE |
| AMEX | NSX |
| ARCA | NYSE |
| BSE | PCX |

| VALUE | VALUE |
|-------|-------|
| CBOE  | NASD  |
| CHX   | PHLX  |
| FINRA |       |

## 4.10  ITEM_TYPE

These are the valid values for a < ITEM_TYPE > element in the primary document:

| VALUE | VALUE |
|-------|-------|
| 1.01 | 5.03 |
| 1.02 | 5.04 |
| 1.03 | 5.05 |
| 1.04 | 5.06 |
| 2.01 | 5.07 |
| 2.02 | 5.08 |
| 2.03 | 6.01 |
| 2.04 | 6.02 |
| 2.05 | 6.03 |
| 2.06 | 6.04 |
| 3.01 | 6.05 |
| 3.02 | 6.06 |
| 3.03 | 6.10 |
| 4.01 | 7.01 |
| 4.02 | 8.01 |
| 5.01 | 9.01 |
| 5.02 | |

## 4.11  ITEM_SUBMISSION_TYPE

These are the valid values for a < ITEM_SUBMISSION_TYPE > element in the primary document:

| VALUE |
|-------|
| 425 |
| DEFA14A |
| DFAN14A |
| SC TO-C |

## 4.12 COMBO_FORM_TYPE

These are the valid values for a < COMBO_FORM_TYPE > element in the primary document:

| VALUE |
|-------|
| S-1 |
| S-1/A |
| S-3 |
| S-3/A |
| S-1MEF |
| S-3MEF |

## 4.13 SUB_DOCUMENT_TYPE

These codes are a combination of all the submission types listed in section 1.1 and the document types listed in section 4.3.

## 4.14 PAYMENT_METHOD_TYPE

These are the valid values for a < PAYMENT_METHOD_TYPE > element in the primary document:

| VALUE |
|-------|
| LOCKBOX |
| FEDWIRE |

## 4.15 PAYMENT_TYPE

These are the valid values for a < PAYMENT_TYPE > element in the primary document:

| VALUE |
|-------|
| Pay In Advance |
| Pay As You Go |

## 4.16    SECURITY_TYPE

These are the valid values for a < SECURITY_TYPE > element in the primary document:

| VALUE |
| --- |
| Debt |
| Non-Convertible Debt |
| Debt Convertible into Equity |
| Equity |
| Asset-Backed Securities |
| Mortgage Backed Securities |
| Limited Partnership Interests |
| Unallocated (Universal) Shelf |
| ADRs/ADSs |
| Face Amount Certificates |
| Other |

## 4.17    stateOrCountryCode

EDGAR recognizes 309 two-character designators for the <stateOrCountryCode> element in the primary document. These are provided in Appendix A. These codes are actually a combination of values for the 50 US states, the Canadian Provinces, and other countries and territories.

## 4.18    COMBO_SUBMISSION_TYPE

These are the valid values for a < COMBO_SUBMISSION_TYPE > element in the primary document:

| VALUE |
| --- |
| SC 13E3 |
| SC 13E3/A |
| SC TO-I |
| SC TO-I/A |
| SC TO-T |
| SC TO-T/A |
| SC 13D/A |

## 4.19   COMBO_SUBMISSION_TYPE_1

These are the valid values for a < COMBO_SUBMISSION_TYPE_1 > element in the primary document:

| VALUE |
|---|
| SC TO-I |
| SC TO-I/A |
| SC TO-T |
| SC TO-T/A |
| SC 13D/A |

## 4.20   ASSET_CLASS_TYPE

These are the valid values for a < ASSET_CLASS_TYPE> element in the primary document:

| VALUE |
|---|
| Residential mortgages - Prime |
| Residential mortgages – Non-Prime |
| Residential mortgages – HELOC |
| Residential mortgages – Reverse Mortgages |
| Residential mortgages – Manufactured Housing |
| Residential mortgages – Other/Combined |
| Commercial mortgages |
| Auto loans |
| Auto leases |
| Equipment loans |
| Equipment leases |
| Student loans |
| Floorplan financings |
| Debt Securities |
| Resecuritization |
| Credit card |
| Other |

## 4.21   RULE15GA1_ITEM_TYPE

These are the valid values for a < RULE15GA1_ITEM_TYPE > element in the primary document:

| VALUE |
|---|
| 1.01 |
| 1.02 |
| 1.03 |

## 4.22    RULE15GA2_ITEM_TYPE

These are the valid values for a < RULE15GA2_ITEM_TYPE > element in the primary document:

| VALUE |
|-------|
| 2.01 |
| 2.02 |

## 4.23    ABS15_SUBMISSION_TYPES

These are the valid values for a < ABS_15G_SUBMISSION_TYPES > element in the primary document:

| VALUE |
|-------|
| ABS_15G |
| ABS_15G/A |

## 4.24    RULE13P1_ITEM_TYPE

These are the valid values for a < RULE13P1_ITEM_TYPE> element in the primary document:

| VALUE |
|-------|
| 1.01 |
| 1.02 |

## 4.25    RULE13Q1_ITEM_TYPE

These are the valid values for a < RULE13Q1_ITEM_TYPE> element in the primary document:

| VALUE |
|-------|
| 2.01 |

## 4.26    SD_SUBMISSION_TYPES

These are the valid values for a < SD_SUBMISSION_TYPES > element in the primary document:

| VALUE |
|-------|
| SD |
| SD/A |

## 4.27   ABS_ASSET_CLASS_TYPE

These are the valid values for a < ABS_ASSET_CLASS_TYPE> element in the primary document:

| VALUE |
|---|
| Residential mortgages - Prime |
| Residential mortgages – Non-Prime |
| Residential mortgages – HELOC |
| Residential mortgages – Reverse Mortgages |
| Residential mortgages – Manufactured Housing |
| Residential mortgages – Other/Combined |
| Commercial mortgages |
| Auto loans |
| Auto leases |
| Equipment loans |
| Equipment leases |
| Student loans |
| Floorplan financings |
| Debt Securities |
| Resecuritization |
| Credit card |
| Other |

## 4.28   ABS_SUB_ASSET_CLASS_TYPE

These are the valid values for a < ABS_SUB_ASSET_CLASS_TYPE> element in the primary document:

| VALUE |
|---|
| Residential mortgages - Prime |
| Residential mortgages – Non-Prime |
| Residential mortgages – HELOC |
| Residential mortgages – Reverse Mortgages |
| Residential mortgages – Manufactured Housing |
| Residential mortgages – Other/Combined |
| Commercial mortgages |
| Auto loans |
| Auto leases |
| Equipment loans |
| Equipment leases |
| Student loans |
| Floorplan financings |

| |
|---|
| Debt Securities |
| Credit card |
| Other |

## 4.29 ITEM_TYPE_2

These are the valid values for a < ITEM_TYPE_2> element in the primary document:

| VALUE |
|---|
| 1 |
| 2 |
| 3 |
| 4 |
| 5 |
| 6 |
| 7 |
| 8 |
| 9.1 |
| 9.2 |

## 4.30 RELATED_FORM_TYPE

These are the valid values for a < RELATED_FORM_TYPE > element in the primary document:

| VALUE |
|---|
| 10-D |
| 10-D/A |
| ABS-EE |
| ABS-EE/A |

## 5.  BASIC SUBMISSION CONSTRUCTION

### 5.1     General Formatting of XML Files

These rules apply to both the submission file and the primary document of an XML-format ELO submission:

1.  The filename must end with an ".xml" extension.
2.  The file cannot be compressed.
3.  We strongly recommend you format the submission and document files 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. The SEC will not be reformatting XML files for readability. 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 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 Reporting Owner CIK value which cannot be longer than 10 characters, this specification is correct:

    <rptOwnerCik>1212121212</rptOwnerCik>

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.

    <rptOwnerCik>
    1212121212
    </rptOwnerCik>

### 5.2     XML Submission File Rules

These rules are specific to the submission file:

1.  The submission file must contain a single "primary" XML document.
2.  The submission file may also contain additional supporting documents.
3.  The order of any <notificationEmailAddress> elements does not matter.
4.  EDGAR will generate a WARNING for any duplicate values in the single <pointOfContact><contactEmailAddress> and the <notificationEmailAddress> elements.

5. The order of the <edgarDocument> specifications does not matter. The primary XML document does not have to be specified in the first <edgarDocument> block.

6. The names of attached document files must follow the EDGAR file naming convention:

  - 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.

  - File extension of the primary document must be .xml.

  - File extension of all other documents must be .pdf, .txt, .htm, .jpg, or .gif.

7. The submission file must conform to the edgarSubmission.xsd XML schema file. Any violation of this schema will result in the suspension of the filing.

## 5.2.1 Enclosing a Document

The XML for an enclosed document looks like this:

```
<edgarDocument>

  <documentName>cover01.txt</documentName>

  <documentType>COVER</documentType>

  <documentDescription>Cover Document</documentDescription>

  <documentMimeBlock>

    PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PSAgIGNvdmVyIGxldHRl

    ciAgID09PT09PT09PT09PT09PT09PT09PT09PT09PT0NCg0KVGhpcyBp

    cyBhIHByaXZhdGUgY292ZXIgbGV0dGVyIHRoYXQgZG9lcyBub3QgY29udGFp

    biBhbnkgm#VkbGluZQ0KdGFncy4gVGhpcyBpcyBzdHJpY3RseSBhIHRlc3Qu

    DQoNCj09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09

    PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09PT09DQo=

  </documentMimeBlock>

</edgarDocument>
```

The <documentDescription> is optional, but all other elements must be present and must have a value.

The <documentMimeBlock> element must contain a MIME encoded document. You can use any standard 64-character set based MIME encoding algorithm to create a MIME document.

You may enclose no more than 612 documents (one primary plus 611 supporting documents).

5.2.1.1 Primary Document
1. The single primary document file must end with an .xml extension.
2. The document type must match the submission type.
3. The file must conform to the EDGARLink Online XML Technical Specification. Any violation of this schema will result in the suspension of the filing.

5.2.1.2 Supporting Documents
1. Allowable file extensions are .pdf, .txt, .htm, .jpg, .xml and .gif.
2. The allowable document types are shown in the DocTypeList table in Section 4.3.
3. The document count limits by type are:

| Document Type | Maximum Allowed |
|---|---|
| CORRESP | 100 |
| COVER | 10 |
| EXHIBIT (EX-24 or EX-99) plus GRAPHIC | 500 |

## 5.3    XML Primary Document Rules

The primary document must conform to the EDGARLink Online XML Technical Specification XML schema file. Any violation of this schema will result in the suspension of the filing.

Sections 3.4.1.1 through 3.4.21 provide a detailed summary of the XML elements that apply to each submission type. The following sections reinforce and supplement the contents of this table.

The <schemaVersion> element should not be included. If you do provide a value for this element, EDGAR will generate a WARNING and discard the value. Additionally, if the value you provide does not match the current version of the schema file being used by EDGAR, then EDGAR will generate a second WARNING. EDGAR will insert the correct value for this element into the "document of record" that gets disseminated.

The <documentType> element must have the same value as provided in the <submissionType> element of the submission file.

### 5.3.1   Specifying Issuer

You must provide a CIK and Trading Symbol. The CIK does not have to be conformed with leading zeroes.

Do not provide an Issuer Name. EDGAR will insert the Issuer Name associated with the provided CIK into the "document of record" that is disseminated. If you do include a value for the <issuerName> element, EDGAR will issue a WARNING and discard the provided value.

## 6. ERROR REPORTING

EDGAR will generate an error for each violation of an XML schema constraint, as well as for each violation of an ELO 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: Error Condition Summary**

| Error Condition | Severity |
|---|---|
| Elements not in sequence prescribed in Sections 3.4.1.1 through 3.4.21 | 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 Reporting Owner CIK | SUSPENDED |
| Duplicate Notification Address | WARNING |
| Invalid footnote ID (must be "F" followed by number from 1 to 99) | SUSPENDED |
| Inclusion of a footnote that is never referenced | SUSPENDED |
| Duplicate footnote ID | SUSPENDED |
| Multiple references to the same footnote from within a single element | SUSPENDED |
| "NA" or blank field has a value | WARNING |
| Invalid Issuer CIK | SUSPENDED |
| Invalid Reporting Owner CIK and/or CCC | SUSPENDED |
| Invalid Depositor CIK | SUSPENDED |

| Error Condition | Severity |
|---|---|
| Invalid Securitizer CIK | SUSPENDED |
| Invalid Underwriter CIK | SUSPENDED |
| Improperly formatted email address | SUSPENDED |
| Exceeding a "Max Occur" limit from Sections 3.4.1.1 through 3.4.21 (e.g., more than 10 Reporting Owners or more than 30 Derivative Securities) | SUSPENDED |
| Invalid content in an enclosed ASCII document. Refer to the EDGAR Filer Manual for details. | SUSPENDED or WARNING |
| Invalid content in an enclosed HTML document. Refer to the EDGAR Filer Manual for details. | SUSPENDED or WARNING |
| Invalid content in an enclosed PDF document. Refer to the EDGAR Filer Manual for details | SUSPENDED or WARNING |
| Enclosed graphic document that is not referenced by an HTML document | SUSPENDED |
| Any XML schema violation not mentioned in previous table row | SUSPENDED |
| Not providing rule13P1 and/or rule13Q1 for forms SD, SD/A mentioned in section 3.4.21 | SUSPENDED |
| File Number provided for 1-A-W, 1-A-W/A, 253G1, 253G2, 253G3, 253G4, mentioned in section 3.4.4.2, does not have the prefix of 024. | SUSPENDED |
| File Number if provided for 1-U, 1-U/A, 1-SA, 1-SA/A, 1-Z-W, and 1-Z-W/A, mentioned in section 3.4.4.2, and does not have the prefix of 24R. | SUSPENDED |
| Exceeding a "Max Occur" limit from Section 3.4.2 if more than 999 accession numbers for NPORT-EX, NPORT-EX/A filings. | SUSPENDED |
| Exceeding a "Max Occur" limit from Section 3.4.2 if more than 999 series entries for NPORT-EX, NPORT-EX/A filings. | SUSPENDED |
| Exceeding a "Max Occur" limit from Section 3.4.2 if more than 999 class entries corresponding to a series for NPORT-EX, NPORT-EX/A filings. | SUSPENDED |

| Error Condition | Severity |
|---|---|
| For ABS-15G, ABS-15G/A Filing (eis_ABS_15GFiler.xsd)<br><br>isRegistered is set to "Y"and<br>rule15Ga2Item is set to either "2.01"or"2.02"and<br>"Issuing Entity Name" is provided | SUSPENDED |
| For ABS-15G, ABS-15G/A Filing (eis_ABS_15GFiler.xsd)<br><br>isRegistered is set to "N"and<br>rule15Ga2Item is set to either "2.01"or"2.02"and<br>"Issuing Entity CIK" is provided | SUSPENDED |

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

# 7. EXAMPLE ELO SUBMISSION FILES

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

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

| Submission Type | Submission Family | Submission File |
|---|---|---|
| ANNLRPT | Single Filer Submission | Sample_ANNLRPT.xml |
| 497K | Single Filer Series and Class Submission | Sample_497K.xml |
| 24F2NT | Single Filer Series and Class Fee Submission | Sample_24F-2NT.xml |
| 10-12B | CoReg Submission | Sample_10-12B.xml |
| F1 | CoReg Fee Submission | Sample_F-1.xml |
| 424B1 | CoReg Serial Submission | Sample_424B1.xml |
| 40-17F1 | Subject Submission | Sample_40-17F1.xml |
| DEFC14A | Subject Series and Class Submission | Sample_DEFC14A.xml |
| SC 13E1 | Subject Fee Submission | Sample_SC_13E1.xml |
| FWP | Subject Group Submission | Sample_FWP.xml |
| 425 | Subject Group Series and Class Submission | Sample_425.xml |
| SC 13E1 | Subject Group Fee Submission | Sample_SC_13E3.xml |
| 144 | Ownership Submission | Sample_144.xml |
| N/A | Modules and Segments Submission | Sample_MODULE.xml<br>Sample_SEGMENT.xml |
| CORRESP | Correspondence Submission | Sample_CORRESP.xml |
| N/A | Bulk Submission | Sample_BulkSubmission.xml |
| SC 14N | Subject CoReg Submission | Sample_SC_14N.xml |
| ABS 15G | Asset Backed Securities Report | Sample_ABS-15G |
| N-1A | CoReg Series Class | Sample_N1A.xml |
| SD | Specialized Disclosure Report | Sample_SD.xml |

| Submission Type | Submission Family | Submission File |
|---|---|---|
| NPORT-EX | NPORT-Disclosure Reporting Reform | Sample_NPORT-EX.xml |
| NT-NCEN | N-CEN Disclosure Reporting Reform | Sample_NT-NCEN.xml |
| 10-D | CoReg Submission | Sample_10-D.xml |
| N-LIQUID | Single Filer Series and Class Submission | Sample_N-LIQUID.xml |
| 486BXT | CoReg Submission | Sample_486BXT.xml |
| SF-1MEF | CoReg Serial Submission | Sample_SF-1MEF.xml |

## APPENDIX A.   STATE AND COUNTRY CODES

These are the valid designators for the <stateOrCountryCode> element in the primary document. These codes are actually a combination of values for the 50 U.S. states, the Canadian Provinces, and other countries and territories.

| Code | State or 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 |
| HI | HAWAII |
| ID | IDAHO |
| IL | ILLINOIS |
| IN | INDIANA |
| IA | IOWA |
| KS | KANSAS |
| KY | KENTUCKY |
| LA | LOUISIANA |
| ME | MAINE |
| MD | MARYLAND |
| MA | MASSACHUSETTS |

| Code | State or Country Name |
|------|----------------------|
| 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 |
| RI | RHODE ISLAND |
| SC | SOUTH CAROLINA |
| SD | SOUTH DAKOTA |
| TN | TENNESSEE |
| TX | TEXAS |
| X1 | UNITED STATES |
| UT | UTAH |
| VT | VERMONT |

| Code | State or Country Name |
|------|----------------------|
| VA | VIRGINIA |
| WA | WASHINGTON |
| WV | WEST VIRGINIA |
| WI | WISCONSIN |
| WY | WYOMING |
| 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 |

| Code | State or Country Name |
| --- | --- |
| B8 | ANTARCTICA |
| B9 | ANTIGUA AND BARBUDA |
| C1 | ARGENTINA |
| 1B | ARMENIA |
| 1C | ARUBA |
| C3 | AUSTRALIA |
| C4 | AUSTRIA |
| 1D | AZERBAIJAN |
| C5 | BAHAMAS |
| 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 |

| Code | State or Country Name |
|------|----------------------|
| 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 |

| Code | State or Country Name |
|------|----------------------|
| 1G | DJIBOUTI |
| G9 | DOMINICA |
| G8 | DOMINICAN REPUBLIC |
| 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 |

| Code | State or Country Name |
|------|----------------------|
| J4 | GREENLAND |
| J5 | GRENADA |
| J6 | GUADELOUPE |
| GU | GUAM |
| 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 |
| L8 | JAMAICA |

| Code | State or Country Name |
|------|----------------------|
| 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 |

| Code | State or Country Name |
|------|-----------------------|
| 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 |
| P5 | NAURU |
| P6 | NEPAL |
| P7 | NETHERLANDS |
| P8 | NETHERLANDS ANTILLES |
| 1W | NEW CALEDONIA |
| Q2 | NEW ZEALAND |
| Q3 | NICARAGUA |

| Code | State or Country Name |
|------|------------------------|
| 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 |
| PR | PUERTO RICO |
| S3 | QATAR |
| S4 | REUNION |
| S5 | ROMANIA |
| 1Z | RUSSIAN FEDERATION |
| S6 | RWANDA |
| Z0 | SAINT BARTHELEMY |

| Code | State or Country Name |
|------|----------------------|
| 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 |
| 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 |

| Code | State or Country Name |
|------|----------------------|
| 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 |

| Code | State or Country Name |
|------|----------------------|
| 2K | UZBEKISTAN |
| 2L | VANUATU |
| X5 | VENEZUELA |
| Q1 | VIET NAM |
| D8 | VIRGIN ISLANDS, BRITISH |
| VI | VIRGIN ISLANDS, U.S. |
| X8 | WALLIS AND FUTUNA |
| U5 | WESTERN SAHARA |
| T7 | YEMEN |
| Y4 | ZAMBIA |
| Y5 | ZIMBABWE |
| XX | UNKNOWN |

## 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 |
| ELO | EDGARLink Online |
| PDF | Portable Document Format |
| SEC | Securities and Exchange Commission |
| XML | Extensible Markup Language |