

## APPENDIX E. AUTOMATED CONFORMANCE RULES FOR EDGAR DATA FIELDS

Values for some EDGAR data fields must be presented in a specific “conformed” format. These values are listed within this section:

1. 8-K and 1-U Items
2. Fee Payment Method
3. Self Regulatory Organizations (SROs)
4. Submission and/or Document Type
5. Relationship
6. Period
7. Date of Status

### E.1 8-K and 1-U Items

The various Form 8-K submissions require reporting of one or more specific events by specifying the Item Number for each reportable event. Table E-1: Form 8-K Item Numbers for Reportable Events and Table E-2: 1-U Item Numbers for Reportable Events specify the Item numbers to use for the reportable events.

Form 8-K submissions prior to August 23, 2004, used a different numbering scheme for the reportable events. Query commands for 8-K Items require both the new item number and the old number to be specified when searching for 8-K items reported before and after August 23, 2004. Table E-1 specifies both the new and old item numbers. The table is divided into sections of related reportable events.

**Table E-1: Form 8-K Item Numbers for Reportable Events**

Item No.	Event Title	Item No. Prior to 8/23/04	Event Title – Prior to 8/23/04
	<b>Section 1 – Registrant’s Business and Operations</b>		
1.01	Entry into a Material Definitive Agreement		
1.02	Termination of a Material Definitive Agreement		
1.03	Bankruptcy or Receivership	3	Bankruptcy or Receivership
1.04	Mine Safety – Reporting of Shutdowns and Patterns of Violations		
	<b>Section 2 – Financial Information</b>		
2.01	Completion of Acquisition or Disposition of Assets	2	Acquisition or Disposition of Assets
2.02	Results of Operation and Financial Condition	12	Results of Operations and Financial Condition
2.03	Creation of a Direct Financial Obligation or an Obligation under an Off-Balance Sheet Arrangement or a Registrant		

Item No.	Event Title	Item No. Prior to 8/23/04	Event Title – Prior to 8/23/04
2.04	Triggering Events That Accelerate or Increase a Direct Financial Obligation under an Off-Balance Sheet Arrangement		
2.05	Cost Associated with Exit or Disposal Activities		
2.06	Material Impairments		
	<b>Section 3 - Securities and Trading Markets</b>		
3.01	Notice of Delisting or Failure to Satisfy a Continued Listing Rule or Standard; Transfer of Listing		
3.02	Unregistered Sales of Equity Securities		
3.03	Material Modifications to Rights of Security Holder		
	<b>Section 4 - Matters Related to Accountants and Financial Statements</b>		
4.01	Changes in Registrant's Certifying Accountant	4	Changes in Registrant's Certifying Accountant
4.02	Non-Reliance on Previously Issued Financial Statements or a Related Audit Report or Completed Interim Review		
	<b>Section 5 – Corporate Governance and Management</b>		
5.01	Changes in Control of Registrant	1	Changes in Control of Registrant
5.02	Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers	6	Resignations of Registrant's Directors
5.03	Amendments to Articles of Incorporation or Bylaws; Change in Fiscal Year	8	Change in Fiscal Year
5.04	Temporary Suspension of Trading Under Registrant's Employee Benefit Plans	11	Temporary Suspension of Trading Under Registrant's Employee Benefit Plans
5.05	Amendments to the Registrant's Code of Ethics, or Waiver of a Provision of the Code of Ethics	10	Amendments to the Registrant's Code of Ethics
5.06	Change in Shell Company Status		
5.07	Submission of Matters to Vote of Security Holders		
5.08	Shareholder Nominations Pursuant to Exchange Act Rule 14a-11		
	<b>Section 6 – Asset-Backed Securities</b>		
6.01	ABS Information and Computational Material		
6.02	Change of Servicer or Trustee		

Item No.	Event Title	Item No. Prior to 8/23/04	Event Title – Prior to 8/23/04
6.03	Change in Credit Enhancement or Other External Support		
6.04	Failure to Make a Required Distribution		
6.05	Securities Act Updating Disclosure		
6.06	Static Pool		
	<b>Section 7 – Regulation FD</b>		
7.01	Regulation FD Disclosure	9	Sales of equity securities pursuant to Regulation S
	<b>Section 8 – Other Events</b>		
8.01	Other Events	5	Other Events
	<b>Section 9 – Financial Statements and Exhibits</b>		
9.01	Financial Statements and Exhibits	7	Financial Statements and Exhibits
(none)	(not on list)	13	Receipt of an Attorney's Written Notice Pursuant to 17 CFR 205.3(d)

**Table E-2: 1-U Item Numbers for Reportable Events**

1-U Item No.	1-U Event Title
1	Fundamental Changes
2	Bankruptcy or Receivership
3	Material Modification to Rights of Securityholders
4	Changes in Issuer's Certifying Accountant
5	Non-reliance on Previously Issued Financial Statement or a Related Audit Report or Completed Interim Review
6	Changes in Control of Issuer
7	Departure of Certain Officers
8	Certain Unregistered Sales of Equity Securities
9.1	Other Events
9.2	Other Events (quarterly financials)

## **E.2 Fee Payment Method**

FEE PAYMENT METHOD – Values acceptable with the METHOD data field.

- LOCKBOX
- FEDWIRE

### E.3 Self-Regulatory Organization (SROS)

SELF-REGULATORY ORGANIZATIONS – Values acceptable with the SROS data field.

<b>ORGANIZATION</b>	<b>VALUE</b>
American Stock Exchange	AMEX
New York Stock Exchange Archipelago	ARCA
Boston Stock Exchange	BSE
Chicago Board Options Exchange	CBOE
Chicago Stock Exchange	CHX
Financial Industry Regulatory Authority	FINRA
International Stock Exchange	ISE
National Association of Securities Dealers	NASD
National Stock Exchange	NSX
New York Stock Exchange	NYSE
Pacific Exchange, Inc.	PCX
Philadelphia Stock Exchange	PHLX
Not Applicable	NONE

### E.4 Submission and/or Document Types

SUBMISSION AND/OR DOCUMENT TYPES – Values acceptable with the TYPE data field.

1. The following SUBMISSION TYPE data field values are acceptable:

<b>DESCRIPTION</b>	<b>VALUE</b>
EDGAR name of required submission	All submission types listed in Chapter 3 and APPENDIX C
Correspondence Submission (Template 4)	CORRESP
Modular Submission (Template 5)	MODULE
Segment Submission (Template 5)	SEGMENT

2. The following DOCUMENT TYPE data field values are acceptable:

<b>DESCRIPTION</b>	<b>VALUE</b>
Cover letter	COVER
Correspondence document	CORRESP
Graphic content in an HTML attachment	GRAPHIC
NASAA document	EU-1

DESCRIPTION	VALUE
Type 1 Module or Segment document	TYPE 1
Name of submission type you must file	All submission types listed in Chapter 3 and APPENDIX C
Exhibits under Regulations S-K for Investment Companies	See examples of Document Type Values for Investment Company Exhibits for Certain Forms following these tables.

1. The following DOCUMENT TYPE data field values are acceptable for exhibits under Regulations S-K and Regulations S-B. See examples of Document Type Values for Investment Company Exhibits for Certain Forms following this table. The Document Type Values for the XBRL Voluntary Financial Reporting Program on the EDGAR System is also shown following the examples for Investment Company Exhibits.

Regulation S-K (229.601) DESCRIPTION	Regulation S-B (228.601) DESCRIPTION	VALUE
(1) Underwriting agreement	(1) Underwriting agreement	EX-1
(2) Plan of acquisition, reorganization, arrangement, liquidation or succession	(2) Plan of purchase, sale, reorganization, arrangement, liquidation or succession	EX-2
(3) (i) Articles of incorporation	(3) (i) Articles of Incorporation	EX-3.(i)
(ii) Bylaws	(ii) Bylaws	EX-3.(ii)
(4) Instruments defining the rights of security holders, including indentures	(4) Instruments defining the rights of security holders, including indentures	EX-4
(5) Opinion re legality	(5) Opinion on legality	EX-5
(6) [Reserved]	(6) No exhibit required	
(7) Correspondence from an independent accountant regarding non-reliance on a previously issued audit report or completed interim review	(7) Correspondence from an independent accountant regarding non-reliance upon a previously issued audit report or completed interim review	EX-7
(8) Opinion re tax matters	(8) Opinion on tax matters	EX-8
(9) Voting trust agreement	(9) Voting trust agreement and amendments	EX-9
(10) Material contracts	(10) Material contracts	EX-10
(11) Statement re computation of per share earnings	(11) Statement re computation of per share earnings	EX-11
(12) Statements re computation of ratios	(12) No exhibit required	EX-12
(13) Annual report to security holders, Form 10-Q and 10-QSB, or quarterly report to security holders <sup>1</sup>	(13) Annual report to security holders for the last fiscal year, Form 10-Q or 10-QSB or quarterly report to security holders <sup>1</sup>	EX-13
(14) Code of Ethics	(14) Code of ethics	EX-14
(15) Letter re unaudited interim financial information	(15) Letter on unaudited interim financial information	EX-15
(16) Letter re change in certifying accountant <sup>4</sup>	(16) Letter on change in certifying accountant <sup>4</sup>	EX-16

<b>Regulation S-K (229.601) DESCRIPTION</b>	<b>Regulation S-B (228.601) DESCRIPTION</b>	<b>VALUE</b>
(17) Correspondence on departure of director	(17) Letter on departure of director	EX-17
(18) Letter re change in accounting principles	(18) Letter on change in accounting principles	EX-18
(19) Report furnished to security holders	(19) Reports furnished to security holders	EX-19
(20) Other documents or statements to security holders	(20) Other documents or statements to security holders or any document incorporated by reference	EX-20
(21) Subsidiaries of the registrant	(21) Subsidiaries of the small business issuer	EX-21
(22) Published report regarding matters submitted to vote of security holders	(22) Published report regarding matters submitted to vote of security holders	EX-22
(23) Consents of experts and counsel	(23) Consents of experts and counsel	EX-23
(24) Power of attorney	(24) Power of attorney	EX-24
(25) Statement of eligibility of trustee	(25) Statement of eligibility of trustee	EX-25
(26) Invitations for competitive bids	(26) Invitations for competitive bids	EX-26
(27) through (30) [Reserved]	(27) through (30) [Reserved]	
(31) Rule 13a-14(a)/15d-14(a)Certifications	(31) Rule 13a-14(a)/15d-14(a)Certifications	EX-31
(32) Section 1350 Certifications	(32) Section 1350 Certifications	EX-32
(33) Report of compliance with servicing criteria for asset-backed securities	(33) Report of compliance with servicing criteria for asset-backed securities	EX-33
(34) Attestation report on assessment of compliance with servicing criteria for asset-backed securities	(34) Attestation report on assessment of compliance with servicing criteria for asset-backed securities	EX-34
(35) Servicer compliance statement	(35) Servicer compliance statement	EX-35
(36) Depositor Certification for shelf offerings of asset-backed securities	(36) Depositor Certification for shelf offerings of asset-backed securities	EX-36
(95) Mine Safety Disclosure Exhibit	(95) Mine Safety Disclosure Exhibit	EX-95
(99) Additional exhibits	(99) Additional exhibits	EX-99
(100) XBRL-Related Documents	(100) XBRL-Related Documents	EX-100
(101) Interactive Data Documents	(101) XBRL-Related Documents	EX-101
(102) Asset Data File	(102) Asset Data File	EX-102
(103) Asset Related Document	(103) Asset Related Document	EX-103
(106) Static Pool	(106) Static Pool	EX-106

Other exhibit selections are as follows:

**E.4.1 Document Type Values for Investment Company Exhibits for Forms N-1A and N-14:**

**Form N-1A Exhibits Item 23**

EX-99.a CHARTER  
EX-99.b BYLAWS  
EX-99.c HOLDERS RTS  
EX-99.d ADVSR CONTR  
EX-99.e UNDR CONTR  
EX-99.f BONUS PROFIT  
EX-99.g CUST AGREEMT  
EX-99.h OTH MAT CONT  
EX-99.i LEGAL OPININ  
EX-99.j OTHER OPININ  
EX-99.k OMT FIN STAT  
EX-99.l INT CAP AGRE  
EX-99.m 12B-1 PLAN  
EX-99.n 18F-3 PLAN  
EX-99.p CODE ETH

**Form N-14 Exhibits 16**

EX-99.1 CHARTER  
EX-99.2 BYLAWS  
EX-99.3 VOTING TRUST  
EX-99.4 ACQ AGREEMNT  
EX-99.5 HOLDERS RTS  
EX-99.6 ADVSER CONTR  
EX-99.7 DISTR CONTR  
EX-99.8 O&D BENEFITS  
EX-99.9 CUST CONTRCT  
EX-99.10 12B1 PLAN  
EX-99.11 OPIN COUNSL  
EX-99.12 TAX OPINION  
EX-99.12 REV RULING  
EX-99.13 OTH CONTRCT  
EX-99.14 OTH CONSENT  
EX-99.15 OTH FIN ST  
EX-99.16 PWR OF ATTY  
EX-99.17 (as approp)

#### **E.4.2 Document Type Values for Investment Company Exhibits for Forms N-2 and N-6:**

##### **Form N-2 Exhibits Item 24 (2)**

EX-99.2A CHARTER  
EX-99.2B BYLAWS  
EX-99.2C VOTING TRST  
EX-99.2D HOLDERS RTS  
EX-99.2E DIV REIN PL  
EX-99.2F SUBSID DEBT  
EX-99.2G ADVSR CONTR  
EX-99.2H DISTR CONTR  
EX-99.2I O&D BENEFITS  
EX-99.2J CUST CONTR  
EX-99.2K OTH CONTRCT  
EX-99.2L OPIN COUNSL  
EX-99.2M CNSNT SRVCE  
EX-99.2N OTH CONSENT  
EX-99.2O OTH FIN ST  
EX-99.2P STOCK LTR  
EX-99.2Q RETRMT PLAN  
EX-99.2R CODE ETH

##### **Form N-6 Exhibits Item 27**

EX-99.a BD-DIR-RESOL  
EX-99.b CUST-AGRMETS  
EX-99.c UNDER CONTRT  
EX-99.d CONTRACTS  
EX-99.e APPLICATIONS  
EX-99.f DEP CERT/BYL  
EX-99.g REINS CONTRT  
EX-99.h PARTIC AGREE  
EX-99.i ADMIN CONTRT  
EX-99.j OTH MAT CONT  
EX-99.k LEGAL OPININ  
EX-99.l ACTUARIAL OP  
EX-99.m CALCUALTION  
EX-99.n OTH OPINIONS  
EX-99.o OMITD FIN ST  
EX-99.p INIT CAP AGR  
EX-99.q REDEEM EXEMP

\* Name of exhibit may vary depending on the specific content of the exhibit.

**Note:** You may include up to fourteen characters after the decimal point in the document type value.



**E.4.3 Document Type Values for Investment Company Exhibits For Filings Made on Forms N-8B-2 and S-6:**

PAR	FORM N-8b-2	INSTR	FORM S-6
A	EX-99.A1 INDNTR ORGN	1	EX-99.A1 INDNTR ORGN
	EX-99.A2 INDNTR PMT		EX-99.A2 INDNTR PMT
	EX-99.A3A DIST CONTR		EX-99.A3A DIST CONTR
	EX-99.A3B DEALER AGR		EX-99.A3B DEALER AGR
	EX-99.A3C SCH COMMIS		EX-99.A3C SCH COMMIS
	EX-99.A4 OTHER AGRMT		EX-99.A4 OTHER AGRMT
	EX-99.A5 FORM/SECRTY		EX-99.A5 FORM/SECRTY
	EX-99.A6 CERT/BYLAWS		EX-99.A6 CERT/BYLAWS
	EX-99.A7 INSR POLICY		EX-99.A7 INSR POLICY
	EX-99.A8 DEPOSIT AGR		EX-99.A8 DEPOSIT AGR
	EX-99.A9 OTHER CONTR		EX-99.A9 OTHER CONTR
	EX-99.A10 PERIODC PP		EX-99.A10 PERIODC PP
	EX-99.A11 CODE ETH	2	EX-99.2 OPIN COUNSEL
B	EX-99.B1 NOTIC/SHLDR	3	EX-99.3 OTHER FIN ST
	EX-99.B2 ANRPT/SHLDR	4	EX-99.4 UNREG ISSUER
C	Dealer's name & address		Other consents required by Instruction 4 of S-6 (as applicable):
			EX-99.C1 ACCT CONSNT
			EX-99.C2 EVAL CONSNT
			EX-99.C3 RTG AGY OPN
			EX-99.C4 TAX OPINION
			EX-99.C5 REV RULING
			EX-99.C6 OTHER OPIN

**Note:** (1) The content of this exhibit shall be supplied separately as confidential information pursuant to rule 45a-1 (in paper format).

(2) You may include up to fourteen characters after the decimal point in the document type value.

#### **E.4.4 Document Type Values for Investment Company Exhibits Filed with Form N-SAR:**

<b>ITEM 77</b>	<b>DOCUMENT TYPE</b>
B	EX-99.77B ACCT LTTR
C	EX-99.77C VOTES
D	EX-99.77D POLICIES
E	EX-99.77E LEGAL
F	EX-99.77F CHNG DEBT
G	EX-99.77G DEFAULTS
H	EX-99.77H CHNG CNTRL
I	EX-99.77I NEW SECUR
J	EX-99.77J REVALUATN
K	EX-99.77K CHNG ACCNT
L	EX-99.77L NEW ACCTNG
M	EX-99.77M MERGERS
N	EX-99.77N RULE 2A-7
O	EX-99.77O RULE 10F-3
P	EX-99.77P EXMPT INFO
Q1	EX-99.77Q1 OTHR EXHB
Q2	EX-99.77Q2 ITEM 405

#### **E.4.5 Document Type Values for Exhibits Filed with Form N-CSR:**

- EX-99.CERT
- EX-99.906CERT
- EX-99.CODE ETH
- EX-99.Rule23C1
- EX-99.IND PUB ACCT

#### **E.4.6 Document Type Values for Exhibits Filed with Form N-Q:**

- EX-99.CERT

#### E.4.7 Document Type Values for Exhibits Filed with Form ABS-EE:

Document Type	Description	File name Extension
EX-102	Asset Data File	*.xml
EX-103	Asset Related Document	*.xml

**Note:** Refer to the “EDGAR ABS XML Technical Specification” document for more information on ABS Asset Data Files. Each element listed in the Element/Attribute Name column in section 3.4 (Mapping of ABS Schemas to Asset Data Types) of “EDGAR ABS XML Technical Specification” document corresponds to an Item number of Schedule AL – Asset-Level Information (17 CFR 229.1125). Schedule AL contains the complete title and description of each of the disclosure requirements and filers should refer to Schedule AL for a full description of the information that must be provided in any ABS Asset Data File.

#### E.4.8 Document Type Values for Exhibits Attached to Filings as XBRL-Related Documents for the XBRL Voluntary Financial Reporting Program:

Document Type	Description	File name Extension
EX-100.INS	XBRL Instance document (Required)	*.xml
EX-100.SCH	XBRL Taxonomy Extension Schema document	*.xsd
EX-100.CAL	XBRL Taxonomy Extension Calculation Linkbase document	*.xml
EX-100.DEF	XBRL Taxonomy Extension Definition Linkbase document	*.xml
EX-100.LAB	XBRL Taxonomy Extension Labels Linkbase document	*.xml
EX-100.PRE	XBRL Taxonomy Extension Presentation Linkbase document	*.xml
EX-100.REF	XBRL Taxonomy Extension Reference Linkbase document	*.xml

Notes:

- (1) When using the values EX-1 through EX-99, you may add characters after a decimal point to further define the exhibit being submitted. For example: EX-10.24 Supply contracts
- (2) You may include up to fourteen characters after the decimal point in the document type value.
- (3) You may not attach exhibits to document types CORRESP, modules, or segments.
- (4) A correspondence filing may include up to 100 correspondence documents.
- (5) The number and types of documents you can submit are limited. Please see the DOCUMENT COUNT data field for more information.
- (6) Although the Reference Linkbase file is a valid attachment type, at the moment it is not used.

#### E.4.9 Document Type Values for Exhibits Filed with Municipal Advisor Forms:

- EX-99.31 MA-NR
- EX-99.34 OPIN COUNSL
- EX-99.32 APP CRT DOC
- EX-99.33 APP REG DOC

#### E.4.10 Document Type Values for Exhibits Filed with Regulation A Submission Form Types:

1-A and DOS	1-K	1-SA	1-U
EX1A-1 UNDR AGMT	EX1K-1 UNDR AGMT	EX1SA-1 UNDR AGMT	EX1U-1 UNDR AGMT
EX1A-2A CHARTER	EX1K2A CHARTER	EX1SA-2A CHARTER	EX1U-2A CHARTER
EX1A-2B BYLAWS	EX1K-2B BYLAWS	EX1SA-2B BYLAWS	EX1U-2B BYLAWS
EX1A-3 HLDRS RTS	EX1K-3 HLDRS RTS	EX1SA-3 HLDRS RTS	EX1U-3 HLDRS RTS
EX1A-4 SUBS AGMT	EX1K-4 SUBS AGMT	EX1SA-4 SUBS AGMT	EX1U-4 SUBS AGMT
EX1A-5 VOTG TRST	EX1K-5 VOTG TRST	EX1SA-5 VOTG TRST	EX1U-5 VOTG TRST
EX1A-6 MAT CTRCT	EX1K-6 MAT CTRCT	EX1SA-6 MAT CTRCT	EX1U-6 MAT CTRCT
EX1A-7 ACQ AGMT	EX1K-7 ACQ AGMT	EX1SA-7 ACQ AGMT	EX1U-7 ACQ AGMT
EX1A-8 ESCW AGMT	EX1K-8 ESCW AGMT	EX1SA-8 ESCW AGMT	EX1U-8 ESCW AGMT
EX1A-9 ACCT LTR	EX1K-9 ACCT LTR	EX1SA-9 ACCT LTR	EX1U-9 ACCT LTR
EX1A-10 PWR ATTY	EX1K-10 PWR ATTY	EX1SA-10 PWR ATTY	EX1U-10 PWR ATTY
EX1A-11 CONSENT	EX1K-11 CONSENT	EX1SA-11 CONSENT	EX1U-11 CONSENT
EX1A-12 OPN CNSL	EX1K-12 OPN CNSL	EX1SA-12 OPN CNSL	EX1U-12 OPN CNSL
EX1A-13 TST WTRS	EX1K-13 TST WTRS	EX1SA-13 TST WTRS	EX1U-13 TST WTRS
EX1A-14 CNSNT SV	EX1K-14 CNSNT SV	EX1SA-14 CNSNT SV	EX1U-14 CNSNT SV
EX1A-15 ADD EXHB	EX1K-15 ADD EXHB	EX1SA-15 ADD EXHB	EX1U-15 ADD EXHB

#### E.4.11 Document Type Values for Exhibits Filed with Form C

- EX-99

#### E.4.12 Document Type Values for Exhibits Filed with Form Funding Portal

- EX-99.32 APP CRT DOC
- EX-99.33 APP REG DOC
- EX-99.34 OPIN COUNSL
- EX-99.35 OTHER

**Note:** Multiple attachments of the same document type may be attached to a single submission.

#### E.4.13 Document Type Values for Exhibits Filed with Form SDR:

Form SDR Item	Document Type	SDR	SDR/A	SDR-A	SDR-W	File name Extension
Item 14 (Exhibit A)	EX-99.A SDR AGRMNT	Optional	Optional	Optional	Optional	*.txt, *.htm
Item 14 (Exhibit A)	EX-99.A SDR SUMMARY	Required	Optional	Required	Optional	*.xml
Item 15 (Exhibit B)	EX-99.B SDR	Required	Optional	Required	Optional	*.xml
Item 16 (Exhibit C)	EX-99.C SDR	Required	Optional	Required	Optional	*.xml
Item 17 (Exhibit D)	EX-99.D SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 18 (Exhibit E)	EX-99.E SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 19 (Exhibit F)	EX-99.F SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 20 (Exhibit G)	EX-99.G SDR	Required	Optional	Required	Optional	*.xml
Item 21 (Exhibit H)	EX-99.H SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 22 (Exhibit I)	EX-99.I SDR CNTRCT	Optional	Optional	Optional	Optional	*.txt, *.htm
Item 22 (Exhibit I)	EX-99.I SDR SUMMARY	Required	Optional	Required	Optional	*.xml
Item 23 (Exhibit J)	EX-99.J SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 24 (Exhibit K)	EX-99.K SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 24 (Exhibit K)	EX-99.K SDR.INS	Required	Optional	Required	Optional	*.xml
Item 24 (Exhibit K)	EX-99.K SDR.PRE	Required	Optional	Required	Optional	*.xml
Item 24 (Exhibit K)	EX-99.K SDR.LAB	Optional	Optional	Optional	Optional	*.xml
Item 24 (Exhibit K)	EX-99.K SDR.CAL	Optional	Optional	Optional	Optional	*.xml
Item 24 (Exhibit K)	EX-99.K SDR.DEF	Optional	Optional	Optional	Optional	*.xml
Item 25 (Exhibit L)	EX-99.L SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 25 (Exhibit L)	EX-99.L SDR.INS	Required	Optional	Required	Optional	*.xml

<b>Form SDR Item</b>	<b>Document Type</b>	<b>SDR</b>	<b>SDR/A</b>	<b>SDR-A</b>	<b>SDR-W</b>	<b>File name Extension</b>
Item 25 (Exhibit L)	EX-99.L SDR.SCH	Required	Optional	Required	Optional	*.xsd
Item 25 (Exhibit L)	EX-99.L SDR.PRE	Required	Optional	Required	Optional	*.xml
Item 25 (Exhibit L)	EX-99.L SDR.LAB	Optional	Optional	Optional	Optional	*.xml
Item 25 (Exhibit L)	EX-99.L SDR.CAL	Optional	Optional	Optional	Optional	*.xml
Item 25 (Exhibit L)	EX-99.L SDR.DEF	Optional	Optional	Optional	Optional	*.xml
Item 26 (Exhibit M)	EX-99.M SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 27 (Exhibit N)	EX-99.N SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 28 (Exhibit O)	EX-99.O SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 29 (Exhibit P)	EX-99.P SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 30 (Exhibit Q)	EX-99.Q SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 31 (Exhibit R)	EX-99.R SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 32 (Exhibit S)	EX-99.S SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 33 (Exhibit T)	EX-99.T SDR	Required	Optional	Required	Optional	*.xml
Item 34 (Exhibit U)	EX-99.U SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 35 (Exhibit V)	EX-99.V SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 36 (Exhibit W)	EX-99.W SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 37 (Exhibit X)	EX-99.X SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 38 (Exhibit Y)	EX-99.Y SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 39 (Exhibit Z)	EX-99.Z SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 40 (Exhibit AA)	EX-99.AA SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 41 (Exhibit BB)	EX-99.BB SDR	Required	Optional	Required	Optional	*.txt, *.htm

Form SDR Item	Document Type	SDR	SDR/A	SDR-A	SDR-W	File name Extension
Item 42 (Exhibit CC)	EX-99.CC SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 43 (Exhibit DD)	EX-99.DD SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 44 (Exhibit EE)	EX-99.EE SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 45 (Exhibit FF)	EX-99.FF SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 46 (Exhibit GG)	EX-99.GG SDR	Required	Optional	Required	Optional	*.txt, *.htm
Item 47 (Exhibit HH)	EX-99.HH SDR	Optional	Optional	Optional	Optional	*.txt, *.htm
Item 48 (Exhibit II)	EX-99.II SDR	Optional	Optional	Optional	Optional	*.txt, *.htm

**Note:** Refer to the “EDGAR SDR XML Technical Specification” document available on the SEC’s Public Website (<https://www.sec.gov/info/edgar.shtml>) for information on preparing exhibits A, B, C, G, I, and T in XML format. For information on preparing exhibits in ASCII and HTML format, refer to Section 5.2.1, “ASCII Documents” and Section 5.2.2, “HTML.”

#### **E.4.14 Document Type Values for Exhibits Filed with SBS Entity Forms**

- EX-99.32 APP CRT DOC
- EX-99.33 APP REG DOC
- EX-99.34 OPIN COUNSL
- EX-99.35 OTHER
- GRAPHIC

**Note:** Multiple attachments of the same document type may be attached.



#### E.4.15 Document Type Values for Attachments Filed with Form X-17A-5 Part III

Document Type Name	Broker-dealer Required Document	OTC derivatives dealer Required Document	Broker-dealer: Public/Confidential Document	OTC derivatives dealer: Public/Confidential Document	File name Extension
FULL*	Optional	Optional	Public or Confidential	Public or Confidential	*.txt, *.htm, *.pdf
STMT FIN COND	Required	Required	Public Only	Public or Confidential	*.txt, *.htm, *.pdf
STMT FIN COND NOTES	Required	Required	Public Only	Public or Confidential	*.txt, *.htm, *.pdf
STMT INCOME	Required	Required	Public or Confidential	Public or Confidential	*.txt, *.htm, *.pdf
STMT CASH FLOW	Required	Required	Public or Confidential	Public or Confidential	*.txt, *.htm, *.pdf
STMT CHG SH EQY	Required	Required	Public or Confidential	Public or Confidential	*.txt, *.htm, *.pdf
STMT CHG SUB LIABS	Optional	Optional	Public or Confidential	Public or Confidential	*.txt, *.htm, *.pdf
FINAN STMTS NOTES	Optional	Optional	Public or Confidential	Public or Confidential	*.txt, *.htm, *.pdf
COMP NET CAP	Required	Required	Public or Confidential	Public or Confidential	*.txt, *.htm, *.pdf
COMP RESERV REQ	Optional	Not allowed	Public or Confidential	Not allowed	*.txt, *.htm, *.pdf
INFO POS CTRL REQ	Optional	Not allowed	Public or Confidential	Not allowed	*.txt, *.htm, *.pdf
RECONCIL CAP RESERV	Optional	Not allowed	Public or Confidential	Not allowed	*.txt, *.htm, *.pdf
SUM UNCONSOLTD SUBS	Optional	Optional	Public or Confidential	Public or Confidential	*.txt, *.htm, *.pdf

Document Type Name	Broker-dealer Required Document	OTC derivative s dealer Required Document	Broker-dealer: Public/ Confidential Document	OTC derivatives dealer: Public/ Confidential Document	File name Extension
COMPL RPT*	Conditionally Required: Can only be attached if no EXEMP RPT is attached	Not allowed	Public or Confidential	Not allowed	*.txt, *.htm, *.pdf
EXEMP RPT*	Conditionally Required: Can only be attached if no COMPL RPT is attached	Not allowed	Public or Confidential	Not allowed	*.txt, *.htm, *.pdf
ACCT RPT STMT FIN CO	Optional	Optional	Public Only	Public Only	*.txt, *.htm, *.pdf
ACCT RPT FIN RPT	Required	Required	Public Only if ACCT RPT STMT FIN CO is not attached. Public or Confidential if ACCT RPT STMT FIN CO is attached.	Public or Confidential	*.txt, *.htm, *.pdf
ACCT RPT COMPL RPT	Required only if COMP RPT is attached. If COMP RPT is not attached, this document is not allowed.	Not allowed	Public or Confidential	Not allowed	*.txt, *.htm, *.pdf
ACCT RPT EXEMP RPT	Required only if EXEMP RPT is attached. If EXEMP RPT is not attached, this document is not allowed.	Not allowed	Public or Confidential	Not allowed	*.txt, *.htm, *.pdf
ANC/OTC AGD PROC	Optional	Required	Public or Confidential	Public or Confidential	*.txt, *.htm, *.pdf

Document Type Name	Broker-dealer Required Document	OTC derivative s dealer Required Document	Broker-dealer: Public/ Confidential Document	OTC derivatives dealer: Public/ Confidential Document	File name Extension
MAT INADEQ RPT	Not allowed	Required	Not allowed	Public or Confidential	*.txt, *.htm, *.pdf
OTHER	Optional	Optional	Public or Confidential	Public or Confidential	*.txt, *.htm, *.pdf
COVER	Optional	Optional	N/A	N/A	*.txt, *.htm, *.pdf
CORRESP	Optional	Optional	N/A	N/A	*.txt, *.htm, *.pdf
GRAPHIC	Optional	Optional	N/A	N/A	*.gif, *.jpg

\*If a “FULL” document designated as “Public” is attached, all other attachments are Optional. Otherwise, the attachment requirements remain as indicated throughout this chart.

**Note:** PDF attachments are Official PDFs and do not require a related \*.txt or \*.htm attachment.

#### E.4.16 Document Type Values for Document Attachments Filed with Form 17-H

All document attachments filed with Form 17-H are confidential and will not be disseminated. All documents beginning with “17H.\*” can be attached for each Material Associated Person being reported on the 17-H submission. For more information on Material Associated Persons, see Section 8.2.22, “Completing a Form 17-H Submission.”

Document Type Name	Description	Required	File name extension
ORGCHART	Organizational Chart	Required if “No material changes have occurred since last filed” is not selected. Always required for 17HACON filings, even if “No material changes have occurred since last filed” is selected. Otherwise, ORGCHART is Optional.	*.txt, *.htm, *.pdf, *.gif, *.jpg
RISKMGMT	Risk Management	Required if “No material changes have occurred since last filed” is not selected. Otherwise, RISKMGMT is Optional.	*.txt, *.htm, *.pdf
LEGALPROC	Legal Proceedings	Required if “No material changes have occurred since last filed” is not selected. Otherwise, LEGALPROC is Optional.	*.txt, *.htm, *.pdf
FINSTMT	Financial Statements	Required	*.txt, *.htm, *.pdf
OTHERCON	Other	Optional	*.txt, *.htm, *.pdf
CORRESP	Correspondence	Optional	*.txt, *.htm, *.pdf
COVER	Cover	Optional	*.txt, *.htm, *.pdf
GRAPHIC	Graphic	Optional	*.gif, *.jpg

<b>Document Type Name</b>	<b>Description</b>	<b>Required</b>	<b>File name extension</b>
17H-AGGR COMM DELTA	Aggregate Securities and Commodities Positions - Summary of delta or similar analysis	Optional	*.txt, *.htm,
17H-FWDS US TR / MBS	U.S. Treasury and mortgage-backed securities - per counterparty breakdown	Optional	*.txt, *.htm,
17H-FWDS OTHER	Other forwards - per counterparty breakdown	Optional	*.txt, *.htm,
17H-INT RT SWP US	Interest Rate Swaps - U.S. dollar denominated swaps - per counterparty breakdown	Optional	*.txt, *.htm,
17H-INT RT SWP C CUR	Interest Rate Swaps - Cross currency swaps - per counterparty breakdown	Optional	*.txt, *.htm,
17H-FRGN SWP	Foreign exchange - Swaps - per counterparty breakdown	Optional	*.txt, *.htm,
17H-FRGN NOTC	Foreign exchange - Notional or contractual amounts of commitments to purchase foreign currencies and U.S. dollar exchange - per counterparty breakdown	Optional	*.txt, *.htm,
17H-SWAP OTHER	All other swap agreements (specify type) - schedule	Optional	*.txt, *.htm,
17H-SWAP OTHER PCB	All other swap agreements - per counterparty breakdown	Optional	*.txt, *.htm,
17H-COMD FWDS	Commodities - per counterparty breakdown	Optional	*.txt, *.htm,
17H-DELTA	Summary of delta or similar analysis	Optional	*.txt, *.htm,
17H-RISK CONC 105	Listing, by amount, of significant concentrations of credit risk as defined in Statement of Financial Accounting Standards No. 105	Optional	*.txt, *.htm,
17H-RE GEOG	Real Estate - listing by geographic region	Optional	*.txt, *.htm,
17H-RISK SINGLE	Information regarding risk concentration to a single borrower, location or property in the investment or loan portfolio	Optional if at least one value is provided in Part II.V.1.(a) to (e) or Part II.V.2.(a) to (e). Otherwise, 17H-RISK SINGLE is not allowed.	*.txt, *.htm,
17H-ADDTL ANSWRS	Material Associated Person - Additional space for answers	Optional	*.txt, *.htm,

**Note:** PDF attachments are Official Documents and do not require a related \*.txt or \*.htm attachment.

**E.4.17 Document Type Values for Exhibit Filed with Form NRSRO and Rule 17g-3 Reports  
NRSRO-UPD – Form NRSRO Update of Registration (Public)**

<b>Item</b>	<b>Document Type Value</b>	<b>File name Extension</b>
Form NRSRO	N/A	*.pdf
Exhibit 2 to Form NRSRO	EX-99.E2 NRSRO	*.pdf
Exhibit 3 to Form NRSRO	EX-99.E3 NRSRO	*.pdf
Exhibit 4 to Form NRSRO	EX-99.E4 NRSRO	*.pdf
Exhibit 5 to Form NRSRO	EX-99.E5 NRSRO	*.pdf
Exhibit 6 to Form NRSRO	EX-99.E6 NRSRO	*.pdf
Exhibit 7 to Form NRSRO	EX-99.E7 NRSRO	*.pdf
Exhibit 8 to Form NRSRO	EX-99.E8 NRSRO	*.pdf
Exhibit 9 to Form NRSRO	EX-99.E9 NRSRO	*.pdf

**NRSRO-CE – Form NRSRO Annual Certification (Public) and NRSRO-CE/A – Amended  
Form NRSRO Annual Certification (Public)**

<b>Item</b>	<b>Document Type Value</b>	<b>File name Extension</b>
Form NRSRO	N/A	*.pdf
Exhibit 1 to Form NRSRO	EX-99.E1 NRSRO	*.pdf
Exhibit 2 to Form NRSRO	EX-99.E2 NRSRO	*.pdf
Exhibit 3 to Form NRSRO	EX-99.E3 NRSRO	*.pdf
Exhibit 4 to Form NRSRO	EX-99.E4 NRSRO	*.pdf
Exhibit 5 to Form NRSRO	EX-99.E5 NRSRO	*.pdf
Exhibit 6 to Form NRSRO	EX-99.E6 NRSRO	*.pdf
Exhibit 7 to Form NRSRO	EX-99.E7 NRSRO	*.pdf
Exhibit 8 to Form NRSRO	EX-99.E8 NRSRO	*.pdf
Exhibit 9 to Form NRSRO	EX-99.E9 NRSRO	*.pdf

**NRSRO-FR – Annual Financial/Other Reports Required by Rule 17g-3 (Non-Public) and  
NRSRO-FR/A – Amended Annual Financial/Other Reports Required by Rule 17g-3  
(Non-Public)**

Item	Document Type Value	File name Extension
Rule 17g-3(a)(1) Report	EX-99.Ra1 NRSRO	*.pdf
Rule 17g-3(a)(2) Report	EX-99.Ra2 NRSRO	*.pdf
Rule 17g-3(a)(3) Report	EX-99.Ra3 NRSRO	*.pdf
Rule 17g-3(a)(4) Report	EX-99.Ra4 NRSRO	*.pdf
Rule 17g-3(a)(5) Report	EX-99.Ra5 NRSRO	*.pdf
Rule 17g-3(a)(6) Report	EX-99.Ra6 NRSRO	*.pdf
Rule 17g-3(a)(6) Signed Statement	EX-99.Ra6S NRSRO	*.pdf
Rule 17g-3(a)(7) Report	EX-99.Ra7 NRSRO	*.pdf
Rule 17g-3(a)(7) Signed Statement	EX-99.Ra7S NRSRO	*.pdf
Rule 17g-3(a)(8) Report	EX-99.Ra8 NRSRO	*.pdf

**E.5 Relationship**

The following values are valid for the RELATIONSHIP data field to represent the terms described below. The RELATIONSHIP data field is acceptable only with the 144 submission types (and amendments to these submissions) used for reporting stock ownership.

DESCRIPTION	VALUE
Owner of more than 10% of Subject Company	Owner
Director of Subject Company	Director
Officer of Subject Company	Officer
None of the above	Other



## E.6 Period

The following table lists some common submission form types where the PERIOD field allows a future date.

**Common submission form types that allow a future date in the PERIOD field:**

Submission Form Type	Submission Form Type	Submission Form Type	Submission Form Type
6-K	6-K/A	DEF 14A	DEF 14C
DEFN14A	N-23C-2	N-23C-2/A	N-23C3A
N-23C3A/A	N-23C3B	N-23C3B/A	N-23C3C
N-23C3C/A	PREM14C	PRE 14A	PRE 14C
PREM14A	PREN14A	8-K	8-K/A
8-K12B	8-K12B/A	8-K12G3	8-K12G3/A
8-K15D5	8-K15D5/A		

**Note:** For submission form type 8-K and its variants, the future date entered for the PERIOD field can be up to the next business date from the date of submission, provided the time of filing is between 5:31 P.M. and 10:00 P.M. Eastern Time.

The following table lists some common submission form types where the PERIOD field cannot contain a future date.

**Common submission form types that cannot contain a future date in the PERIOD field:**

Submission Form Type	Submission Form Type	Submission Form Type	Submission Form Type
10-D*	10-D/A*	10-K	10-K/A
10-KT	10-KT/A	10-Q	10-Q/A
10-QT	10-QT/A	11-K	11-K/A
11-KT	11-KT/A	13F-HR	13F-HR/A
13F-NT	13F-NT/A	18-K	18-K/A
20-F	20-F/A	24F-2NT	24F-2NT/A
40-F	40-F/A	ANLNRPT	ANLNRPT/A
ARS	ARS/A	N-27D-1	N-27D-1/A
N-PX-NT	N-PX-NT/A	N-PX-VR	N-PX-VR/A
N-PX-CR	N-PX-CR/A		

\* The PERIOD field for a 10-D and 10-D/A can contain a future date if part of a combined submission. The 10-D and 10-D/A submissions will use the ABS-EE END PERIOD field, which can contain a future date. If the Forms 10-D and 10-D/A are submitted without Forms ABS-EE and ABS-EE/A, then the PERIOD field cannot contain a future date.

## E.7 Date of Status

You **CANNOT** use a future status date within the following submission types:

<b>Submission form types that do not allow a future status date:</b>
13H-I
13H-R
13H-T