APPENDIX F. GLOSSARY OF COMMONLY USED TERMS, ACRONYMS AND ABBREVIATIONS

Term or Acronym	Definition
ACCEPTANCE MESSAGE	Notification from the SEC that an electronic submission has met the minimum filing requirements and been accepted by EDGAR. If the submitter or filer has an Internet electronic mail (e-mail) address, the acceptance messages are sent by e-mail to that account. Acceptance messages are also sent to all Internet e-mail addresses on the Notification page.
ACCEPTANCE REVIEW	Procedural checks performed by EDGAR to determine whether a filing meets certain minimum filing requirements. The requirements may relate to the composition and completeness of the submission package, as well as to the particular type of filing being made.
ACCEPTED	The term that describes a filing that has successfully passed acceptance review.
ACCESSION NUMBER	A unique number generated by the EDGAR system for each electronic submission. Accession numbers are reported to submitters and filers in the acceptance and suspense messages. Assignment of an accession number does not mean that EDGAR has accepted your submission.
ASCII	American Standard Code for Information Interchange. The ASCII character code must be used for asynchronous transmissions.
ASCII/SGML	This is our term for SGML documents in ASCII format that differ from the HTML document format that EDGAR also supports.
ASSOCIATED PERSON	Any partner, officer, director, or branch manager of a municipal advisor (or any person occupying a similar status or performing similar functions); any other employee of such municipal advisor who is engaged in the management, direction, supervision, or performance of any municipal advisory activities relating to the provision of advice to or on behalf of a municipal entity or obligated person with respect to municipal financial products or the issuance of municipal securities (other than employees who are performing solely clerical, administrative, support or similar functions); and any person directly or indirectly controlling, controlled by, or under common control with such municipal advisor.
ASYNCHRONOUS	A method of data transmission.
BROWSER	Commercially available software used in viewing on the Internet such as Google Chrome and Internet Explorer.
CCC	CIK Confirmation Code
CENTRAL INDEX KEY (CIK)	A unique number assigned by the SEC, distinguishing the company or individual to which it is assigned. Used by EDGAR to identify either a submitter (LOGIN CIK) or filer.
CIK	Central Key Index
CIK CONFIRMATION CODE (CCC)	An eight-character code that EDGAR uses in conjunction with the CIK to authenticate a filer.

Term or Acronym	Definition
CLASS (CONTRACT) IDENTIFIER	Unique identifier assigned by SEC to each class (contract) of an investment company. The format is a 'C' followed by nine digits.
CONFIDENTIAL	Refers to portions of documents omitted from public filings pursuant to SEC rules (e.g., Rule 406 under 1933 Act).
CONFIRMING COPY	An electronic copy of a paper filing. The paper filing is considered to be the official copy and the confirming copy is an electronic duplicate.
COOKIE	A unique string of letters and numbers that the web server stores in a file on your hard drive. This method is used by web designers to track visitors to a website so the visitors do not have to enter the same information every time they visit a new page or revisit the site.
CORRESPONDENCE SUBMISSION	A submission type EDGAR participants may use to submit non-public information, generally correspondence, to the SEC staff that is not 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."
DATA FIELD	An element in a submission.
DATA TAG	An identifier that labels specific information submitted to EDGAR. Data fields are created by placing angle brackets on either side of a term. An end data field is distinguishable from a begin data field by the "/" (virgule/slash) immediately following the opening angle bracket (<). For example, the beginning and end of a table would be signified by <TABLE> and </TABLE>, respectively.
DIRECT TRANSMISSION	An electronic submission sent via the Internet.
DOCUMENT	Document is a generic term for the various forms, reports, schedules, exhibits, items of correspondence, etc., that comprise filings and other submissions. An electronic document originating with a filer or agent can only be sent as part of a submission. A document is a discrete unit of text. One or more documents comprise an electronic submission. Examples of documents include a 1933 Act registration statement, a 1934 Act Form 10-Q, or a cover letter. Each exhibit is a separate document within a submission.
DOCUMENT HEADER	A header used within an EDGAR submission to indicate, by the appropriate use of tags and tag values, the document type, and if desired, the description of the document. EDGAR constructs document headers for each separate document contained within a submission.
DOCUMENT TYPE	Submissions received may consist of more than one document. For example, a Form 10-K, an exhibit, and a cover letter constitute three separate documents in one submission. Each document must begin with a document header. A Form 10-K submission must contain at least one document, which is the Form 10-K.

Term or Acronym	Definition
EDGAR	The SEC's Electronic Data Gathering, Analysis, and Retrieval system for electronic filing.
ELECTRONIC FILER	A person or entity whose required filings must be submitted electronically.
ELECTRONIC FILING	A document or series of documents submitted in electronic format, at least one of which is required to be filed with the SEC pursuant to the federal securities law.
ELECTRONIC SUBMISSION	A form type header and all associated documents representing one or more filings that are transmitted to the Commission in electronic format. An electronic submission may also contain correspondence material and modules or segments. The maximum size of your submission must not exceed 600 MB for form types ABS-EE and ABS-EE/A, and 200 MB for all other form types. A Combined 10-D/ABS-EE must not exceed 800 MB, with 600 MB for the ABS-EE submission and 200 MB for the 10-D submission (and their respective amendments). EDGARLink Online submissions size calculation includes the size of the mimed documents. (Refer to Section 7.3.2 for details.)
E-MAIL	A regulated electronic mail service in EDGAR that provides for the delivery of acceptance and suspense messages from the SEC via the Internet.
ENTITY	A person or company that registers on the EDGAR system for the purposes of electronic filing. Each entity has its own Central Index Key. Some legal entities may have more than one CIK if they serve in more than one filing role. For example, if a filing agent also has an arm of the company that does training and acts as a training agent.
FILE NUMBER	A number assigned by the SEC to registrants, applications, and reports.
FILER	A person or entity on whose behalf an electronic filing is made that is not otherwise covered by another Form ID applicant type.
FILING AGENT	A financial printer, law firm, or other person, which will be using EDGAR access codes to send a filing or portion of a filing on behalf of a filer.
FILING TYPES	A distinct type of submission that must be filed pursuant to the federal securities laws (e.g., 1934 Act Form 10-K or a preliminary proxy statement).
FORM ID	The electronic form used to apply for access codes needed to use EDGAR, namely the CIK, Password, CCC, and PMAC.
FORM SE	A Form "Separate Exhibit" accompanies all exhibits to electronic filings that are submitted in paper.
FORM TH	The form used to notify the Commission that the filing is being made in paper pursuant to a temporary hardship exemption, as specified by Rule 201 of Regulation S-T.

Term or Acronym	Definition
FORM TYPE	A distinct type of document that is required to be filled pursuant to the federal securities laws, e.g., Form 10-K or S-1. Form types may have several variants (e.g., an initial filing and an amendment). For EDGAR, each variant is recognized by a specific name, referred to as a submission type. The form types and their applicable submission types are identified in Chapter 3, "Index to Forms."
FTP	File Transfer Protocol.
FWS	EDGAR Filing Website.
GROUP TAGS	Tags (fields) that must appear together. The tags that must follow the lead tags are shown with the same number plus a numerical designation (e.g., 5.1, 5.2, etc.). When you use grouped tags, all of the possible grouped tags may not apply to your filing. You should only use applicable tags. See Tag in this list of terms. **Note:** All XML submissions group and place tags for both the submission and the primary document.
HEADER	The basic information required to supplement each electronic submission and document submitted through EDGAR. **Submission headers** provide identifying information about the filing (e.g., the submission type of the principal document, the identity of the electronic filer, and any fee data). **Document headers** identify each document in an electronic submission.
HTML	Hypertext Markup Language is a simple markup language you can use to create documents that are portable from one platform to another. It consists of tags that you use to describe data elements within your submission.
INSITUTIONAL INVESTMENT MANAGER (FORM 13F FILER)	A person or entity that is required to file a Form 13F under Section 13(f) of the Securities Exchange Act of 1934, as amended. (See 15 U.S.C. 78m(f)(6)(A)).
INTERNET	An electronic network of computers that transmits data. The SEC uses the Internet to provide access to its website and to transmit acceptance and suspense notification messages.
INTERNET ADDRESS	Synonym for the e-mail address for filers with Internet addresses.

Term or Acronym	Definition
INVESTMENT COMPANY, BUSINESS DEVELOPMENT COMPANY OR INSURANCE COMPANY SEPARATE ACCOUNT	A person or entity that meets the definition of "investment company" in Section 3 of the Investment Company Act of 1940, as amended (See 15 U.S.C. 80a-3), or otherwise registers an offering of its securities on a registration form adopted by the Commission under such Act, including management companies, face-amount certificate companies, unit investment trusts, business development companies, and insurance company separate accounts (including any separate account which would be required to be registered under the Investment Company Act of 1940 except for the exclusion provided by Section 3(c)(11) of such Act and which files a registration statement on Form N-3 or Form N-4).
INVESTMENT COMPANY TYPE	Information required on the Series and Classes (Contracts) Information page on EDGAR indicating whether an investment company's last effective registration statement was filed on Form N-1, N-1A, N-2, N-3, N-4, N-5, N-6, S-1, S-3, or S-6.
ISP	Internet Service Provider.
LARGE TRADER	A person or entity that is a "large trader" as defined by Rule 13h-1(a)(1) under the Securities Exchange Act of 1934, as amended (See 17 CFR 240.13h-1(a)(1)).
LDAP	Lightweight Directory Access Protocol.
LOCKBOX	The term used to describe arrangement with the U.S. Treasury-designated depository to collect and deposit checks, money orders, cash, and wire transfers to an SEC account at the depository.
LTID	Large Trader Identification Number
MASTER SEGMENT	In EDGAR, a segment, referred to as a subordinate segment, is a document (partial or whole) that is to be included into a submission once it has been processed by EDGAR. The master segment is the final submission you transmit to EDGAR that incorporates all the previously submitted subordinate segments.
MODULAR SUBMISSION	In EDGAR, a modular submission is a document intended to be "included", i.e., physically incorporated, into another submission in a future submission. You can include modular submissions in a filing by using special tags.
MODULE	A partial or complete document that is intended to be included in an electronic submission. Filers submit modules to EDGAR as module documents in module submissions. Modules are stored in a non-public data storage area of EDGAR. Filers can incorporate them into multiple subsequent submissions. Up to 10 modules may be stored for a single CIK on EDGAR. Storage is limited to a total of 1 megabyte per CIK, with a maximum of 1 megabyte for a single module.
MUNICIPAL ADVISORY FIRM	Any organized entity that is a municipal advisor, including sole proprietors.

Term or Acronym	Definition
NAMED TRANSFER AGENT	A "named transfer agent," as defined in Rule 17Ad-9(j), 17 CFR 240.17Ad-9(j), means a registered transfer agent that has been engaged by an issuer to perform transfer agent functions for an issue of securities but has engaged a service company (another registered transfer agent) to perform some or all of those functions.
NATIONALLY RECOGNIZED STATISTICAL RATING ORGANIZATION	Any person that is a "nationally recognized statistical rating organization" as defined in Section 3(a)(62) of the Securities and Exchange Act of 1934, as amended. (See 15 U.S.C. 78c(a)(62)).
NESTED	Certain data fields that must appear together are "nested". In the tables beginning with Section 4.6, the lead fields are shown first in nested groupings. The fields that must follow are shown with the same number plus an alpha designation (e.g., 5, 5a, etc.). When you use nested fields, not all of the possible nested fields may apply to your situation. You should only use the fields that apply. Certain nested field sets also require an end field.
NON-PUBLIC	Information that is not immediately disseminated publicly. Correspondence is non-public information. However, 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."
NON-RESIDENT	(i) In the case of an individual, one who resides in or has his principal office and place of business in any place not subject to the jurisdiction of the United States; (ii) in the case of a corporation, one incorporated in or that has its principal office and place of business in any place not subject to the jurisdiction of the United States; or (iii) in the case of a partnership or other unincorporated organization or association, one having its principal office and place of business in any place not subject to the jurisdiction of the United States.
N-SAR	Investment Management Semiannual Report.
PASSPHRASE	A security code used in conjunction with the CIK to generate a set of EDGAR Access Codes. You must enter these two codes correctly to generate New or Replacement EDGAR Access Codes. The passphrase is unique and distinct from the password. The passphrase cannot be used to log in to any of the EDGAR websites.
PASSWORD	A unique, confidential code assigned to EDGAR participants that must be used in conjunction with the CIK number. You must enter these two codes correctly to access EDGAR. You must use the electronic Form ID to apply for a password.
PERSON	An individual, sole proprietorship, or a firm. A firm includes any partnership, corporation, trust, limited liability company ("LLC"), limited liability partnership ("LLP"), or other organization.
PDF	Portable Document Format.
PDN	Public Data Network.

Term or Acronym	Definition
PMAC	Password Modification Authorization Code. An eight-character code that authenticates a request to change a password.
REGISTRANT	The issuer of securities for which a registration statement, report, proxy, or information statement is filed.
SCP	Secure Copy; see SSH.
SEC	U.S. Securities and Exchange Commission.
SECURITY-BASED SWAP DATA REPOSITORY	Any person that collects and maintains information or records with respect to transactions or positions in, or the terms and conditions of, security-based swaps entered into by third parties for the purpose of providing a centralized recordkeeping facility for security-based swaps. (See 15 U.S.C. 78c(a)(75)).
SEGMENT	A portion of a filing, submitted separately, which you may combine with other segments up to six business days later to make a single complete filing.
SEGMENTED FILING	A submission comprised of segments submitted separately, and later combined at the direction of the filer to make a single complete submission.
SERIES IDENTIFIER	Unique identifier assigned by SEC to each series of an investment company. The format is a 'S' followed by nine digits.
SGML	Standard Generalized Mark-up Language.

SROs	Self-Regulatory Organizations.
	Example SROs are:
	    NYSE – New York Stock Exchange
	    BSE – Boston Stock Exchange
	    FINRA – Financial Industry Regulatory Authority
	See Appendix E, "Automated Conformance Rules for EDGAR Data Fields" for a complete list.

SSH	Secure Shell Protocol; a transport layer protocol, which runs on top of TCP/IP and provides a mechanism for secure file transfers (SCP). A UNIX-based command interface and protocol for securely getting access to a remote computer.
SUBMISSION	A submission is the fundamental unit of information that is transmitted to EDGAR for receipt, validation, and acceptance. It is the conveyance of a document or series of documents, in electronic format, to the SEC via EDGAR.
SUBMISSION TYPE	The specific name by which EDGAR recognizes the variants of filings with the SEC (e.g., for Form Type S-3, the registration statement relating to dividend reinvestment plans, EDGAR recognizes the submission type S-3D.) Other examples include modules and correspondence.

Term or Acronym	Definition
SUSPENDED FILING	Filings that have not successfully passed EDGAR's acceptance review are placed in a suspended status indicating fatal flaws within the submission. Suspended filings are deleted in six business days. If an EDGAR participant receives notice that a filing has been suspended, the fatal errors must be corrected and the filing must be re-transmitted. Suspended filings are not publicly viewable and are deleted in six business days.
SUSPENSE MESSAGE	Notification from the SEC that an electronic submission has not met the minimum filing requirements and been suspended by EDGAR. If the filer has an Internet address on file, the suspense messages are sent electronically to that Internet address. Suspense messages are also sent to all Internet addresses on the Notification page.
TAG	For XML submissions, tags are used to define the primary document. HTML documents can also contain tags. A tag is an identifier that labels specific information to EDGAR. You must place an angle bracket on either side of a term to designate it as a "begin" tag. An "end" tag also has angle brackets but is distinguished by use of the "/" (virgule/slash) immediately following the opening angle bracket (</). For example, the beginning and end of a table are signified by <TABLE> and </TABLE>, respectively. See Section 5.2.1.3.3, "Tags Used Within a Document," for details on tagging.
TEST FILING	A submission made to EDGAR to test the ability to create a filing in an EDGAR-acceptable format. Such filings are publicly available to the filer and are only retained for two business days on the filing database. EDGAR sends the results of a test filing acceptance review to the filer via acceptance or suspense messages. A test filing cannot be changed to a live filing.
TRAINING AGENT	A person or entity that will be sending only test filings in conjunction with training other persons.
TRANSFER AGENT	A person or entity planning to register as a Transfer Agent as defined in Section 3(a)(25) of the Securities Exchange Act of 1934, as amended, on whose behalf an electronic filing is made. (See 15 U.S.C. 78c(a)(25)).
TRANSMISSION	A set of one or more submissions sent electronically to EDGAR during an on-line session.
TRANSMISSION METHOD	Filings are submitted and transmitted to EDGAR using the Internet. Examples include OnlineForms and filer-constructed XML filings that utilize the Internet as the transmission method.
TYPE 1	A module or segment that contains a portion of a document that is positioned within a submission using the <MODULE> or <SEGMENT> tags.
TYPE 2	A module or segment that contains an entire document, or documents, positioned at the end of a submission much like an appendix.
URL	Uniform Resource Locator, also known as an Internet address.

Term or Acronym	Definition
VALUE	Information that is supplied by the filer and inserted in a data field. For example, the Name data field would indicate the name of the person to be contacted who could answer questions about a particular filing.
XBRL	Extensible Business Reporting Language
XML	Extensible Markup Language