APPENDIX C. AUTOMATED NAME CONFORMANCE RULES

These conformance rules will be automatically applied to Company and Individual Entity Names entered in the EDGAR system. Series and classes (contracts) names will be conformed to remove excess white space when they are entered in the EDGAR system.

The automated conformance process will be applied to Company Names when they are entered on the EDGAR Filer Management Website or modified using the Edit Company Information function. Values entered by the user will be conformed and re-displayed, along with the original user entry, for review and acceptance by the user.

C.1 Removal of Excess White Space

Leading and trailing blank spaces will be removed. Any embedded sequences of two or more spaces will be replaced with a single space.

C.2 Punctuation Marks and Special Characters

EDGAR's character validation will allow the upper-case alphabet (A-Z; ASCII 65-90), lower-case alphabet (a-z; ASCII 97-122), digits (0-9; ASCII 48-57), and the following punctuation characters: Individuals should be conformed the same as company names, except that the hyphen can remain for hyphenated names.

Char	Character Name	ASCII Number
	Space	32
&	Ampersand	38
-	Hyphen, dash	45
\	Backward slash	92
/	Virgule, forward slash	47
!	Exclamation point	40
#	Pound/number sign	41
$	Dollar sign	36
(	Left parenthesis	40
)	Right parenthesis	41
,	Comma	44
.	Period	46
:	Colon	58

Char	Character Name	ASCII Number
;	Semicolon	59
=	Equals sign	61
@	At sign	64
`	Back quote/grave accent	96
{	Left brace	123
|	Vertical bar	124
}	Right brace	125
'	Single quote/apostrophe	39

C.3   Word Delimiters

For evaluation of word-based processing rules, the "word" delimiter will be a blank space or the start or end of the Company Name. Punctuation characters will not be considered word delimiters (e.g., "E-Trade" would be considered a single word).

C.4   Text Eliminations

When the filer indicates that it is a Company (i.e., not an Individual), if any of the following words are found as the first word of the name, they will be removed. Checks for these words will be case insensitive. The text elimination step will be performed before any text substitution steps.

A

AN

THE

C.5   Text Substitutions

When performing the following text substitutions, checks for original values will be case insensitive, but exact spelling will be required (i.e., misspellings will not be detected). The values, which are replaced as part of the substitution will be in, uppercase irrespective of the case of the original word (e.g., Corporation would become Corp). Text substitution steps will be performed after the text elimination step.

When the filer indicates that he or she is a Company (i.e., not an Individual):

1. The following text substitutions will be applied to all words except the first:

Original Value	Conformed Value
Company	Co
Corporation	Corp
Incorporated	Inc
Incorporation	Inc
And	&

2. The following substitution will be applied if the word is neither the first in the name, nor is immediately followed by the word "Partnership:"

Original Value	Conformed Value
Limited	Ltd

When the filer indicates that he or she is an Individual, the following text substitutions will be applied to the name suffix field (see Sequencing of Individual Names, below).

Original Value	Conformed Value
Junior	Jr
Senior	Sr

C.6   Sequencing of Individual Names

When the filer indicates that he or she is an Individual, he or she will be prompted to enter his or her name in four separate name fields: First, Middle, Last, and Suffix (e.g. Walter Hines Dill Junior). After data entry, the fields will be combined in the sequence Last, First, Middle, Suffix, separated by blank spaces (e.g. Dill Walter Hines JR) and displayed in the Company Name data element.

Punctuation, except hyphens, will not be valid in the names of individuals. If an individual wishes to use an initial in his or her name, please do not use a period after the initial. For example, Walter H Dill Junior would be valid but Walter H. Dill Junior would be invalid. Similarly, Walter H Dill, Junior would be invalid.

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