

# Form 13F Data Sets

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## 1 Overview

Form 13F was adopted pursuant to statutory directive designed to provide the Commission with data from larger managers about their investment activities and holdings. The FORM 13F data sets are extracted from EDGAR FORM 13F XML filings in a flat file format to assist users in constructing the data for analysis. The data will be published quarterly. Data contained in documents filed after 5:30pm EST on the last business day of the quarter will be included in the next quarterly posting.

The following table lists the submission types for EDGAR FORM 13F filings which are included in the data sets.

SUBMISSION TYPE	DESCRIPTION
13F-HR	Initial Quarterly Form 13F Holdings Report filed by institutional managers
13F-HR/A	Amendment to a Quarterly Form 13F Holdings Report filed by institutional managers
13F-NT	Initial Quarterly Form 13F Notice Report filed by institutional managers
13F-NT/A	Amendment to a Quarterly Form 13F Notice Report filed by institutional managers

DISCLAIMER: The FORM 13F data sets contain information derived from structured data filed with the Commission by individual registrants as well as Commission-generated filing identifiers. Because the data is derived from information provided by individual registrants, we cannot guarantee the accuracy of the data. In addition, it is possible inaccuracies or other errors were introduced into the data during the process of extracting the data and compiling. Finally, the data does not reflect all available information, including certain metadata associated with Commission filings. The data is intended to assist the public in analyzing data contained in Commission filings; however, it is not a substitute for such filings. Investors should review the full Commission filings before making any investment decision.

## 2 Scope

The EDGAR Form 13F Data Set consists of XML data submitted from MAY 2013 through current period.

Note: [EDGAR Technical Specifications](#) provides information on FORM 13F XML Technical Specifications.

## 3 Organization

Note that the data includes FORM 13F EDGAR information "as filed" in EDGAR document submissions including amendments of prior submissions. Data in this submitted form may contain redundancies, inconsistencies, and discrepancies relative to prior submissions and other publication formats. There are up to seven (7) data files. Each quarterly data set is accompanied by a metadata file conforming to the W3C specification for tabular data (<https://www.w3.org/TR/2015/REC-tabular-data-model-20151217/>) that encodes the following information about the data files and their relationships to each other.

1. **SUBMISSION** identifies the XML submissions, filer and report information, with each row having the primary key **ACCESSION\_NUMBER**.
2. **COVERPAGE** provides details of the cover page with each row having **ACCESSION\_NUMBER** as the key.
3. **OTHERMANAGER** contains the lists of other managers reporting for this manager information with each row having **ACCESSION\_NUMBER** and **OTHERMANAGER\_SK** as the keys.
4. **SIGNATURE** provides the signature information with each row having **ACCESSION\_NUMBER** as the key.
5. **SUMMARYPAGE** contains the Summary page information with each row having **ACCESSION\_NUMBER** as the key.
6. **OTHERMANGAER2** provides the list of other managers included in this report with each row having **ACCESSION\_NUMBER** as the key.
7. **INFOTABLE** data contains the information table with each row having **ACCESSION\_NUMBER** and **INFOTABLE\_SK** as the primary keys.

## 4 File Formats

Each of the seven (7) data files provide text format, tab delimited, UTF-8 encoding.

## 5 Table Definitions

The fields in the tables below provide the following information: field name, description, data format, maximum field size, an indication of whether or not the field may be NULL (yes or no), and key.

The Key field indicates whether the field is part of a unique index on the data. There are two possible values for this field:

- "\*" Indicates the field is part of the unique key for the row.
- Empty (nothing in field) means the field is not part of the unique compound key.

### 5.1 SUBMISSION

Field Name	Description	Data Type	Nullable	Key
ACCESSION_NUMBER	Unique identifier assigned by the SEC to each EDGAR submission.	VARCHAR2(25)	No	*
FILING_DATE	Filing date with the Commission; sourced from EDGAR in (DD-MON-YYYY) format.	DATE	No	
SUBMISSIONTYPE	Submission type is either an initial quarterly Form 13F holdings report, notice report or the amendment.	VARCHAR2(10)	No	
CIK	Filer CIK (Central index key).	VARCHAR2(10)	No	
PERIODOFREPORT	Period of report in (DD-MON-YYYY) format.	DATE	No	

### 5.2 COVERPAGE

Field Name	Description	Data Type	Nullable	Key
ACCESSION_NUMBER	Unique identifier assigned by the SEC to each EDGAR submission.	VARCHAR2(25)	No	*
REPORTCALENDARORQUARTER	Report for the calendar year of quarter ended in (DD-MON-YYYY) format.	DATE	No	
ISAMENDMENT	Check here if amendment	CHAR(1)	Yes	
AMENDMENTNO	Amendment number	NUMBER(2)	Yes	
AMENDMENTTYPE	Amendment type is a restatement or adds new holdings entries.	VARCHAR2(20)	Yes	
CONFDENIEDEXPIRED	Whether confidential treatment request is denied or expired.	CHAR(1)	Yes	
DATEDENIEDEXPIRED	Pursuant to a request date when confidential treatment expired or denied in (DD-MON-YYYY) format.	DATE	Yes	
DATEREPORTED	Date securities holdings reported pursuant to a request for confidential treatment in (DD-MON-YYYY) format.	DATE	Yes	
REASONFORNONCONFIDENTIALITY	Reason for non-confidentiality: denied or confidential treatment expired.	VARCHAR2(40)	Yes	
FILINGMANAGER_NAME	Filing manager name.	VARCHAR2(150)	No	
FILINGMANAGER_STREET1	Filing manager address street name - first line.	VARCHAR2(40)	Yes	
FILINGMANAGER_STREET2	Filing manager address street name - second line.	VARCHAR2(40)	Yes	
FILINGMANAGER_CITY	Filing manager primary city.	VARCHAR2(30)	Yes	
FILINGMANAGER_STATEORCOUNTRY	Filing manager state or country name.	CHAR(2)	Yes	
FILINGMANAGER_ZIPCODE	Filing manager zip code.	VARCHAR2(10)	Yes	
REPORTTYPE	Report type: 13F holdings report; 13F notice; 13F combination report.	VARCHAR2(30)	No	
FORM13FFILENUMBER	FORM 13F file number.	VARCHAR2(17)	Yes	
CRDNUMBER	CRD Number (if applicable)	VARCHAR2(9)	Yes	
SECFILENUMBER	SEC File Number (if applicable)	VARCHAR2(17 )	Yes	
PROVIDEINFOFORINSTRUCTIONS	Do you wish to provide information pursuant to instruction 5?	CHAR(1)	No	
ADDITIONALINFORMATION	Additional information.	VARCHAR2(4000)	Yes	

### 5.3 OTHERMANAGER

Field Name	Description	Data Type	Nullable	Key
ACCESSION_NUMBER	Unique identifier assigned by the SEC to each EDGAR submission.	VARCHAR2(25)	No	*
OTHERMANAGER_SK	Other manager surrogate key.	NUMBER(38)	No	*
CIK	Central index key.	VARCHAR2(10)	Yes	
FORM13FFILENUMBER	FORM 13F file number.	VARCHAR2(17)	Yes	
CRDNUMBER	CRD Number (if applicable)	VARCHAR2(9)	Yes	
SECFILENUMBER	SEC File Number (if applicable)	VARCHAR2(17 )	Yes	
NAME	Other manager name.	VARCHAR2(150)	No	

### 5.4 SIGNATURE

Field Name	Description	Data Type	Nullable	Key
ACCESSION_NUMBER	Unique identifier assigned by the SEC to each EDGAR submission.	VARCHAR2(25)	No	*
NAME	Signatory name.	VARCHAR2(150)	No	
TITLE	Signatory title.	VARCHAR2(60)	No	
PHONE	Signatory phone number.	VARCHAR2(20)	Yes	
SIGNATURE	Signature.	VARCHAR2(150)	No	
CITY	Signatory city.	VARCHAR2(30)	No	
STATEORCOUNTRY	Signatory state or country.	CHAR(2)	No	

SIGNATUREDATE	Signature date in (DD-MON-YYYY) format.	DATE	No	
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5.5 SUMMARYPAGE

Field Name	Description	Data Type	Nullable	Key
ACCESSION_NUMBER	Unique identifier assigned by the SEC to each EDGAR submission.	VARCHAR2(25)	No	*
OTHERINCLUDEDMANAGERSCOUNT	Number of other included managers.	NUMBER(3)	Yes	
TABLEENTRYTOTAL	Table entry total.	NUMBER(6)	Yes	
TABLEVALUETOTAL	Table value total.	NUMBER(16)	Yes	
ISCONFIDENTIALOMITTED	Is confidential omitted.	CHAR(1)	Yes	

5.6 OTHERMANAGER2

Field Name	Description	Data Type	Nullable	Key
ACCESSION_NUMBER	Unique identifier assigned by the SEC to each EDGAR submission.	VARCHAR2(25)	No	*
SEQUENCENUMBER	Sequence number.	NUMBER(3)	No	
CIK	Central index key.	VARCHAR2(10)	Yes	
FORM13FFILENUMBER	FORM 13F file number.	VARCHAR2(17)	Yes	
CRDNUMBER	CRD Number (if applicable)	VARCHAR2(9)	Yes	
SECFILENUMBER	SEC File Number (if applicable)	VARCHAR2(17 )	Yes	
NAME	Other manager 2 name.	VARCHAR2(150)	No	

5.7 INFOTABLE

Field Name	Description	Data Type	Nullable	Key
ACCESSION_NUMBER	Unique identifier assigned by the SEC to each EDGAR submission.	VARCHAR2(25)	No	*
INFOTABLE_SK	Info table surrogate key.	NUMBER(38)	No	*
NAMEOFISSUER	Name of issuer.	VARCHAR2(200)	No	
TITLEOFCLASS	Title of class.	VARCHAR2(150)	No	
CUSIP	CUSIP number of security.	CHAR(9)	No	
FIGI	Financial Instrument Global Identifier (FIGI)	VARCHAR2(12)	Yes	
VALUE	Market value. Starting on January 3, 2023, market value is reported rounded to the nearest dollar. Previously, market value was reported in thousands.	NUMBER(16)	No	
SSHPRNAMT	Number of shares or principal amount.	NUMBER(16)	No	
SSHPRNAMTTYPE	Shares (SH) or principal amount (PRN) type.	VARCHAR2(10)	No	
PUTCALL	PUT/CALL.	VARCHAR2(10)	Yes	
INVESTMENTDISCRETION	Investment discretion.	VARCHAR2(10)	No	
OTHERMANAGER	Sequence number of other manager included in report with whom discretion is shared.	VARCHAR2(100)	Yes	
VOTING_AUTH_SOLE	Voting authority sole.	NUMBER(16)	No	
VOTING_AUTH_SHARED	Voting authority shared.	NUMBER(16)	No	
VOTING_AUTH_NONE	Voting authority none.	NUMBER(16)	No	

## 6 Appendix

### 6.1 U.S. State/Country Codes and Descriptions

AL	ALABAMA
AK	ALASKA
AZ	ARIZONA
AR	ARKANSAS
CA	CALIFORNIA
CO	COLORADO
CT	CONNECTICUT
DE	DELAWARE
DC	DISTRICT OF COLUMBIA
FL	FLORIDA
GA	GEORGIA
GU	GUAM
HI	HAWAII
ID	IDAHO
IL	ILLINOIS
IN	INDIANA
IA	IOWA
KS	KANSAS
KY	KENTUCKY
LA	LOUISIANA
ME	MAINE
MD	MARYLAND
MA	MASSACHUSETTS
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
UT	UTAH
VT	VERMONT
VA	VIRGINIA
WA	WASHINGTON
WV	WEST VIRGINIA
WI	WISCONSIN
WY	WYOMING
PR	PUERTO RICO
VI	VIRGIN ISLANDS, U.S.
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
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
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
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
J4	GREENLAND
J5	GRENADA
J6	GUADELOUPE
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