

Form D Data

Contents

- [1 Overview](#)
- [2 Scope](#)
- [3 Organization](#)
- [4 File Formats](#)
- [5 File Header Definitions](#)
 - [5.1 FORMDSUBMISSION](#)
 - [5.2 ISSUERS](#)
 - [5.3 OFFERING](#)
 - [5.4 RECIPIENTS](#)
 - [5.5 RELATEDPERSONS](#)
 - [5.6 SIGNATURES](#)

[Figure 1. Fields in the FORMDSUBMISSION data file](#)

[Figure 2. Fields in the ISSUERS data file](#)

[Figure 3. Fields in the OFFERING data file](#)

[Figure 4. Fields in the RECIPIENTS data file](#)

[Figure 5. Fields in the RELATEDPERSONS data file](#)

[Figure 6. Fields in the SIGNATURES data file](#)

1 Overview

The Form D data provides information extracted from Form D XML submissions in a flattened data format to assist users in more easily consuming the data for analysis. These data includes any amendments to those submissions. The data has been taken directly from submissions created by the registrants and provided as-filed. 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.

DISCLAIMER: The Form D Data contains 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.

The data extracted from the Form D XML submissions is organized into six tab-delimited TXT format files as follows:

- **FORMDSUBMISSION**

- **ISSUERS**
- **OFFERING**
- **RECIPIENTS**
- **RELATEDPERSONS**
- **SIGNATURES**

2 Scope

The Form D Data consists of XML data submitted from Jan 2008 through current period.

The Form D Data publishing files do not include data from attachments or other optional information that may have been included in a submission.

Note: The [EDGAR Form D XML Technical Specification](#) provides additional information regarding the Form D submissions.

3 Organization

Note that the data includes Form D 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 six data files. Each quarterly data 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. **FORMDSUBMISSION** identifies the Form D EDGAR XML submissions, with each row having the primary key **ACCESSIONNUMBER**.
2. **ISSUERS** data is the issuer information for each submission, with each row having the primary key **ACCESSIONNUMBER** and **ISSUER_SEQ_KEY**.
3. **OFFERING** data is the offering information, with each row having the primary key **ACCESSIONNUMBER**.
4. **RECIPIENTS** data contains recipients' information related to the submissions, with each row having the primary key **ACCESSIONNUMBER** and **RECIPIENT_SEQ_KEY**.
5. **RELATEDPERSONS** data contains information of related persons in a submission, with each row having the primary key **ACCESSIONNUMBER** and **RELATEDPERSON_SEQ_KEY**.
6. **SIGNATURES** data provides the data from the person signatures, with each row having the primary key **ACCESSIONNUMBER** and **SIGNATURE_SEQ_KEY**.

ACCESSIONNUMBER can be used to retrieve information about a submission in the data files. **ACCESSIONNUMBER** and **XXX_SEQ_KEY** can be used to obtain data reported on multiple lines in the submission.

4 File Formats

Each of the six data files provide text format, tab delimited, utf-8 encoding.

5 File Header Definitions

The fields in the figures below (figures 1 - 6) 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) the field is not part of the unique compound key.

5.1 FORMDSUBMISSION

The FORMDSUBMISSION data file contains summary information about the submission and filer.

Figure 1. Fields in the FORMDSUBMISSION data file

Field Name	Field Description	Format	Max Size	May be NULL	Key
ACCESSIONNUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnnnnnn-nn-nnnnnn)	20	No	*
FILE_NUM	File Number provided by Commission for the submission. The File Number is sourced from EDGAR.	ALPHANUMERIC	30	Yes	
FILING_DATE	Date filed with the Commission. The Filing Date is sourced from EDGAR.	DATE (DD-MMM-YY)	8	Yes	
SIC_CODE	Standard Industrial Classification Codes. These codes are also used as a basis for assigning review responsibility for the company's filings.	ALPHANUMERIC	4	Yes	
SUBMISSIONTYPE	Submission type	ALPHANUMERIC	255	No	
OVER100PERSONSFLAG	Yes, if over 100 persons.	ALPHANUMERIC	5	Yes	
OVER100ISSUERFLAG	Yes, if over 100 issuers.	ALPHANUMERIC	5	Yes	

Note: To access the complete submission files for a given filing, please see the Commission EDGAR website. The Commission website folder <https://www.sec.gov/Archives/edgar/data/{cik}/{accession}/> will always contain all the data sets for a given submission. To assemble the folder address to any filing referenced in the FORMDSUBMISSION data set, simply substitute {cik} with the CIK (see ISSUERS) field and replace {accession} with the ACCESSIONNUMBER field (after removing the dash character).

5.2 ISSUERS

The ISSUERS data file contains specified information for the issuer provided in the submission.

Figure 2. Fields in the ISSUERS data file

Field Name	Field Description	Format	Max Size	May be NULL	Key
ACCESSIONNUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnnnnnn-nn-nnnnnn)	20	No	*
IS_PRIMARYISSUER_FLAG	Yes, if primary issuer; No if not	ALPHANUMERIC	3	No	
ISSUER_SEQ_KEY	Issuer index key.	NUMERIC	38	No	*
CIK	Central index key (CIK) of issuer submitting the filing.	ALPHANUMERIC	10	No	
ENTITYNAME	Name of Issuer	ALPHANUMERIC	150	Yes	
STREET1	Street Address 1	ALPHANUMERIC	40	No	
STREET2	Street Address 2	ALPHANUMERIC	40	Yes	
CITY	City	ALPHANUMERIC	30	No	
STATEORCOUNTRY	State/Province/Country	ALPHANUMERIC	255	No	
STATEORCOUNTRYDESCRIPTION	Full name of the country or state	ALPHANUMERIC	50	Yes	
ZIPCODE	Zip/Postal Code	ALPHANUMERIC	10	No	
ISSUERPHONENUMBER	Phone No. of Issuer	ALPHANUMERIC	20	No	
JURISDICTIONOFINC	Jurisdiction of Incorporation/Organization	ALPHANUMERIC	50	Yes	
ISSUER_PREVIOUSNAME_1	Issuer Previous Name 1	ALPHANUMERIC	150	Yes	
ISSUER_PREVIOUSNAME_2	Issuer Previous Name 2	ALPHANUMERIC	150	Yes	
ISSUER_PREVIOUSNAME_3	Issuer Previous Name 3	ALPHANUMERIC	150	Yes	
EDGAR_PREVIOUSNAME_1	EDGAR Previous Name 1	ALPHANUMERIC	150	Yes	
EDGAR_PREVIOUSNAME_2	EDGAR Previous Name 2	ALPHANUMERIC	150	Yes	
EDGAR_PREVIOUSNAME_3	EDGAR Previous Name 3	ALPHANUMERIC	150	Yes	
ENTITYTYPE	Entity type	ALPHANUMERIC	255	No	
ENTITYTYPEOTHERDESC	Description of Entity Type when indicated as 'Other' in Entity Type	ALPHANUMERIC	255	Yes	
YEAROFINC_TIMESPAN_CHOICE	Year of Incorporation/Organization (Specify Year) Within Last Five Years (Specify Year)	ALPHANUMERIC	150	No	
YEAROFINC_VALUE_ENTERED	Year of Incorporation value entered	ALPHANUMERIC	4	Yes	

5.3 OFFERING

The OFFERING data file contains information regarding the offering requirements.

Figure 3. Fields in the OFFERING data file

Field Name	Field Description	Format	Max Size	May be NULL	Key
ACCESSIONNUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnnnn-nn-nnnnnn)	20	No	*
INDUSTRYGROUPTYPE	Type of Industry	ALPHANUMERIC	255	No	
INVESTMENTFUNDTYPE	Type of Securities Offered	ALPHANUMERIC	255	Yes	
IS40ACT	Flag to indicate whether the issuer registered as an investment company under the Investment Company Act of 1940	ALPHANUMERIC	5	Yes	
REVENUERANGE	Revenue Range	ALPHANUMERIC	255	Yes	
AGGREGATENETASSETVALUERANGE	Aggregate Net Asset Value Range	ALPHANUMERIC	255	Yes	
FEDERALEXEMPTIONS_ITEMS_LIST	List of exemptions under Securities Act	ALPHANUMERIC	1000	Yes	
ISAMENDMENT	New Notice /Amendment	ALPHANUMERIC	5	No	
PREVIOUSACCESSIONNUMBER	Previous Accession Number; The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC	20	Yes	
SALE_DATE	Sale Date	ALPHANUMERIC	255	Yes	
YETTOOCCUR	First Sale Yet to Occur	ALPHANUMERIC	5	Yes	
MORETHANONEYEAR	Duration of offering more than one year	ALPHANUMERIC	5	No	
ISEQUITYTYPE	Equity	ALPHANUMERIC	5	Yes	
ISDEBTTYPE	Debt	ALPHANUMERIC	5	Yes	
ISOPTIONTOACQUIRETYPE	Option, Warrant or Other Right to Acquire Another Security	ALPHANUMERIC	5	Yes	
ISSECURITYTOBEACQUIREDTYPE	Security to be Acquired Upon Exercise of Option, Warrant or Other Right to Acquire Security	ALPHANUMERIC	5	Yes	

Field Name	Field Description	Format	Max Size	May be NULL	Key
ISPOOLEDINVESTMENTFUNDTYPE	Pooled Investment Fund Interests	ALPHANUMERIC	5	Yes	
ISTENANTINCOMMONTYPE	Tenant-in-Common Securities	ALPHANUMERIC	5	Yes	
ISMINERALPROPERTYTYPE	Mineral Property Securities	ALPHANUMERIC	5	Yes	
ISOTHERTYPE	Other (describe)	ALPHANUMERIC	5	Yes	
DESCRIPTIONOFOTHERTYPE	Description of Pooled Investment Type when indicated as 'Other' in 'OtherType' as Pooled Investment Type	ALPHANUMERIC	255	Yes	
ISBUSINESSCOMBINATIONTRANS	Is this offering being made in connection with a business combination transaction, such as a merger, acquisition, or exchange offer?	ALPHANUMERIC	5	No	
BUSCOMBCLARIFICATIONOFRESP	Clarification of Response (if Necessary)	ALPHANUMERIC	255	Yes	
MINIMUMINVESTMENTACCEPTED	Minimum investment accepted from any outside investor	NUMERIC	19	No	
OVER100RECIPIENTFLAG	Over 100 recipients	ALPHANUMERIC	5	Yes	
TOTALOFFERINGAMOUNT	Total offering amount	ALPHANUMERIC	12	No	
TOTALAMOUNTSOLD	Total amount sold	NUMERIC	12	No	
TOTALREMAINING	Total remaining to be sold	ALPHANUMERIC	12	No	
SALESAMTCLARIFICATIONOFRESP	Clarification of Response (if Necessary)	ALPHANUMERIC	255	Yes	
HASNONACCREDITEDINVESTORS	Select if securities in the offering have been or may be sold to persons who do not qualify as accredited investors	ALPHANUMERIC	5	No	
NUMBERNONACCREDITEDINVESTORS	Number of such non-accredited investors who already have invested in the offering	NUMERIC	19	Yes	

Field Name	Field Description	Format	Max Size	May be NULL	Key
TOTALNUMBERALREADYINVESTED	Regardless of whether securities in the offering have been or may be sold to persons who do not qualify as accredited investors, enter the total number of investors who already have invested in the offering.	NUMERIC	19	No	
SALESCOMM_DOLLARAMOUNT	Sales Commissions, USD	NUMERIC	12	No	
SALESCOMM_ISESTIMATE	Estimate	ALPHANUMERIC	5	Yes	
FINDERSFEE_DOLLARAMOUNT	Finders Fee USD	NUMERIC	12	No	
FINDERSFEE_ISESTIMATE	Estimate	ALPHANUMERIC	5	Yes	
FINDERFEECLARIFICATIONOFRESP	Clarification of Response (if Necessary)	ALPHANUMERIC	255	Yes	
GROSSPROCEEDSUSED_DOLLARAMOUNT	Provide the amount of the gross proceeds of the offering that has been or is proposed to be used for payments to any of the persons required to be named as executive officers, directors, or promoters in response to Item 3 above. If the amount is unknown, provide an estimate and check the box next to the amount. USD	NUMERIC	12	No	
GROSSPROCEEDSUSED_ISESTIMATE	Estimate	ALPHANUMERIC	5	Yes	
GROSSPROCEEDSUSED_CLAROFRESP	Clarification of Response (if Necessary)	ALPHANUMERIC	255	Yes	
AUTHORIZEDREPRESENTATIVE	I also am a duly authorized representative of the other Issuer(s) in Item 1 above and authorized to sign on their behalf.	ALPHANUMERIC	5	Yes	

5.4 RECIPIENTS

The RECIPIENTS data file contains the recipients information.

Figure 4. Fields in the RECIPIENTS data file

Field Name	Field Description	Format	Max Size	May be NULL	Key
ACCESSIONNUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnnnnnn-nn-nnnnnn)	20	No	*
RECIPIENT_SEQ_KEY	Recipient index key.	NUMERIC	38	No	*
RECIPIENTNAME	Recipient	ALPHANUMERIC	150	No	
RECIPIENTCRDNUMBER	Recipient CRD Number	ALPHANUMERIC	9	No	
ASSOCIATEDBDNAME	(Associated) Broker or Dealer	ALPHANUMERIC	150	No	
ASSOCIATEDBDCRDNUMBER	(Associated) Broker or Dealer CRD Number	ALPHANUMERIC	9	No	
STREET1	Street Address 1	ALPHANUMERIC	40	No	
STREET2	Street Address 2	ALPHANUMERIC	40	Yes	
CITY	City	ALPHANUMERIC	30	No	
STATEORCOUNTRY	State/Province/Country	ALPHANUMERIC	255	No	
STATEORCOUNTRYDESCRIPTION	Full name of the country or state	ALPHANUMERIC	50	Yes	
ZIPCODE	Zip/Postal Code	ALPHANUMERIC	10	No	
STATES_OR_VALUE_LIST	List of States or Countries of Recipients	ALPHANUMERIC	1000	Yes	
DESCRIPTIONS_LIST	Full name of States or Countries of Recipients	ALPHANUMERIC	1000	Yes	
FOREIGNSOLICITATION	Selected if the recipient has solicited sales in foreign countries.	ALPHANUMERIC	5	Yes	

5.5 RELATEDPERSONS

The RELATEDPERSONS data file provides information of related persons with the submission.

Figure 5. Fields in the RELATEDPERSONS data file

Field Name	Field Description	Format	Max Size	May be NULL	Key
ACCESSIONNUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnnnnnn-nn-nnnnnn)	20	No	*
RELATEDPERSON_SEQ_KEY	Related person index key.	NUMERIC	38	No	*
FIRSTNAME	First Name	ALPHANUMERIC	150	No	
MIDDLENAME	Middle Name	ALPHANUMERIC	150	Yes	

Field Name	Field Description	Format	Max Size	May be NULL	Key
LASTNAME	Last Name	ALPHANUMERIC	150	No	
STREET1	Street Address 1	ALPHANUMERIC	40	No	
STREET2	Street Address 2	ALPHANUMERIC	40	Yes	
CITY	City	ALPHANUMERIC	30	No	
STATEORCOUNTRY	State/Province/Country	ALPHANUMERIC	255	No	
STATEORCOUNTRYDESCRIPTION	Full name of the country or state	ALPHANUMERIC	50	Yes	
ZIPCODE	Zip/Postal Code	ALPHANUMERIC	10	No	
RELATIONSHIP_1	Relationship of related person to issuer consisting of Executive Officer, Director, or Promoter.	ALPHANUMERIC	255	Yes	
RELATIONSHIP_2	Relationship of related person to issuer consisting of Executive Officer, Director, or Promoter.	ALPHANUMERIC	255	Yes	
RELATIONSHIP_3	Relationship of related person to issuer consisting of Executive Officer, Director, or Promoter.	ALPHANUMERIC	255	Yes	
RELATIONSHIPCLARIFICATION	Clarification of Response (if Necessary)	ALPHANUMERIC	255	Yes	

5.6 SIGNATURES

The SIGNATURES data file provides data for the submission person signature.

Figure 6. Fields in the SIGNATURES data file

Field Name	Field Description	Format	Max Size	May be NULL	Key
ACCESSIONNUMBER	The 20-character string formed from the 18-digit number assigned by the Commission to each EDGAR submission.	ALPHANUMERIC (nnnnnnnnnnnn-nn-nnnnnn)	20	No	*
SIGNATURE_SEQ_KEY	Signature index key.	NUMERIC	38	No	*
ISSUERNAME	Name of Issuer	ALPHANUMERIC	150	No	
SIGNATURENAME	Name of signature	ALPHANUMERIC	30	No	
NAMEOFSIGNER	Full name of person signing the form.	ALPHANUMERIC	150	No	
SIGNATURETITLE	Title of person signing the form.	ALPHANUMERIC	60	No	
SIGNATUREDATE	Date of signature.	ALPHANUMERIC	255	No	