

RIXML Specification Users Guide & Data Dictionary Report

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RIXML Specification Version 2.0

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TABLE OF CONTENTS

TABLE OF CONTENTS	2
RIXML USERS GUIDE	6
APPROACH OVERVIEW	6
OVERVIEW	6
OUR APPROACH.....	6
<i>Users Guide (this document)</i>	6
<i>RIXML Schema</i>	7
WHY XML?	8
WHAT IS AN OBJECT MODEL AND HOW DO YOU READ IT?	9
<i>Inheritance</i>	9
<i>Association</i>	10
<i>Aggregation</i>	10
<i>Cardinality</i>	10
ELEMENTS AND ATTRIBUTES — GUIDELINES	12
<i>Rules for Determining Attribute vs. Element</i>	12
<i>Naming Conventions</i>	12
THE RIXML OBJECT MODEL.....	13
<i>Source Content</i>	13
<i>Context Description</i>	13
<i>Content Description</i>	13
<i>Legal</i>	13
THE RIXML SCHEMA	13
<i>Class Diagram: High Level Relationships</i>	14
<i>Research</i>	14
<i>Product</i>	15
<i>RelatedProduct</i>	15
1-SOURCE PACKAGE.....	16
<i>Class Diagram: Source Details</i>	16
<i>Source</i>	16
<i>Organization</i>	16
<i>OrganizationID</i>	17
<i>OrganizationName</i>	17
<i>PersonGroup</i>	18
<i>PersonGroupMember</i>	18
<i>Person</i>	18
2-CONTACT INFO PACKAGE	20
<i>Class Diagram: Contact Info Details</i>	20
<i>ContactInfo</i>	20
<i>Address</i>	20
<i>Email</i>	21
<i>InstantMessenger</i>	21
<i>Phone</i>	21
<i>Website</i>	21
3-CONTENT PACKAGE.....	22
<i>Class Diagram: Content Details</i>	22
<i>Content</i>	22
<i>Resource</i>	22
4-CONTEXT PACKAGE.....	25

<i>Class Diagram: MainDiagram</i>	25
<i>Class Diagram: RecommendationDiagram</i>	26
<i>Class Diagram: EventDetailsDiagram</i>	27
<i>Class Diagram: ProductDetailsDiagram</i>	28
<i>Class Diagram: ProductClassificationDiagram</i>	29
<i>Class Diagram: WeightingDiagram</i>	30
<i>Context</i>	30
<i>EventDetails</i>	30
<i>IssuerDetails</i>	31
<i>ProductClassifications</i>	31
<i>ProductDetails</i>	31
<i>Discipline</i>	32
<i>EventHost</i>	32
<i>EventVenue</i>	32
<i>Index</i>	32
<i>Issuer</i>	32
<i>KeywordClassifications</i>	33
<i>ProductCategory</i>	33
<i>ProductFocus</i>	33
<i>ProductSeries</i>	34
<i>RegistrationInformation</i>	34
<i>Subject</i>	34
<i>EntitlementGroup</i>	35
<i>EventDate</i>	35
<i>IssuerFinancials</i>	35
<i>IssuerID</i>	35
<i>IssuerName</i>	36
<i>Keyword</i>	36
<i>Periodicity</i>	36
<i>SecurityDetails</i>	36
<i>Entitlement</i>	36
<i>Security</i>	37
<i>AssetClass</i>	37
<i>AssetType</i>	38
<i>AudienceTypeEntitlement</i>	38
<i>CountryEntitlement</i>	38
<i>FinancialDates</i>	38
<i>RegionEntitlement</i>	39
<i>SectorIndustryEntitlement</i>	39
<i>SecurityFinancials</i>	39
<i>SecurityID</i>	40
<i>SecurityType</i>	40
<i>TimeEntitlement</i>	40
<i>Country</i>	40
<i>FinancialValue</i>	41
<i>Region</i>	41
<i>SectorIndustry</i>	42
<i>Recommendation</i>	43
<i>Weighting</i>	44
<i>RatingAgency</i>	44
5-LEGAL PACKAGE.....	45
<i>Class Diagram: Legal Details</i>	45
<i>Legal</i>	45
<i>IssuerSecurityID</i>	45
<i>Disclosure</i>	45
<i>Hedge</i>	46

6-UTILITY PACKAGE.....	47
<i>Length</i>	47
<i>StatusInfo</i>	47
7-ENUMERATIONS.....	48
<i>AssetClassEnum</i>	48
<i>AssetTypeEnum</i>	48
<i>AudienceTypeEnum</i>	50
<i>ContactInfoNatureEnum</i>	51
<i>ContactInfoPurposeEnum</i>	51
<i>CoverageActionEnum</i>	51
<i>DisciplineTypeEnum</i>	51
<i>EstimateActualEnum</i>	52
<i>EstimateEnum</i>	52
<i>EventDateTypeEnum</i>	52
<i>EventTypeEnum</i>	52
<i>EventVenueTypeEnum</i>	53
<i>FocusEnum</i>	53
<i>IncludeExcludeEnum</i>	53
<i>IndexEnum</i>	53
<i>IndexTypeEnum</i>	55
<i>InstantMessengerTypeEnum</i>	55
<i>IssuerFinancialQualifierEnum</i>	56
<i>IssuerFinancialsTypeEnum</i>	56
<i>IssuerNameTypeEnum</i>	56
<i>IssuerSecurityIDTypeEnum</i>	57
<i>IssuerTypeEnum</i>	57
<i>LengthUnitEnum</i>	58
<i>OrganizationNameTypeEnum</i>	58
<i>OrganizationTypeEnum</i>	58
<i>PeriodEnum</i>	58
<i>PeriodicityEnum</i>	59
<i>PhoneLocationEnum</i>	59
<i>PhoneTypeEnum</i>	59
<i>PriorCurrentTypeEnum</i>	59
<i>PriorityEnum</i>	60
<i>ProductCategoryEnum</i>	60
<i>ProductRelationshipTypeEnum</i>	60
<i>RatingAgencyEnum</i>	61
<i>RecommendationActionEnum</i>	61
<i>RecommendationEnum</i>	62
<i>RegionTypeEnum</i>	63
<i>ResearchApproachEnum</i>	63
<i>RoleEnum</i>	64
<i>SectorIndustryClassificationTypeEnum</i>	64
<i>SecurityFinancialQualifierEnum</i>	64
<i>SecurityFinancialsTypeEnum</i>	65
<i>SecurityTypeEnum</i>	65
<i>ShortLongTermEnum</i>	69
<i>StatusTypeEnum</i>	69
<i>SubjectEnum</i>	70
<i>TargetPriceEnum</i>	70
<i>WeightingActionEnum</i>	70
<i>WeightingEnum</i>	70
<i>YearTypeEnum</i>	71
<i>YesNoEnum</i>	71

RIXML USERS GUIDE

Approach Overview

OVERVIEW

RIXML.org is a consortium of buy- and sell-side financial services firms that are committed to improving the process of electronic research distribution by creating an open industry standard. The goal of RIXML.org is to define an open protocol that will improve the process of categorizing, aggregating, comparing, sorting, searching, and distributing global financial research.

The primary objective of the RIXML specification is to provide extensive capabilities for tagging any piece of financial research content, in any form or media, with sufficient metadata information to allow research users to search, sort, and filter the published research and to provide highly relevant information to decision-makers. A solution for “componentizing” research content has been proposed for a future release of the specification.

The purpose of this guide is to outline the approach taken by RIXML.org in creating the RIXML standard and, by explaining some fundamental concepts, such as XML, object modeling, and schemas, to help readers understand the standard. In addition, the RIXML schema is described, including all attributes and elements and, where applicable, guidelines for using them.

Our Approach

As a first step, all of the participants of the consortium provided a set of real-life scenarios — “use cases” — in which a standard like RIXML would help them. Buy-side participants said that they would be like to be able to search, sort, and filter information published by the research providers, and to provide relevant research to their decision-makers in an easy-to-use format. Sell-side firms stated that they would like to be able to focus on developing and producing content, and to dedicate fewer resources to the technical issues around delivering it. Other scenarios offered future business opportunities for both the buy- and sell-side firms.

In November 2000, RIXML.org conducted a two-day workshop to further explore these scenarios. The outcome of the workshop was captured in an Excel spreadsheet that represented the working draft. After extensive discussions and debates, this draft was refined, leading to the current version of the draft document. A technical committee was then created and given the task of translating this working draft into the RIXML schema.

The technical committee started by modeling the business requirements into an object model. (An explanation of object models is included in this guide.) It also re-organized the draft document to better address the requirements of and expectations for the RIXML schema. A parallel effort helped translate this object model into the actual RIXML schema. Some members of the technical committee took the schema back to their organizations and presented it to the potential end-users of the specification. The comments and concerns they elicited have been incorporated into the schema; others are being maintained in an issues log and will be further reviewed and addressed in subsequent releases of the specification. The following items make up the specification package:

Users Guide (this document)

The Users Guide defines the elements and attributes that make up the RIXML schema vocabulary. It incorporates the object model — the visual representation of the schema, which displays the relationships between these elements and attributes.

RIXML Schema

The RIXML Schema is the actual XML schema that represents the RIXML vocabulary (RIXML.xsd).

Why XML?

The eXtensible Markup Language (XML) is an initiative proposed by the World Wide Web Consortium (W3C) as an alternative to HTML, which currently dominates Web publishing. Complementary to HTML, XML can be implemented for information publishing and data-intensive applications alike. Unlike HTML, XML is a meta-language — i.e., it allows users to create their own markup languages or vocabularies for their own purposes.

HTML is a standard set of tags that are defined to present web pages in a web browser when a user requests a page. Any tag that is not defined as part of the HTML specification is not recognized by the browser and may be displayed as standard text. Web pages displayed in HTML can be static — generic informational literature — or dynamic — generated from information that is in some way related to the user or is customized based on the user's preferences. Information in dynamic web pages can come from databases or even from other web sites; it can be either raw information as it comes from the data sources, or information that is analyzed, extracted, sorted, styled, and customized to create a personalized web experience for the end user.

Because XML provides the ability to manipulate data in a much more advanced fashion than HTML, it has very quickly become the markup language of choice for web developers. Unlike HTML, XML allows the data to be separated from its presentation. While HTML can be used to present the information using standard tags, XML gives users the capability to create their own custom tags to describe the data contained within them.

The following example illustrates the difference between HTML and XML. Here is some HTML code:

```
<p><font name = "Arial" size="3">Spectacular Quarterly Earnings  
Reported</font></p>  
<p><font name = "Arial" size="1">Earnings Announcement for XYZ  
Corp.</font></p>
```

HTML tells us about how this data is going to be *displayed*.

In XML, the same information might look like this:

```
<Title>Spectacular Quarterly Earnings Reported</Title>  
<SubTitle> Earnings Announcement for XYZ Corp.</SubTitle>
```

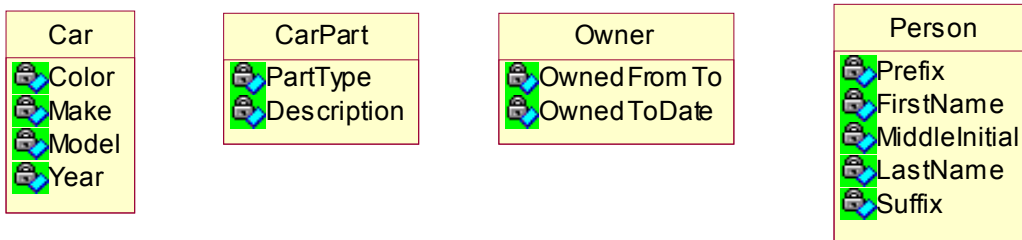
XML allows content to *describe itself through the tags in which the data are enclosed*. These tags can be leveraged to manipulate the data depending on the end user's requests or requirements. Data tagged this way can be presented through different media types (browser, cell phone, desktop application, etc.) or displayed differently (e.g., as a grid or in a chart) on different sites, by changing the presentation style, without making any changes to the actual data.

An XML schema is a set of components and rules that represent the business vocabulary of an industry, a process, or an application. Schemas help define how these rules affect the components that represent the business, or how these components relate to each other. Any XML document that is created using these rules and components needs to be compliant with this schema to be a valid representation of the business vocabulary. Once the schemas are validated and embraced by an industry as the standard mechanism for communicating or exchanging information, they provide the capability for searching or filtering information quickly.

What is an Object Model and how do you read it?

All industries and businesses are made up of a set of components and rules that represent the business. The viability of most industries and businesses depends upon how these rules affect the components that represent the business, and how these components interact with each other. An object model is a visual representation of these components and the rules that govern them. Object models can be very elaborate, to represent the entire business/enterprise; or they can be very focused, to represent a particular aspect of the business; or they can be used to model a solution for a specific business problem.

Generally speaking, *objects* can be defined as the components that represent the business; the rules that govern these components become the *relationships* that exist between these objects. In the context of RIXML, these objects are represented as rectangular boxes (classes) that are divided into two sections — the top containing the name of the class (identity), and the bottom containing facts (attributes) that describe this class. This will become clear from the following example.



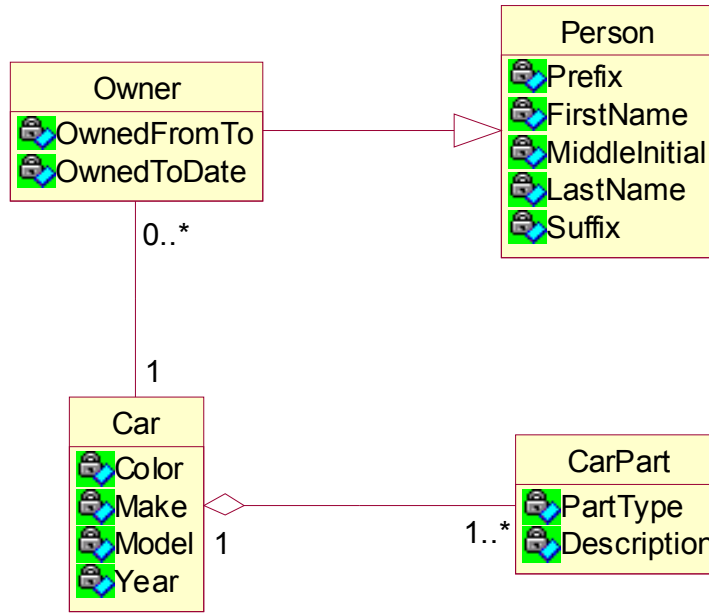
In this example, Car is the *class*, as defined by its position in the top container of its box. There are traits that define this car; these are called the *attributes*. In this example, the attributes are Color, Make, Model, and Year. By supplying values for these attributes, we can uniquely define a car. Some other classes are CarPart, Owner and Person. By themselves, these classes might not mean much, or they might describe an object without much relevance as to how this object interacts with its environment. But if we were somehow able to relate these objects with one another, they could potentially fit together as a jigsaw puzzle and explain a small portion of the automobile industry.

Let's start with a definition of some of the most commonly used relationship types — inheritance, associations and aggregations.

Inheritance

An inheritance represents a connection between two classes that shows that the subclass shares the structure and behavior defined in one or more super classes. This allows the super class to be treated as a generic object that can be used by some other application, or could be provided by some other application. The triangular arrow connecting the Owner and Person means that Owner is the subclass that shares all the attributes of the parent class (Person). So, Owner now has all the attributes of Person besides the OwnedFromDate and OwnedToDate. In other words, Owner is *derived* from Person.





The following values can be used to represent cardinality:

Value	Description	Value	Description
0	Zero	1	One
0..1	Zero or One	1..*	One or More
0..*	Zero or More	*	Unlimited number

In the above example, the value on the Car class side of the relationship is *1*, and on the Owner class side, *0..**. This means that a car may have zero or many owners. This is true in the real world, as a car has no owner until someone purchases it. On the other hand, it could have a single owner, or could be jointly owned (e.g., a husband and wife purchasing a car together).

In the other instance, there is an aggregation relationship between the Car and the CarPart classes. Car class is the aggregate class, as described earlier. The value on the Car side is *1* and the value on the CarPart side is *1..**. This means that the Car is made up of at least one CarPart, and can be made up of from one to an unlimited number of CarParts.

Elements and Attributes — Guidelines

Elements and attributes are different ways to define an object in the context of an XML schema. In this documentation, we will differentiate between elements and attributes using capitalization. Specifically, elements begin with a capital letter and attributes begin with a lower-case letter.

Rules for Determining Attribute vs. Element

The following guidelines were used to determine whether an item should be an element or an attribute in the schema:

- If an item has a specific global format or follows a global code, it should be an attribute.
- If it is obvious that an item is atomic — i.e., it cannot or will not be further meaningfully subdivided — it should be an attribute.
- All other items will be treated as elements, unless otherwise decided.

Naming Conventions

The following naming conventions were used when translating the working draft into the object model and thereby into the schema:

- **Elements:** The first character of all words making up the element name will be in upper case. All other characters will be in lower case, with no spaces between the words (UpperCamelCase).
- **Attributes:** The first character of the first word of an attribute will be in lower case. The first characters of all the subsequent words that make up the name will be in upper case. All other characters will be in lower case, with no spaces between the words (lowerCamelCase).

THE RIXML OBJECT MODEL

The RIXML Object Model has been logically divided into the following four major sections:

Source Content

This section documents the *information about the sources* that provide investment research. These sources could be the publishers, individual analysts, or teams of analysts.

Context Description

This section documents *information that describes the content* — such as use, existence, research discipline, related content, product focus, sectors, regions, issuers, and securities.

Content Description

This section *describes the content itself* — including the title, subtitle, synopsis, and the name of the file or files that constitute the content.

Legal

This section deals with *legal information that needs to accompany a research product*.

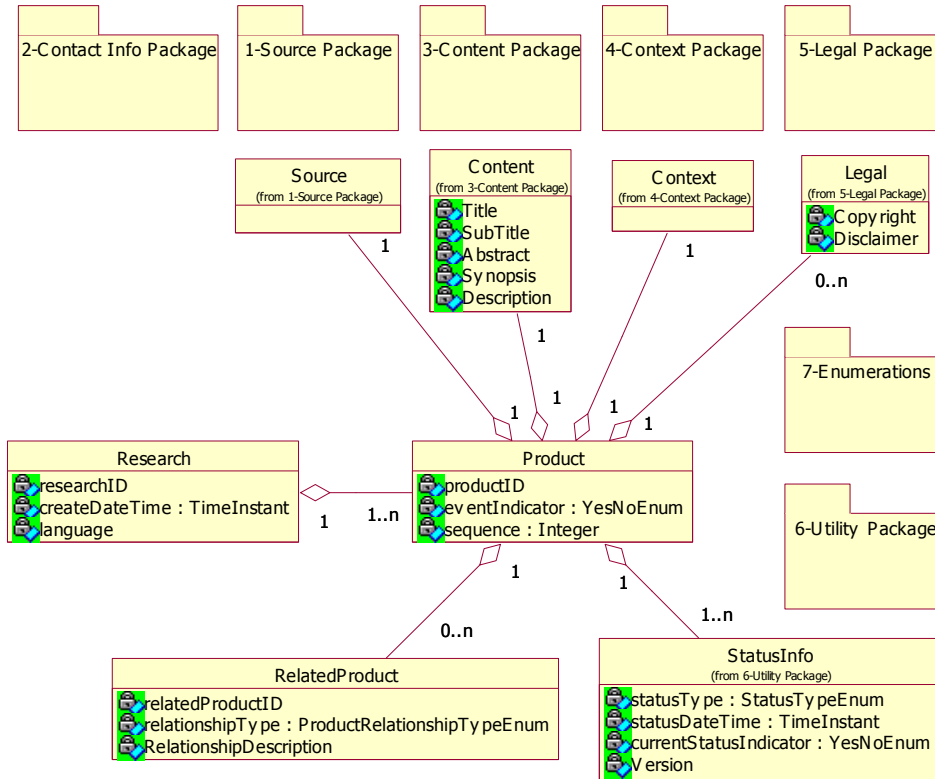
Within each one of these sections, object-model diagrams are provided that show the classes and the relationships between those classes. The Product class is the root of the RIXML specification and is the aggregate class that comprises the other four classes.

The RIXML Schema

The RIXML schema is the actual RIXML.xsd file that represents the relationships and components defined within the object model. This file can also be used to validate actual RIXML instance documents to ensure that the firm implementing the specification is creating RIXML-compliant content. As mentioned earlier, for the purpose of documentation, we will differentiate between an element and an attribute using an upper- or lower-case first letter, respectively.

Each section in the following documentation is made up of a package name (a name for the collection of objects that were logically packaged together). Within each package there is a description of classes that make up that package. Following the definition of any class is a listing and definition of the attributes that make up that class. If the class is an aggregator of other classes, they are listed after the attributes listing. Where an enumeration modifies an attribute (denoted by the suffix “Enum,” e.g., “SubjectEnum”), refer to the list of Enumerations at the end of this guide.

Class Diagram: High Level Relationships



Research

Research is the root tag for bundling research products.

Elements and Attributes:

researchID (Required, String)

This is to facilitate the unique identification of a particular bundling of products. This is added with some forward thought to hypothetical research distribution systems that may wish to label and refer to result sets.

To ensure uniqueness it is recommended that a Universal Unique Identifier (UUID) be used as the productID. UUIDs can be generated on any computer, regardless of platform or operating system. A UUID is a 128-bit (16-byte) integer that is virtually guaranteed to be unique in the world across space and time. The Open Software Foundation (OSF) created UUIDs, as part of their Distributed Computing Environment (DCE).

createTime (Required, TimeInstant)

This marks the date/time at which this research bundle was formed. It is expressed using ISO 8601 as refined by the World Wide Web Consortium's note <http://www.w3.org/TR/NOTE-datetime>. In addition, RIXML requires the use of Zulu time or Z-time (GMT +/- n hours:minute:seconds). All times are absolute and easier to compute, rather than using a relative (i.e. 08:30 +5) time.

language (Required, String)

Indicates the language of the RIXML document -- i.e. the language of the publisher-supplied tag values contained in the RIXML-based XML file for this research item. Described using the ISO 639-2/T Code.

[Aggregations:](#)

Product (Required, Multiples Allowed)

Product

Product refers to a unique "research idea", as opposed to an actual research publication. It is possible to publish multiple documents or other files (called "resources") with the same productID, provided they all refer to the same discrete research idea. Examples of a product include a research note, research report, conference call webcast, and morning meeting compilation. Examples of multiple resources published with the same productID are (1) a document published in English, with exact translations in German, French, and Japanese, (2) an audio file of a presentation and the transcript of the publication or (3) a single report that consists of a PDF and an Excel file.

[Elements and Attributes:](#)

productID (Required, String)

This is to facilitate the unique identification of a particular product. To ensure uniqueness it is recommended that a Universal Unique Identifier (UUID) be used as the productID. UUIDs can be generated on any computer, regardless of platform or operating system. A UUID is a 128-bit (16-byte) integer that is virtually guaranteed to be unique in the world across space and time. The Open Software Foundation (OSF) created UUIDs, as part of their Distributed Computing Environment (DCE).

eventIndicator (Strongly Recommended, YesNoEnum)

A cue from the publisher that this product is really about an event, so that a hypothetical downstream parsing process might proceed more effectively and efficiently.

sequence (Optional, Integer)

Used to indicate any meaningful ordering of the Products contained in this Research item. Particularly useful in publishing compendium products made up of multiple sub-products. Ordering is ascending.

[Aggregations:](#)

Source (Required)

Context (Required)

Content (Required)

Legal (Optional, Multiples Allowed)

RelatedProduct (Optional, Multiples Allowed)

StatusInfo (Required, Multiples Allowed)

RelatedProduct

Describes how content contained in this product is associated with other products, or how content in other products is associated with this one. Can have none or any number of relationships to other products.

[Elements and Attributes:](#)

relatedProductID (Required, String)

The unique productID of the product to which this product is related (as stored in Product.productID of the related document)

relationshipType (Required, ProductRelationshipTypeEnum)

Indicates the type of relationship between this product and another product.

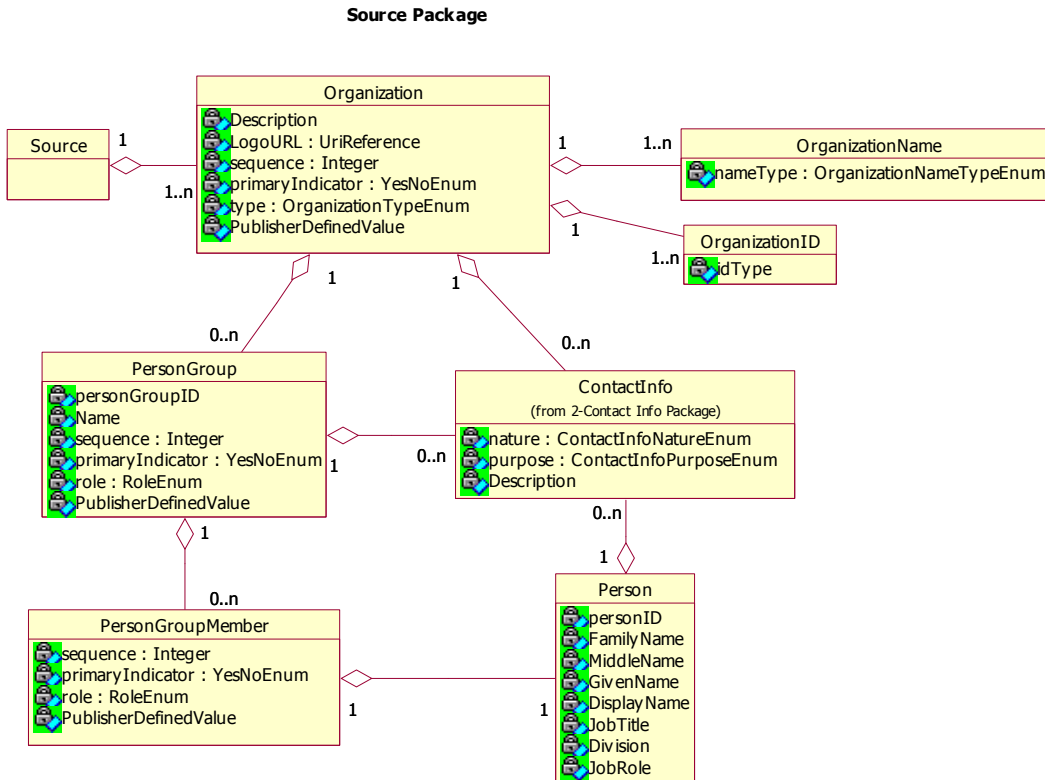
RelationshipDescription (Optional, String)

The description of the relationship between the current product and the other product to which it is related.

1-Source Package

The Source section describes the source of the research product, including the publishing firm(s), individual(s), and / or group(s) involved in creating the research. Information about each source is described in the next section, Contact Info Details.

Class Diagram: Source Details



Source

The top-level element of the Source section. Used to specify the organization(s) from which this research item originated. Organizations given here are defined as publishers.

Aggregations:

Organization (Required, Multiples Allowed)

Organization

Describes an organization related to the research item. Multiple organizations may be related to one research item. These organizations can be subsidiaries of the same parent or different organizations (as in a joint venture) working together on a publication or event. However, there can only be one primary publisher organization, which is captured by the `primaryIndicator`, when contained by the Source element.

Elements and Attributes:

Description (Optional, String)

Optional description of the organization. Used to include any additional information about the organization.

LogoURL (Optional, UriReference)

Indicates the URL location of the logo of the organization.

sequence (Optional, Integer)

If there are multiple Organizations, and they should appear in a certain order when the content is published, indicate the desired order by associating the appropriate sequence number to each Organization.

primaryIndicator (Required, YesNoEnum)

Indicates the primary organization relative to others that may be specified. When multiple organizations (subsidiaries of the same organization or different organizations) come together on a product, one must be listed as primary (generally the parent organization or the name of the joint venture).

type (Required, OrganizationTypeEnum)

The type of the organization.

PublisherDefinedValue (Optional, String)

For the cases in which the type attribute has the value PublisherDefined, the PublisherDefinedValue element is used to hold the organization's own description of the type.

Aggregations:

ContactInfo (Optional, Multiples Allowed)

OrganizationID (Required, Multiples Allowed)

OrganizationName (Required, Multiples Allowed)

PersonGroup (Optional, Multiples Allowed)

OrganizationID

An identifier used to identify the organization. At least one OrganizationID is required and multiple are possible. For example, for a product distributed via multiple vendors, each vendor may require a different OrganizationID, with the idType for each OrganizationID identifying the name of the vendor in the manner specified by the vendor. The actual ID is stored as free text in the content of the OrganizationID node.

A UUID can also be used as one of the IDs. This is to facilitate the unique identification of a particular organization. To ensure uniqueness it is recommended that a Universal Unique Identifier (UUID) be used as the productID. UUIDs can be generated on any computer, regardless of platform or operating system. A UUID is a 128-bit (16-byte) integer that is virtually guaranteed to be unique in the world across space and time. The Open Software Foundation (OSF) created UUIDs, as part of their Distributed Computing Environment (DCE).

Elements and Attributes:

idType (Required, String)

Indicates the type of ID used. Examples: CUSIP, VendorCode.

OrganizationName

The name of the organization. An organization can have multiple names as enumerated in the Name Types. At least one name is required for the content to be valid. Display name is the preferred name if only one name is provided.

Elements and Attributes:

nameType (Required, OrganizationNameTypeEnum)

The name can be one of the following types - legal, local, display, or parent. Use Display if using only one nameType, unless one of the other nameTypes is preferred.

PersonGroup

The PersonGroup element is used to hold the name(s) of the individual person(s) and/or the name of the group. In the case of an individual person, the person tag and its associated personID are used (no personGroupID or description is needed).

PersonGroups can be formally organized groups or they can be fluid groups that come together to deliver content. If the "group" consists of only one person, there is no need to define a group ID and description; it is sufficient to have the 'person' tag and the associated personID under the 'group' tag.

Elements and Attributes:

personGroupID (Optional, String)

Some unique label used to reference a particular group of people.

Name (Optional, String)

Indicates the name of the group. This is not required, but can be used where groups are formally named or if there is a name created for the group involved with a publication or event.

sequence (Optional, Integer)

If there are multiple PersonGroups, and they should appear in a certain order when the content is published, indicate the desired order by associating an appropriate sequence number to each one.

primaryIndicator (Optional, YesNoEnum)

Indicates the primary PersonGroup, when more than one are specified.

role (Optional, RoleEnum)

The role of the group relative to this research item. This is especially useful if only the group is specified without any members or if all members share the same role -- as in a group of document authors or meeting attendees.

PublisherDefinedValue (Optional, String)

If the role attribute has the value PublisherDefined, this element is used to hold the publisher's own description of the role.

Aggregations:

PersonGroupMember (Optional, Multiples Allowed)

ContactInfo (Optional, Multiples Allowed)

PersonGroupMember

Used to define the members of a group, for example, the author(s) of the product. The PersonGroupMember highlights primary persons, and describes the display order of multiple persons.

Elements and Attributes:

sequence (Optional, Integer)

If there are multiple PersonGroupMembers, and they should appear in a certain order when the content is published, indicate the desired order by associating the appropriate sequence number to each PersonGroupMember.

primaryIndicator (Optional, YesNoEnum)

Indicates which member is primary relative to the product. A person group can have more than one primary member.

role (Optional, RoleEnum)

The role of this individual person relative to this research item.

PublisherDefinedValue (Optional, String)

If the role attribute has value PublisherDefined, then the publisher indicates the role in this element.

Aggregations:

Person (Required)

Person

Describes an individual involved in the product in some capacity.

Elements and Attributes:

personID (Required, String)

An identifier used to identify the person. For accurate identification it is required that the personID be unique for a given publisher, but the implementation of the ID is left to the publishers to implement as they deem fit. Examples: combination of LastName and FirstName, combination of internal employee ID and RIXML publisher ID.

FamilyName (Required, String)

Indicates the family name of the person.

MiddleName (Optional, String)

Indicates the middle name of the person.

GivenName (Optional, String)

Indicates the given name of the person.

DisplayName (Optional, String)

Strongly Recommended. Indicates how the publisher or person wants the name to be presented, for example: Dr. John Doe Sr. CPA, CFA.

JobTitle (Optional, String)

Indicates the official title of the person within an organization -- e.g. Managing Director, Vice President, etc.

Division (Optional, String)

Indicates the division that the person officially works for within an organization.

JobRole (Optional, String)

Indicates the functional role played by the person relative to his/her job in the organization, for example, analyst, strategist, economist, etc.

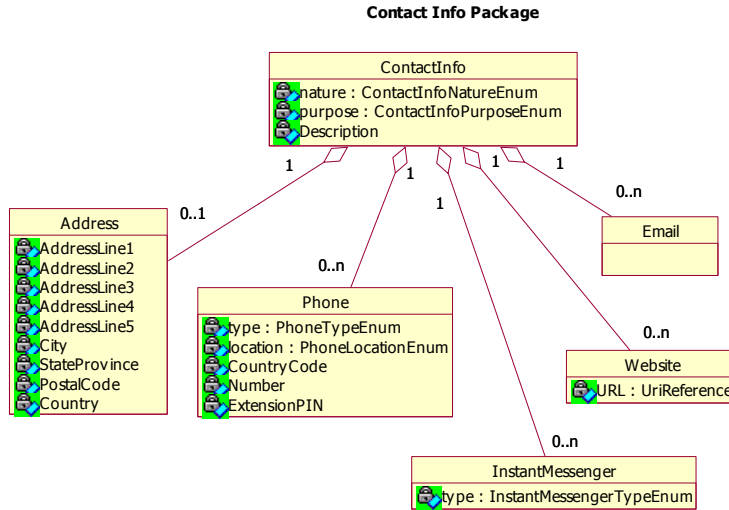
Aggregations:

ContactInfo (Optional, Multiples Allowed)

2-Contact Info Package

The ContactInfo section contains the contact information for an organization, group or person involved in creating a research product as defined in Source Details. Can describe address, phone, email, IM and / or website contact information, at least one of which is required.

Class Diagram: Contact Info Details



ContactInfo

The top-level element of the ContactInfo section.

Elements and Attributes:

nature (Required, ContactInfoNatureEnum)

Used to indicate the nature of the contact information - business or personal.

purpose (Optional, ContactInfoPurposeEnum)

Describes the intended purpose of the contact information. Gives the reader an idea of what to expect on the far side.

Description (Optional, String)

A brief description of the contact information can be included here, if desired. This element is intended to pick up where the purpose attribute leaves off. It offers the ability to provide more detail.

Aggregations:

Address (Optional)

Email (Optional, Multiples Allowed)

Phone (Optional, Multiples Allowed)

Website (Optional, Multiples Allowed)

InstantMessenger (Optional, Multiples Allowed)

Address

Strongly Recommended. Describes the street address.

Elements and Attributes:

AddressLine1 (Required, String)

Indicates the first line of the street address.

AddressLine2 (Optional, String)

Indicates the second line of the street address.

AddressLine3 (Optional, String)

Indicates the third line of the street address.

AddressLine4 (Optional, String)

AddressLine5 (Optional, String)

City (Optional, String)

Indicates the city where the street address is located.

StateProvince (Optional, String)

Indicates the State/Province/Canton/County information of the address.

PostalCode (Optional, String)

Indicates the Postal code, quadrant, zone or Zip code.

Country (Required, String)

This field indicates the country, as it should be displayed.

Email

Strongly Recommended. Indicates the email address.

InstantMessenger

Describes an Instant Messenger address.

Elements and Attributes:

type (Required, InstantMessengerTypeEnum)

Indicates the Instant Messenger protocol type -- i.e. AIM, ICQ, MSN, SMS, Yahoo, etc.

Phone

Strongly Recommended. Describes the telephone, fax or pager numbers.

Elements and Attributes:

type (Required, PhoneTypeEnum)

Phone numbers can be one of the following types - voice, fax, or pager.

location (Optional, PhoneLocationEnum)

Describes the location of the phone at this number -- i.e. office, home, mobile.

CountryCode (Required, String)

Telephone country code for the phone number.

Number (Required, String)

Phone number including area code.

ExtensionPIN (Optional, String)

Used for extension number for a phone or a PIN. PINs are sometimes associated with pagers.

Website

Strongly Recommended. Provides a URI reference for a web site.

Elements and Attributes:

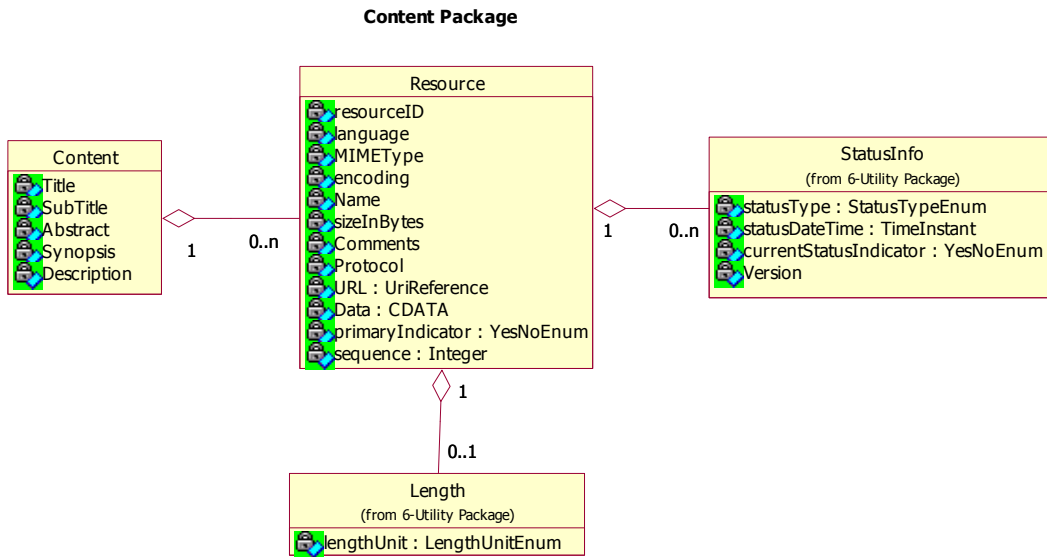
URL (Required, UriReference)

Web address associated with the person or organization.

3-Content Package

The ContentPackage is the container for holding the name (title) of the publication (the product) described by the metadata in the context package, along with the URLs, individual files, and/or data contained within the tagging (the resources) associated with this product, and the abstract and synopsis of the publication.

Class Diagram: Content Details



Content

The top-level element of the Content section.

Elements and Attributes:

Title (Required, String)

This is the primary title of the product.

SubTitle (Optional, String)

This is the sub title of the product.

Abstract (Optional, String)

A summary of the information contained in the product. Highlights the salient issues in the document or provides a brief description of the event. Suggested maximum length is 3000 characters.

Synopsis (Optional, String)

A very brief statement of the subject addressed in the product. This is typically only a few lines and would be appropriate for highly abbreviated displays. Suggested maximum length is 300 characters.

Description (Optional, String)

Aggregations:

Resource (Optional, Multiples Allowed)

Resource

Describes the resource that contains the media representation of the research product. For example, can describe a file, URL, or encoded data that represents the product. There can be any number of Resource elements associated with a product. For example, a product

may consist of both a PDF document (one resource) and an Excel spreadsheet (another resource), or there could be multiple language versions of the same document (each one a resource).

Elements and Attributes:

resourceID (Required, String)

The unique identifier of the resource within the product. The implementation of the resourceID is left for the publishers of content to implement as they deem fit. At a minimum, the resourceID is required to be unique within the product(s) it appears under.

language (Optional, String)

Indicates the language of the resource, described using the ISO 639-2/T Code. Highly recommended, especially when multiple resources are included that are different translations of the same product. Whereas the language attribute of the Research element represents the language of the metadata describing the Research, the language attribute of the Resource element represents the language of the media representation (often a file) of the product. These two language attributes may be different.

MIMETYPE (Required, String)

Indicates the type of media used to store the content. MIMETYPE is used to determine the software product(s) that can read the content. MIMETypes are described in RFC 2046.

encoding (Optional, String)

Indicates the encoding format of the content (UTF-16, UTF-64, etc). Used when content is included as encoded data in the Resource.Data element.

Name (Optional, String)

The Name element is intended to provide a research consumer with a suggestion on how to store the particular resource, whether it comes via an actual file, embedded data or remote URL. If this RIXML file arrives with a companion file (PDF, Word, text, etc.) representing this resource, then the Name value is used to match the resource with right companion file. If a payload file is embedded data, the Name value is used by the publisher to suggest a file name to the consumer, who may choose to store the embedded data locally. If a payload file is referenced via URL, the Name value is similarly used by the publisher to suggest a file name to the consumer for local storage.

sizeInBytes (Optional, String)

Indicates the size of the resource in bytes. Could be used by the end user to estimate the download time and storage needs.

Comments (Optional, String)

Any additional comments that are deemed necessary. For example, which software version is required to open the document? Or, how does this resource relate to the others for this product?

Protocol (Optional, String)

Indicates the protocol (rules determining format and transmission). This eliminates the need for parsing this information from the URL.

URL (Optional, UriReference)

Indicates the URL at which the resource can be found.

Data (Optional, CDATA)

Used when the content (data) of the research product needs to be included within the RIXML document. The data must be encoded using the method described by the Resource's encoding attribute.

primaryIndicator (Required, YesNoEnum)

Indicates the primary Resource. At least one Resource must be set to Primary.

sequence (Optional, Integer)

If there are multiple Resources, and they should appear in a certain order when the content is published, indicate the desired order by associating the appropriate sequence number to each Resource.

Aggregations:

Length (Optional)

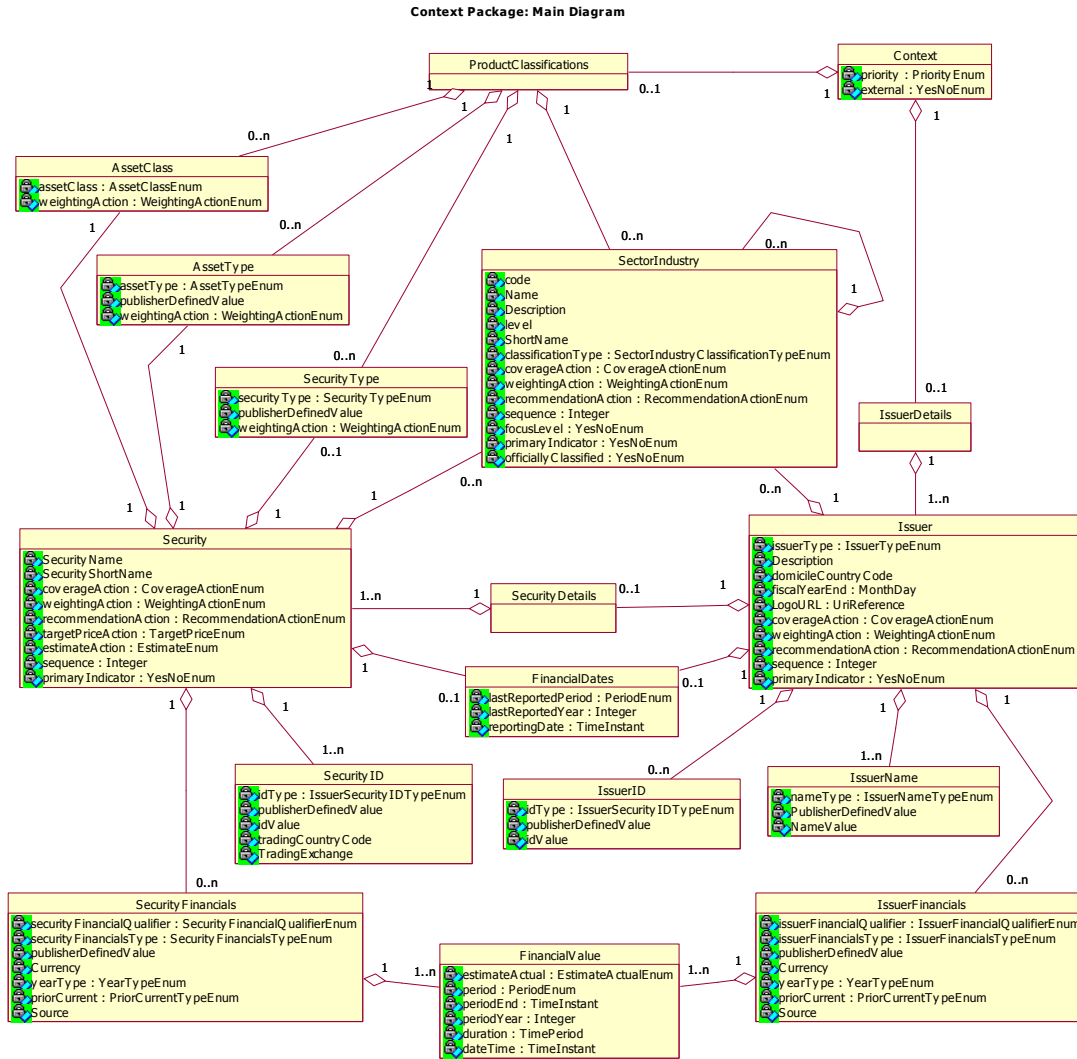
StatusInfo (Optional, Multiples Allowed)



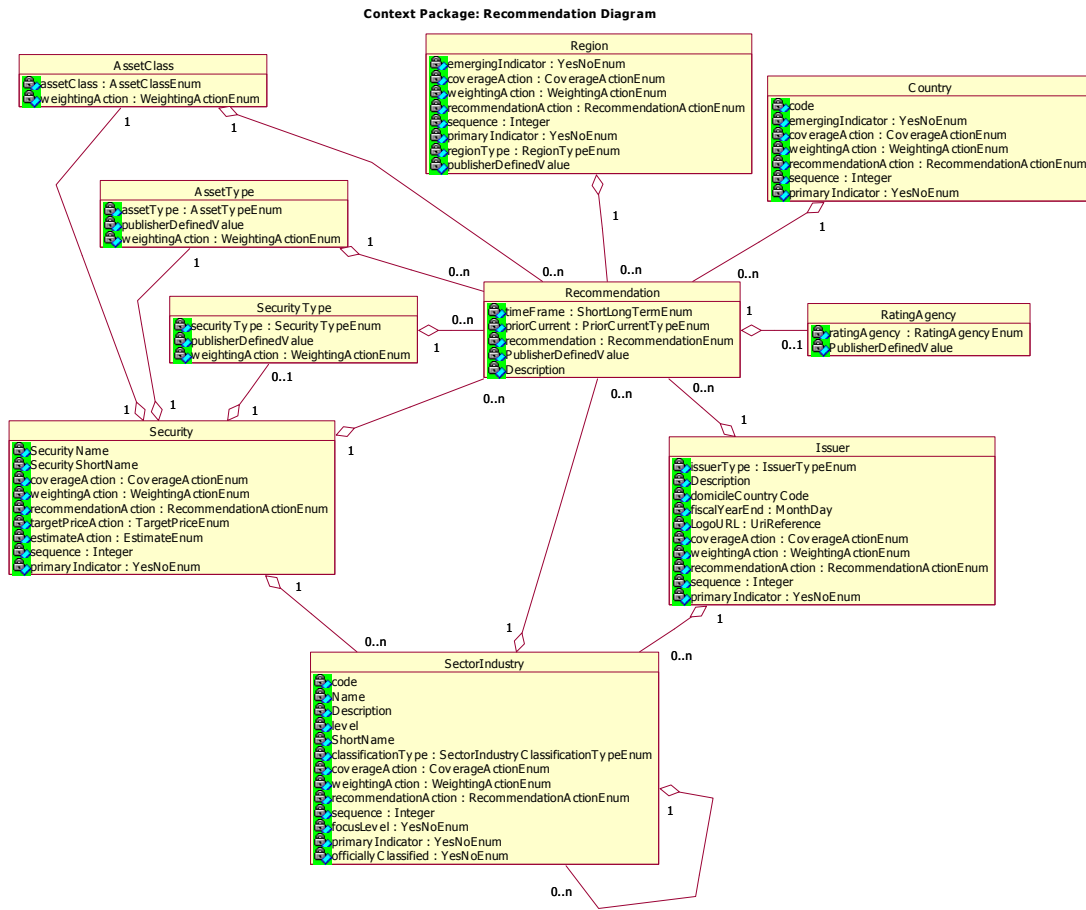
4-Context Package

The Context section contains information that describes the categorization of the Product. It stores most of the data that will be used by research consumers to search for, filter out and extract research products, such as research discipline, product focus, sectors, regions, issuers, and securities.

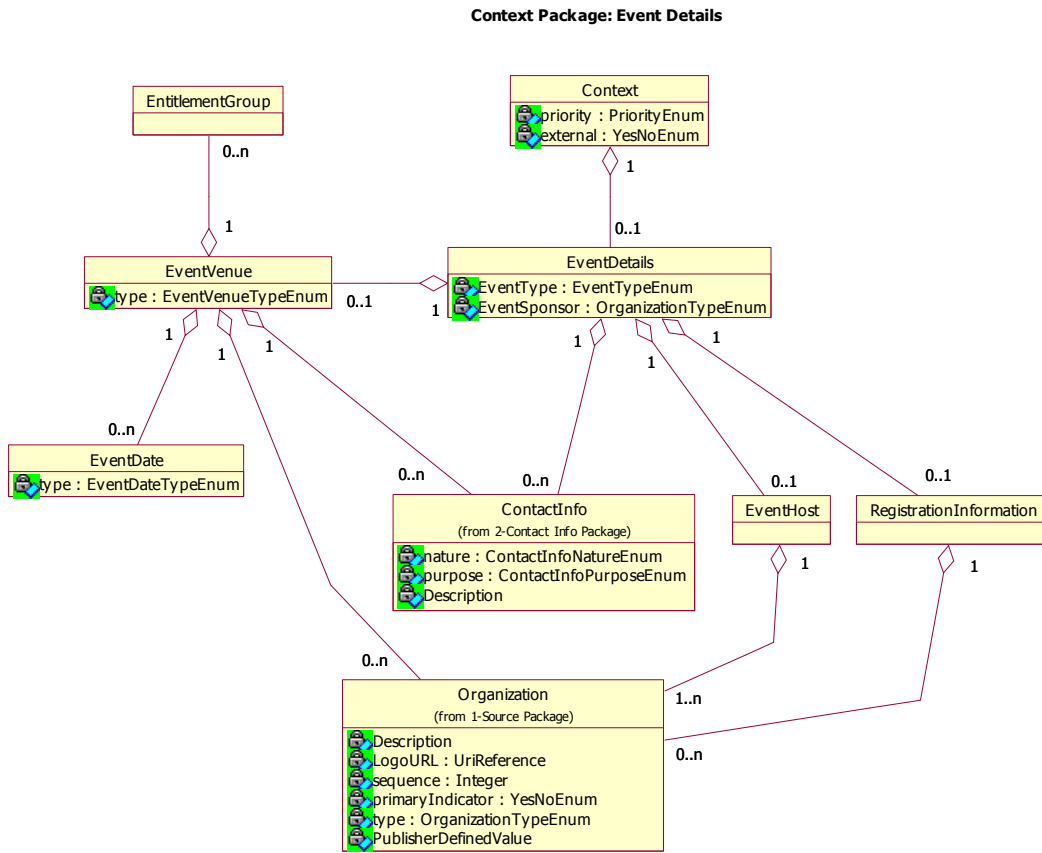
Class Diagram: MainDiagram



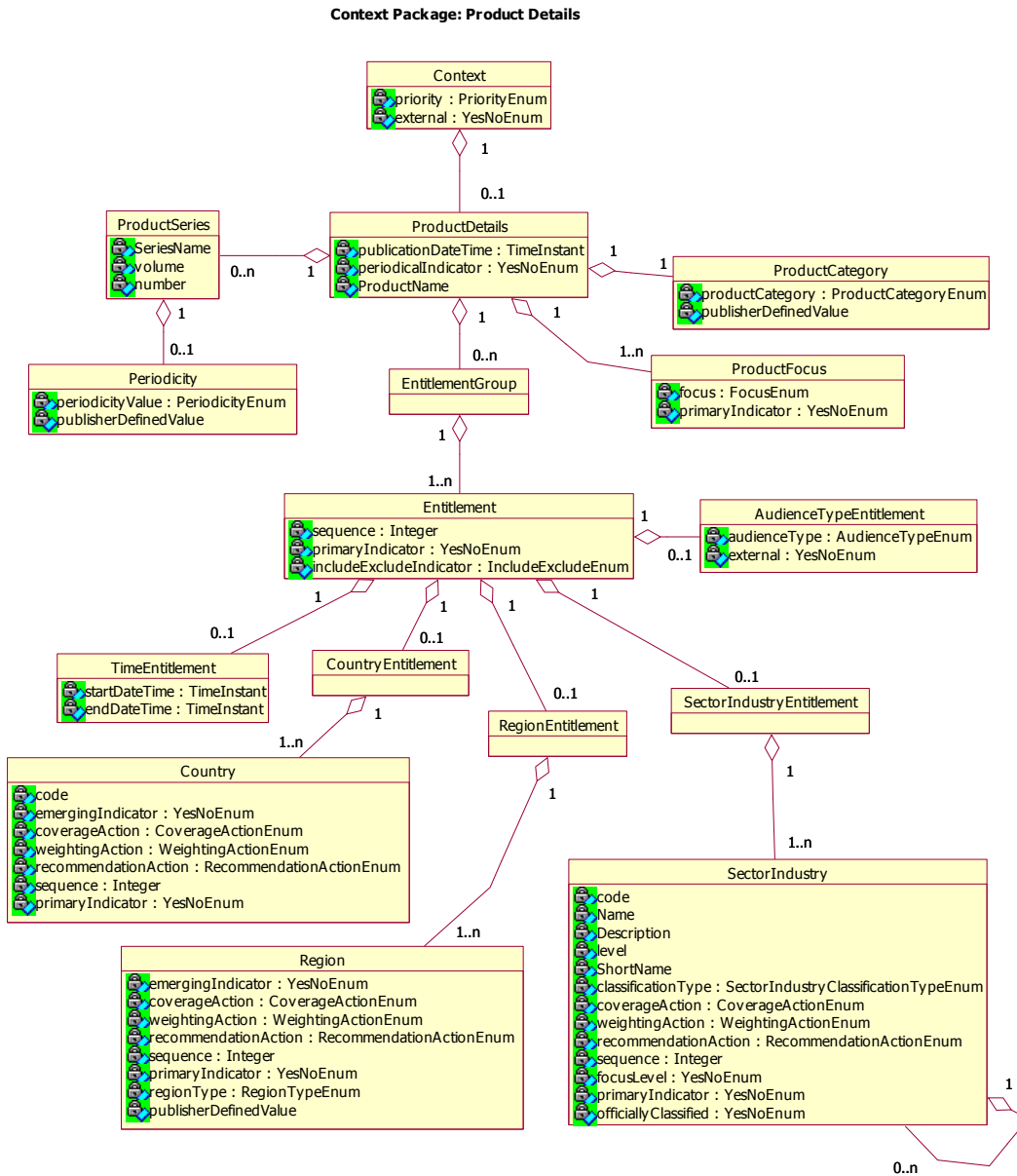
Class Diagram: RecommendationDiagram



Class Diagram: EventDetailsDiagram

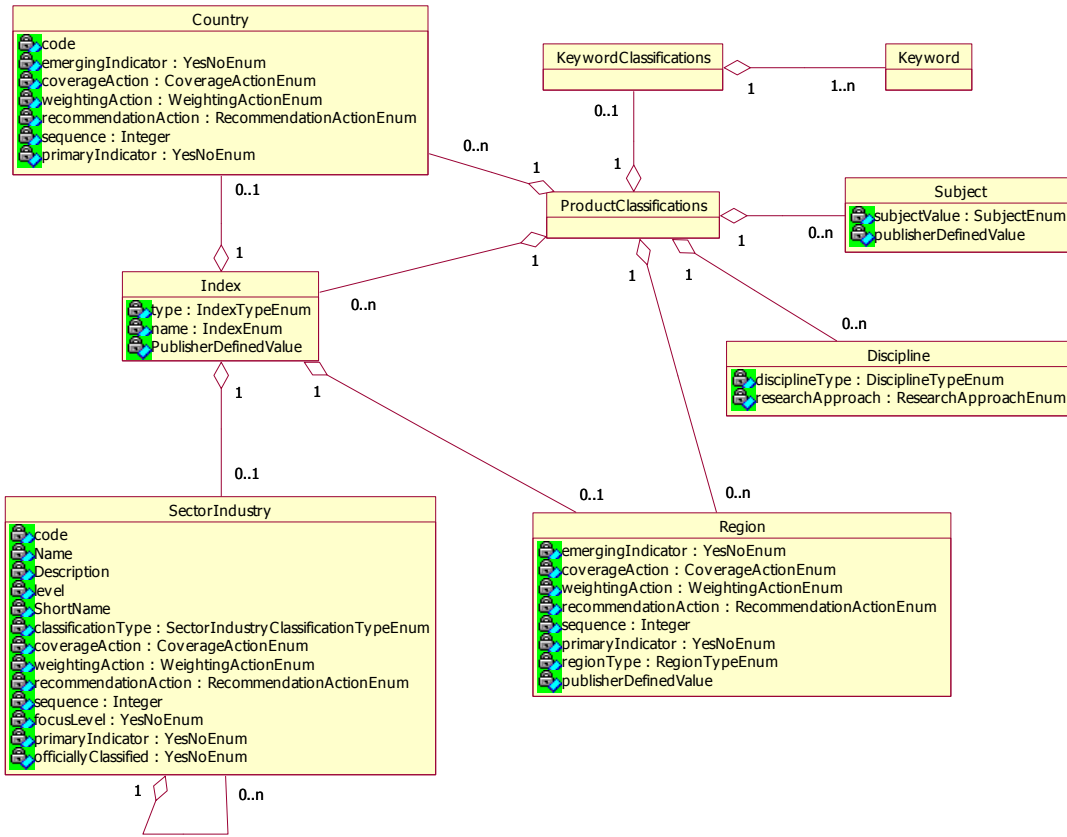


Class Diagram: ProductDetailsDiagram



Class Diagram: ProductClassificationDiagram

Context Package: Product Classifications



Elements and Attributes:

EventType (Required, EventTypeEnum)

Indicates the type of the event.

EventSponsor (Required, OrganizationTypeEnum)

Aggregations:

EventVenue (Optional)

EventHost (Optional)

RegistrationInformation (Optional)

ContactInfo (Optional, Multiples Allowed)

IssuerDetails

This is the container class for all the tags available for use when describing an Issuer.

Aggregations:

Issuer (Required, Multiples Allowed)

ProductClassifications

This is the container class for all the tags available for use when classifying the research product.

Aggregations:

KeywordClassifications (Optional)

Discipline (Optional, Multiples Allowed)

Subject (Optional, Multiples Allowed)

Index (Optional, Multiples Allowed)

Country (Optional, Multiples Allowed)

Region (Optional, Multiples Allowed)

AssetClass (Optional, Multiples Allowed)

AssetType (Optional, Multiples Allowed)

SecurityType (Optional, Multiples Allowed)

SectorIndustry (Optional, Multiples Allowed)

ProductDetails

This is the container class for all the tags available for use when describing any research product.

Elements and Attributes:

publicationDateTime (Required, TimeInstant)

Indicates the date and time at which the product was officially published. This is the date and time that would appear on the product itself, or be displayed to a reader. It is expressed using ISO 8601 as refined by the World Wide Web Consortium's note <http://www.w3.org/TR/NOTE-datetime>. In addition, RIXML requires the use of Zulu time or Z-time (GMT +/- n hours:minute:seconds). All times are absolute and easier to compute, rather than using a relative (i.e. 08:30 +5) time.

periodicalIndicator (Required, YesNoEnum)

Indicates whether or not the content is a periodical.

ProductName (Optional, String)

The proprietary name of the product as defined by the research provider. This can be used to express a brand name. Examples of product names are "ABC Investment Bank's Tech Weekly", or "From the Floor in Asia".

Aggregations:

ProductCategory (Required)

ProductFocus (Required, Multiples Allowed)

ProductSeries (Optional, Multiples Allowed)

EntitlementGroup (Optional, Multiples Allowed)

Discipline

Describes the high level content classification of a research product based on its intellectual and analytical approach.

Elements and Attributes:

disciplineType (Required, DisciplineTypeEnum)

Indicates the high level discipline of the research product.

researchApproach (Optional, ResearchApproachEnum)

Indicates the analytical technique used to create the content of the research product.

Required when disciplineType is Strategy or Investment.

EventHost

Describes the organization hosting the event. Multiple hosts of one event are possible. However, there can be only one primary host, which is captured by the Organization primaryIndicator.

Aggregations:

Organization (Required, Multiples Allowed)

EventVenue

Indicates the venue -- can be physical (one-on-one meeting) or virtual (conference call or webcast). Strongly recommended for a location-based event. Required when Product.eventIndicator=Yes or Product.Context.ProductDetails.ProductCategory.productCategory=Event.

Elements and Attributes:

type (Required, EventVenueTypeEnum)

Aggregations:

Organization (Optional, Multiples Allowed)

EventDate (Optional, Multiples Allowed)

ContactInfo (Optional, Multiples Allowed)

EntitlementGroup (Optional, Multiples Allowed)

Index

Indicates an index mentioned in the product.

Elements and Attributes:

type (Optional, IndexTypeEnum)

An indication of the type of index. Typically market, industry or country.

name (Required, IndexEnum)

This is the index name.

PublisherDefinedValue (Optional, String)

Used to indicate the index name, when the name attribute is PublisherDefined. This is for cases where the relevant index is not already on the enumeration list.

Aggregations:

Country (Optional)

Region (Optional)

SectorIndustry (Optional)

Issuer

Describes the Issuer of a security.

Elements and Attributes:

issuerType (Required, IssuerTypeEnum)

Indicates the type of Issuer. For example, can be agency, government or corporate.

Description (Optional, String)

A text description (name) of the Issuer. Strongly Recommended element.

domicileCountryCode (Optional, String)

Indicates the country where the Issuer is domiciled, represented by the ISO 3166-1 country code.

fiscalYearEnd (Optional, MonthDay)

Combination of Day and Month that indicates the fiscal year end of the Issuer.

LogoURL (Optional, UriReference)

Indicates the URL where the Issuer's logo may be found.

coverageAction (Optional, CoverageActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing coverage status of an Issuer. Example: a publisher initiates coverage of Company XYZ.

weightingAction (Optional, WeightingActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing the weighting of the issuer.

recommendationAction (Optional, RecommendationActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing their recommendation on an Issuer. Example: a publisher downgrades Company XYZ.

sequence (Optional, Integer)

If there are multiple Issuers, and they should appear in a certain order when the content is published, indicate the desired order by associating the appropriate sequence number to each Issuer.

primaryIndicator (Required, YesNoEnum)

Indicates the primary Issuer(s) discussed in the research product. If the product is focused at the Issuer level (i.e. the ProductFocus tag is set to Issuer), then at least one Issuer must be marked as primary.

[Aggregations:](#)

Recommendation (Optional, Multiples Allowed)

IssuerID (Optional, Multiples Allowed)

IssuerName (Required, Multiples Allowed)

FinancialDates (Optional)

IssuerFinancials (Optional, Multiples Allowed)

SectorIndustry (Optional, Multiples Allowed)

SecurityDetails (Optional)

Weighting (Optional, Multiples Allowed)

KeywordClassifications

KeywordClassifications grouping element that groups or bounds multiple keyword elements.

[Aggregations:](#)

Keyword (Required, Multiples Allowed)

ProductCategory

Describes the manner or format that information is presented within the product. Product categories include Comment, Report, Model, Chart, etc.

[Elements and Attributes:](#)

productCategory (Required, ProductCategoryEnum)

The category that the product fits into.

publisherDefinedValue (Optional, String)

If ProductCategory.Value = PublisherDefined, then the publisher can indicate what type of product this is.

ProductFocus

Indicates the primary focus of the product. This tag is used in conjunction with the primaryIndicator fields in SectorIndustry, Discipline, Issuer, Region, Country, AssetClass, AssetType, SecurityType, Index to indicate the primary topic of the product. EXAMPLE 1: a report that is an overview of French securities, with a few brief comments about the household durables and insurance industries would have ProductFocus.focus = Country

ProductFocus.primaryIndicator = Yes
 Context.Country.countryCode = FR
 Context.Country.countryName = France
 Context.Country.primaryIndicator = Yes
 Because the product only briefly mentions the household durables and insurance industries, these would both have the Context.sectorIndustry.primaryIndicator set to No. If other countries are mentioned, these additional Context.Country.countryCodes can be listed, with the respective primaryIndicator set to No.
 EXAMPLE 2: a company report on a bank that briefly discusses how changes in the banking industry may affect aspects of the real estate industry, would have
 ProductFocus.focus = Issuer
 ProductFocus.primaryIndicator = Yes
 Context.SectorIndustry.sectorIndustryCode = 4010
 Context.SectorIndustry.Name = Banks
 Context.SectorIndustry.primaryIndicator = Yes
 Context.SectorIndustry.sectorIndustryCode = 4040
 Context.SectorIndustry.Name = Real Estate
 Context.SectorIndustry.primaryIndicator = No.

Elements and Attributes:

focus (Required, FocusEnum)

Focus indicates whether the product discusses any of certain attributes (such as SectorIndustry, Issuer, Country, etc.). A report primarily about one company would have a focus of Issuer, while a country overview would have a focus of Country.

primaryIndicator (Required, YesNoEnum)

Used to indicate which of various focus attributes in the product is the primary topic of the product.

ProductSeries

Used for publications issued as a series / periodical.

Elements and Attributes:

SeriesName (Required, String)

Indicates the name of the publication series. The series name should appear in the same way for all items in the series.

volume (Optional, String)

Volume number.

number (Optional, String)

Publication number in a volume.

Aggregations:

Periodicity (Optional)

RegistrationInformation

Registration information relating to an event.

Aggregations:

Organization (Optional, Multiples Allowed)

Subject

Strongly recommended. Indicates the subject of the product. There is a standard set of subjects defined by RIXML including market opening comments, accounting and tax policy, and earnings surprise. If these do not fully represent the subject, the publisher may use a publisher defined Subject value.

Elements and Attributes:

subjectValue (Required, SubjectEnum)

The main topic covered in the product.

publisherDefinedValue (Optional, String)

If the Subject.Value = PublisherDefined, then the publisher can indicate a subject not in the SubjectEnum list.

EntitlementGroup

A composite restriction on the use of the product. Each individual entitlement specification inside a single EntitlementGroup applies conjunctively with the others in the group -- i.e. they are AND-ed together. For example, you could limit readership to American press agencies by including a LocationEntitlement (containing a Country element with the U.S. country code) and an AudienceTypeEntitlement (containing the Media audience type code). Each EntitlementGroup applies disjunctively with the other EntitlementGroups -- i.e. they are OR-ed together.

Aggregations:

Entitlement (Required, Multiples Allowed)

EventDate

Describes a date/time relevant to the event, and relative to the type attribute. It is expressed using ISO 8601 as refined by the World Wide Web Consortium's note <http://www.w3.org/TR/NOTE-datetime>. In addition, RIXML requires the use of Zulu time or Z-time (GMT +/- n hours:minute:seconds). All times are absolute and easier to compute, rather than using a relative (i.e. 08:30 +5) time.

Elements and Attributes:

type (Required, EventTypeEnum)

Describes the relevance of the date/time to the event.

IssuerFinancials

Financial data related to the issuer of a security.

Elements and Attributes:

issuerFinancialQualifier (Optional, IssuerFinancialQualifierEnum)

Indicates whether the reported numbers are primary, diluted, restated, adjusted or pro-forma.

issuerFinancialsType (Required, IssuerFinancialsTypeEnum)

Used to indicate what type of financial metrics are being represented here.

publisherDefinedValue (Optional, String)

Currency (Optional, String)

Indicates the currency of the issuer financials. Represented by the three letter alpha code defined by ISO 4217.

yearType (Optional, YearTypeEnum)

Indicates whether the year specified is a fiscal year or calendar year

priorCurrent (Optional, PriorCurrentTypeEnum)

Indicates whether the financials are current or prior. Defaulted to currentPrior is used to indicate what the prior figure was for the period specified in order to give context to the current figure, not to provide the figure for a prior time period.

Source (Optional, String)

Free-text tag to indicate the source of the numbers. Example: the name of the company that provides the consensus figures.

Aggregations:

FinancialValue (Required, Multiples Allowed)

IssuerID

Used to uniquely identify the issuer.

Elements and Attributes:

idType (Required, IssuerSecurityIDTypeEnum)

Indicates the organization or company's protocol used for the issuer identifier (i.e. the Issuer classification scheme). Note that since there is no universally accepted means of identifying an Issuer (as opposed to a specific security), IssuerID allows the use of what are technically security identifiers as a means of identifying an Issuer (CUSIP, SEDOL, etc).

publisherDefinedValue (Optional, String)

If the IssuerID.idType = PublisherDefined, then the publisher can indicate what type of identifier has been used.

idValue (Required, String)

The actual identifier for this issuer.

IssuerName

This is the name of the issuer related to the IssuerID.idValue.

Elements and Attributes:

nameType (Required, IssuerNameTypeEnum)

An issuer can have multiple names. The names can be one or more of the following types: legal, local, display, parent, trading. Use Display if using only one nameType, unless one of the other nameTypes is preferred.

PublisherDefinedValue (Optional, String)

If the IssuerName.NameType = PublisherDefined, then the publisher can indicate what type of name has been used.

NameValue (Required, String)

The name that is associated with the IssuerID.idValue above.

Keyword

Free-text keywords relevant to the product, which the consumers may want to search on. There is no maximum length, but should only be populated with terms that would help users locate relevant research products. These keywords, like all other metadata, will be in the language of the Research.Language.

Periodicity

Indicates the frequency with which the publication is published or the event occurs.

Elements and Attributes:

periodicityValue (Required, PeriodicityEnum)

This is the frequency with which this product is published or this event is held.

publisherDefinedValue (Optional, String)

If Periodicity.Value = PublisherDefined, then the publisher can indicate a frequency not in the PeriodicityEnum list.

SecurityDetails

This is the container class for all the tags available for use when describing an Security.

Aggregations:

Security (Required, Multiples Allowed)

Entitlement

A container for more specific entitlement types. Mostly used as a convenient receptacle for attributes that apply to all lower entitlement types.

Elements and Attributes:

sequence (Optional, Integer)

If there are multiple Entitlements, and they should take precedence in a certain order when the content is published, indicate the desired order by associating the appropriate sequence number to each Entitlement.

primaryIndicator (Required, YesNoEnum)

If necessary, indicates which entitlement is primary.

includeExcludeIndicator (Required, IncludeExcludeEnum)

Aggregations:

AudienceTypeEntitlement (Optional)

CountryEntitlement (Optional)

SectorIndustryEntitlement (Optional)

TimeEntitlement (Optional)

RegionEntitlement (Optional)

Security

Information about a particular security that describes the type of security and how to identify it. A security is always issued by an issuer, therefore, if a security is being mentioned, it must be attached to an Issuer element.

Elements and Attributes:

SecurityName (Optional, String)

The name of the Security.

SecurityShortName (Optional, String)

Optional short name commonly used to identify the Security.

coverageAction (Optional, CoverageActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing the coverage status of a Security. Example: a publisher initiates coverage of Security ABC.

weightingAction (Optional, WeightingActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing the weighting of the security.

recommendationAction (Optional, RecommendationActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing their recommendation on a Security. Example: a publisher downgrades Security ABC.

targetPriceAction (Optional, TargetPriceEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing their target price estimate for a Security. Example: a publisher increases a target price for Security ABC to \$100.

estimateAction (Optional, EstimateEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing their earnings estimates for a Security. Example: a publisher lowers all their earnings estimates for Security ABC.

sequence (Optional, Integer)

If there are multiple Securities, and they should appear in a certain order when the content is published, indicate the desired order by associating the appropriate sequence number to each Security.

primaryIndicator (Required, YesNoEnum)

Indicates the primary Security or Securities discussed in the research product. If the product is focused at the Security level (i.e. the ProductFocus tag is set to Security), then at least one Security must be marked as primary. Otherwise primaryIndicator is optional.

Aggregations:

Recommendation (Optional, Multiples Allowed)

SecurityID (Required, Multiples Allowed)

FinancialDates (Optional)

SecurityFinancials (Optional, Multiples Allowed)

AssetClass (Required)

AssetType (Required)

SecurityType (Optional)

SectorIndustry (Optional, Multiples Allowed)

Weighting (Optional, Multiples Allowed)

AssetClass

When attached to a Context element, indicates the asset class that the research product focuses on. When attached to a Security element, indicates the asset class of the security.

Typically used in conjunction with AssetType and SecurityType. One of the following: equity, fixed income, commodity or currency.

Elements and Attributes:

assetClass (Required, AssetClassEnum)

Indicates the asset class.

weightingAction (Optional, WeightingActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing the weighting of the asset class.

Aggregations:

Recommendation (Optional, Multiples Allowed)

Weighting (Optional, Multiples Allowed)

AssetType

Indicates the asset type. Typically used in conjunction with AssetClass and SecurityType. Can be attached to a Context element or to a Security element. For equities, examples include stocks, convertibles, warrants and preferred stocks. For bonds, examples include the major fixed income sectors typically used in major fixed income index benchmarks. These include U.S. Treasuries, Corporate High Yield and Municipals, among others.

Elements and Attributes:

assetType (Required, AssetTypeEnum)

Indicates the asset type.

publisherDefinedValue (Optional, String)

Used when AssetType.Value = PublisherDefined to indicate a type of asset not in the AssetTypeEnum list.

weightingAction (Optional, WeightingActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing the weighting of the asset type.

Aggregations:

Recommendation (Optional, Multiples Allowed)

Weighting (Optional, Multiples Allowed)

AudienceTypeEntitlement

An entitlement based on the type of audience.

Elements and Attributes:

audienceType (Required, AudienceTypeEnum)

Indicates the audience type that the author intended to address with the product.

external (Optional, YesNoEnum)

Indicates whether the audience described by the audienceType attribute is internal to the publisher's organization or external.

CountryEntitlement

An entitlement based on the country in which the research consumer is located.

Aggregations:

Country (Required, Multiples Allowed)

FinancialDates

Relevant dates related to Issuer and/or Security financial data.

Elements and Attributes:

lastReportedPeriod (Optional, PeriodEnum)

Used together with lastReportedYear to indicate the period when the financials were last reported. For example, Q1 2000.

lastReportedYear (Optional, Integer)

Used together with lastReportedPeriod to indicate the period when the financials were last reported. For example, Q1 2000.

reportingDate (Optional, TimeInstant)

Represents the date the numbers were actually published. Expressed using ISO 8601 (as refined by the World Wide Web Consortium's note <http://www.w3.org/TR/NOTE-datetime>). In addition, RIXML requires the use of Zulu time or Z-time (GMT +/- n hours:minute:seconds). All times are absolute and easier to compute, rather than using a relative (i.e. 08:30 +5) time.

RegionEntitlement

An entitlement based on the region in which the research consumer is located.

Aggregations:

Region (Required, Multiples Allowed)

SectorIndustryEntitlement

An entitlement based on the industry classification of the research consumer.

Aggregations:

SectorIndustry (Required, Multiples Allowed)

SecurityFinancials

Describes the financials associated with a security.

Example: If the SecurityFinancialsType is EPS and the scenario is EPS period = Q1 value = 10 cents, year = 2000, no duration, no datetime, then this is how the XML would look :

```
<![CDATA[...
<SecurityFinancials SecurityFinancialQualifier="Primary" Currency="USD"
PriorCurrent="Current" >
<SecurityFinancialsType>
    <value>EPS</value>
</SecurityFinancialsType>
<FinancialValue EstimateActual="Estimate" Period="Q1" PeriodEnd="September"
PeriodYear="2000">10 cents</FinancialValue>
</SecurityFinancials>
...]]>
```

Elements and Attributes:

securityFinancialQualifier (Optional, SecurityFinancialQualifierEnum)

Indicates whether the financials are primary, diluted, restated, adjusted or pro-forma.

securityFinancialsType (Required, SecurityFinancialsTypeEnum)

Used to indicate what type of financial metrics are being represented here.

publisherDefinedValue (Optional, String)

Actual value as provided by the Publisher.

Currency (Optional, String)

Indicates the currency of the security financials. Represented by the three letter alpha code defined by ISO 4217.

yearType (Optional, YearTypeEnum)

Indicates whether the year specified is a fiscal year or calendar year

priorCurrent (Optional, PriorCurrentTypeEnum)

Indicates whether the financials are current or prior. Defaulted to current. Prior is used to indicate what the prior figure was for the period specified in order to give context to the current figure, not to provide the figure for a prior time period.

Source (Optional, String)

Free-text tag to indicate the source of the numbers. Example: the name of the company that provides the consensus figures.

Aggregations:

FinancialValue (Required, Multiples Allowed)

SecurityID

Used to uniquely identify the security

Elements and Attributes:

idType (Required, IssuerSecurityIDTypeEnum)

Indicates the organization or company's protocol used for the security identifier (i.e. the Security classification scheme). Examples include CUSIP, RIC, BloombergCode, etc.

publisherDefinedValue (Optional, String)

If the SecurityID.idType = PublisherDefined, then the publisher can indicate a type of security identifier not in the IssuerSecurityIDTypeEnum list.

idValue (Required, String)

The actual unique identifier for this security. Example: MSFT.O is correct idValue for Microsoft Common Shares using the Reuters RIC scheme.

tradingCountryCode (Optional, String)

The ISO 3166-1 Country code for the country in which the exchange operates.

TradingExchange (Optional, String)

Exchange on which the security is traded.

SecurityType

Indicates the type of security. Typically used in conjunction with AssetClass and AssetType. Can be attached to a Context element or to a Security element. Example values include stock, convertible, high yield credit, investment grade credit.

Elements and Attributes:

securityType (Required, SecurityTypeEnum)

Indicates the security type.

publisherDefinedValue (Optional, String)

Used when SecurityType.Value = PublisherDefined to indicate a type of security not in the SecurityTypeEnum list.

weightingAction (Optional, WeightingActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing the weighting of the security type.

Aggregations:

Recommendation (Optional, Multiples Allowed)

Weighting (Optional, Multiples Allowed)

TimeEntitlement

Indicates the time during which this product should be read.

Elements and Attributes:

startDateTime (Optional, TimeInstant)

The date and time after which the product should be read. It is optional because using only an endDateTime is also a meaningful use-case for products that are immediately readable, but expire at a certain time. The startDateTime must be later on the time scale than the value of Product.publicationDateTime.

endDateTime (Optional, TimeInstant)

The date and time after which the product should not be read. It is optional because using only a startDateTime is also a meaningful use-case for products that are only readable after a time embargo, but never expire. The endDateTime must be later on the time scale than the value of Product.publicationDateTime.

Country

Strongly recommended. Indicates the country or countries that are discussed in a research product.

Elements and Attributes:

code (Required, String)

The ISO 3166-1 code for the country.

emergingIndicator (Optional, YesNoEnum)

Indicates whether the publisher defines this country as an emerging market.

coverageAction (Optional, CoverageActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing coverage status of a country. Example: a publisher initiates coverage of country A.

weightingAction (Optional, WeightingActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing the weighting of the country. Example: A publisher maintaining an overweight position of country ABC compared with a particular index.

recommendationAction (Optional, RecommendationActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing their recommendation on an Country. Example: a publisher downgrades country A.

sequence (Optional, Integer)

If there are multiple Countries, and they should appear in a certain order when the content is published, indicate the desired order by associating the appropriate sequence number to each Country.

primaryIndicator (Required, YesNoEnum)

Indicates the primary country or countries discussed in the research product. If the product is focused on the Country level (i.e. the ProductFocus tag is set to Country), then at least one Country must be marked as primary.

Aggregations:

Recommendation (Optional, Multiples Allowed)

Weighting (Optional, Multiples Allowed)

FinancialValue

Stores a specific financial data item for an issuer or a security.

Elements and Attributes:

estimateActual (Required, EstimateActualEnum)

Indicates whether a financial figure is actual or estimated.

period (Optional, PeriodEnum)

Used together with periodYear and periodEnd to indicate the applicable period for a financial value. Example: Q4 2000 ending 31 December.

periodEnd (Optional, TimeInstant)

Used together with period and periodYear to indicate the applicable period for a financial value. Example: Q4 2000 ending 31 December.

periodYear (Optional, Integer)

The four-digit year used together with period and periodEnd to indicate the applicable period for a financial value. Example: Q4 2000 ending 31 December.

duration (Optional, TimePeriod)

Time duration that is being addressed.

dateTime (Optional, TimeInstant)

Exact date and time applicable to a financial data item, expressed using ISO 8601 (as refined by the World Wide Web Consortium's note <http://www.w3.org/TR/NOTE-datetime>). In addition, RIXML requires the use of Zulu time or Z-time (GMT +/- n hours:minute:seconds). All times are absolute and easier to compute, rather than using a relative (i.e. 08:30 +5) time. Generally dateTime is used instead of period, periodYear and periodEnd when a specific date can be assigned to a financial data item, for example, Total Assets as of 31 January 2000.

Region

Indicates a region discussed in the product.

Elements and Attributes:

emergingIndicator (Optional, YesNoEnum)

Indicates whether this Region is defined by the publisher as an emerging market.

coverageAction (Optional, CoverageActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing coverage status of a Region. Example: a publisher initiates coverage of the Latin American region.

weightingAction (Optional, WeightingActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing the weighting of the region. Example: A publisher maintaining an overweight position of region ABC compared with a particular index.

recommendationAction (Optional, RecommendationActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing their recommendation on an Country. Example: a publisher downgrades country A.

sequence (Optional, Integer)

If there are multiple Regions, and they should appear in a certain order when the content is published, indicate the desired order by associating the appropriate sequence number to each Region.

primaryIndicator (Required, YesNoEnum)

Indicates the primary Region(s) discussed in the product. If the product is focused on the Region level (i.e. the ProductFocus tag is set to Region), then at least one Region must be marked as primary.

regionType (Required, RegionTypeEnum)

publisherDefinedValue (Optional, String)

Aggregations:

Recommendation (Optional, Multiples Allowed)

Weighting (Optional, Multiples Allowed)

SectorIndustry

Strongly recommended. The sector or industry classification to which a security belongs, or about which the research product is written.

GICS has been accepted as the official RIXML sector / industry classification scheme . Publishers are required to use this classification scheme to provide the correct GICS sector / industry for a research product. This gives consumers a standardized means of determining the sector / industry that a research product is written about.

The GICS sector / industry classification must be provided for each primary security mentioned in the product. Should the product be focused on the sector / industry level, publishers must provide the GICS sector / industry classification that most closely matches what the product is written about.

Publishers are also able to provide publisher defined sector / industry tags, giving them the flexibility to tag their research using their own industry classification scheme.

However, should they do so, they must also provide the closest match from the GICS scheme to ensure consistency on the consumption side.

Elements and Attributes:

code (Required, String)

Identifies the sector under consideration. Refer to the RIXML sector-industry code document for a valid list of RIXML-defined codes. Publisher defined codes can be used in addition to, but not instead of, the RIXML-defined codes.

Name (Required, String)

Indicates the name of the sector.

Description (Optional, String)

A textual description of the sector.

level (Required, String)

Since sectors are organized in a hierarchical fashion, the level element indicates the level that a specific SectorIndustry element is at in this hierarchy. There are four levels within the GICS classification scheme, with level 1 referring to Sectors, level 2 to Industry Groups, level 3 to Industries and level 4 to Sub Industries.

ShortName (Optional, String)

A short name for the sector. Example: Pharma may be used for Major Pharmaceuticals.

classificationType (Required, SectorIndustryClassificationTypeEnum)

Name of the classification method used. Options are GICS or PublisherDefined.

coverageAction (Optional, CoverageActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing coverage status of a SectorIndustry. Example: a publisher initiates coverage of the Entertainment sector.

weightingAction (Optional, WeightingActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing the weighting of the sector/industry. Example: A publisher recommends having an overweight position in the Energy sector and an underweight position in the Technology sector.

recommendationAction (Optional, RecommendationActionEnum)

Highlights an action taken by the publisher. Indicates that the publisher is changing their recommendation on an SectorIndustry. Example: a publisher downgrades the Technology sector.

sequence (Optional, Integer)

If there are multiple Sectors and/or Industries, and they should appear in a certain order when the content is published, indicate the desired order by associating the appropriate sequence number to each Sector or Industry.

focusLevel (Required, YesNoEnum)

Indicates whether the current level is the main focus of the product being published. This tag is used in conjunction with the ProductFocus tag to determine the focus of a product. Example: a product focusing on the Entertainment sub-industry, would have the ProductFocus.focus tag set to SectorIndustry, and in the correct SectorIndustry element the following values would be set:

SectorIndustry.classificationType = GICS

SectorIndustry.level = 4

SectorIndustry.focusLevel = Yes

SectorIndustry.primaryIndicator = Yes

SectorIndustry.name = Entertainment.

This allows a consumer to determine the exact focus of the product.

primaryIndicator (Required, YesNoEnum)

Indicates the primary SectorIndustry or SectorIndustries discussed in the product. If the product is focused on the SectorIndustry level (i.e. the ProductFocus tag is set to SectorIndustry), then at least one SectorIndustry must be marked as primary.

officiallyClassified (Optional, YesNoEnum)

Indicates whether the specified SectorIndustry is an official classification. Specifically, if the classificationType is "GICS", then this value must be supplied and set to "Yes" to indicate a mapping that complies with the official GICS classification. Likewise, this value must be supplied and set to "No" if the related Issuer or Security is mapped only on a best-guess basis and is not part of the official GICS classification. If this optional attribute is not supplied and the classificationType is "GICS", the consumer should assume a value of "No".

Aggregations:

Recommendation (Optional, Multiples Allowed)

Weighting (Optional, Multiples Allowed)

SectorIndustry (Optional, Multiples Allowed)

Strongly Recommended.

Recommendation

This is information regarding recommendations. These can be about the issuer of a security or a security itself, or other entities.

Elements and Attributes:

timeFrame (Optional, ShortLongTermEnum)

This is the period for which the rating is relevant. This may be short-term (less than 270 days), or long-term (greater than 270 days).

priorCurrent (Optional, PriorCurrentTypeEnum)

Used to indicate whether the recommendation is current or prior (current is the default).

Prior is only used to give reference for a change from a prior recommendation. Prior is used to indicate what the prior figure was for the period specified in order to give context to the current figure, not to provide the figure for a prior time period.

recommendation (Required, RecommendationEnum)

The actual recommendation.

PublisherDefinedValue (Optional, String)

Used when the Recommendation value is PublisherDefined.

Description (Optional, String)

A description of the recommendation. May include time horizon.

Aggregations:

RatingAgency (Optional)

Weighting

This is information regarding weightings. These can be about the country, region, asset type, or other entities.

Elements and Attributes:

timeFrame (Optional, ShortLongTermEnum)

This is the period for which the rating is relevant. This may be short-term (less than 270 days), or long-term (greater than 270 days).

priorCurrent (Optional, PriorCurrentTypeEnum)

Used to indicate whether the weighting is current or prior (current is the default). Prior is only used to give reference for a change from a prior weighting. Prior is used to indicate what the prior figure was for the period specified in order to give context to the current figure, not to provide the figure for a prior time period.

weighting (Required, WeightingEnum)

The actual weighting.

PublisherDefinedValue (Optional, String)

Used when the Weighting value is PublisherDefined.

Description (Optional, String)

A description of the weighting. May include time horizon.

RatingAgency

The independent rating agency featured in the research item. This may be the agency whose rating the publisher is questioning.

Elements and Attributes:

ratingAgency (Required, RatingAgencyEnum)

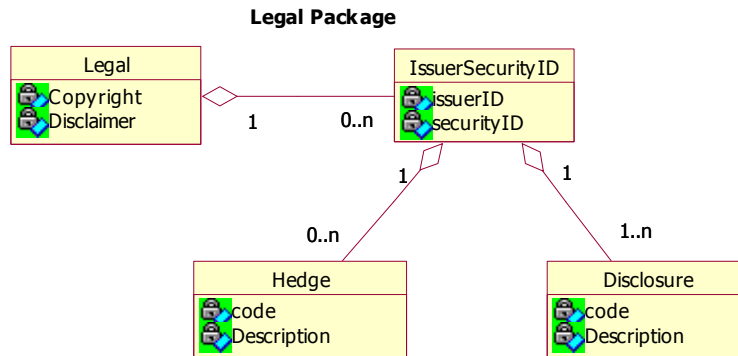
PublisherDefinedValue (Optional, String)

Used when the ratingAgency value is PublisherDefined.

5-Legal Package

The Legal section deals with legal information that is required to accompany a research product.

Class Diagram: Legal Details



Legal

The top-level element of the Legal section.

Elements and Attributes:

Copyright (Optional, String)

Copyright information relating to the product.

Disclaimer (Optional, String)

Disclaimer is the long generic legalese that automatically gets pasted into a note/report that 'disclaims' against liabilities for losses associated with buying/selling stocks etc. This could also include generic disclaimers when a report discusses MSCI indexes. This section changes infrequently.

Aggregations:

IssuerSecurityID (Optional, Multiples Allowed)

IssuerSecurityID

Links disclaimer information to specific issuers and securities. This allows consumers to determine the nature of disclosures and to which issuers and/or securities they apply.

Elements and Attributes:

issuerID (Optional, String)

An IssuerID that also appears elsewhere in the metadata of the product, enabling the consumer to uniquely identify the issuer that is being referred to.

securityID (Optional, String)

A SecurityID that also appears elsewhere in the metadata of the product, enabling the consumer to uniquely identify the security that is being referred to.

Aggregations:

Disclosure (Required, Multiples Allowed)

Hedge (Optional, Multiples Allowed)

Disclosure

Disclosure information from the publisher that is required to accompany a research product. Disclosure is 'proactive' in that it discloses current involvement and role in an

offering or M&A. This would also include disclosures of analyst holdings in stock mentioned, etc. This section changes relatively frequently.

[Elements and Attributes:](#)

code (Optional, String)

Indicates the publisher defined disclosure code for a specific disclosure. For example, a publisher may need to disclose a banking relationship with a company, and may call this disclosure code A.

Description (Required, String)

A description of the disclosure.

Hedge

Hedge is a clause that notes if firm acted as manager or co-manager of a public offering of a company within the past three years, or some other stock-specific clause. This section changes less frequently.

[Elements and Attributes:](#)

code (Optional, String)

Indicates the publisher defined hedge code for a specific hedge. For example, a publisher may need to disclose a banking relationship with a company, and may call this hedge code A.

Description (Required, String)

A description of the hedge.

6-Utility Package

Any utilities that will be useful in various places in the RIXML document

Length

Indicates the length of the product. For example, if the product were a PDF file, the length would be in pages.

Elements and Attributes:

lengthUnit (Required, LengthUnitEnum)

Indicates the unit of length. For example pages, seconds, minutes.

StatusInfo

Describes the status of the product. Multiple StatusInfo elements are permitted. Each time the product status changes, and the publisher adds a StatusInfo element, the statusDateTime must be set to reflect the point of change, and the currentStatusIndicator must be updated so that only one StatusInfo is marked as current.

Elements and Attributes:

statusType (Required, StatusTypeEnum)

Indicates the status of the product or resource.

statusDateTime (Required, TimeInstant)

Indicates the date and time at which the status was assigned. It is expressed using ISO 8601 as refined by the World Wide Web Consortium's note <http://www.w3.org/TR/NOTE-datetime>. In addition, RIXML requires the use of Zulu time or Z-time (GMT +/- n hours:minute:seconds). All times are absolute and easier to compute, rather than using a relative (i.e. 08:30 +5) time.

currentStatusIndicator (Required, YesNoEnum)

Indicates whether or not the statusType is current -- i.e. the most recent. Note that while a product can have multiple statuses, only one of them can be current.

Version (Optional, String)

Support for internal versioning of a given product.

7-Enumerations

Listing of all the enumerated values.

AssetClassEnum

Defines the highest level of asset classification.

Enumeration Values:

Equity

Stocks and other non-debt securities.

FixedIncome

Debt-based assets.

Currency

Monetary currency equivalents.

Commodity

Usually pertains to an article of trade or commerce that can be transported. Among the numerous commodities that are traded, examples are: gold, cotton and orange juice.

AssetTypeEnum

Defines the type of security.

Enumeration Values:

Stock

EQUITIES:

Equity security.

Convertible

CONVERTIBLES, PREFERRED AND WARRANTS:

Corporate securities (usually preferred shares or bonds) those are exchangeable for a set number of another form (usually common shares) at a pre-stated price.

USTreasuries

FIXED INCOME:

Bonds issued by the U.S. government.

SovereignCredit

FIXED INCOME:

Bonds issued by any "high level" self-governing, independent state. Normally used in the fixed income markets to delineate security issuance by countries and provinces.

AgencyCredit

FIXED INCOME:

Bonds issued by U.S. government agencies.

MoneyMarketCredit

FIXED INCOME:

Certificates of deposit, Eurodollar certificates of deposit, commercial paper, banker's acceptances, treasury bills, and discount notes from FHLB, FNMA, and Fed .Farm Credit System, among others.

CorporateInvestmentGradeCredit

FIXED INCOME:

Bonds issued by a corporation that are deemed to be investment grade quality -- i.e. they have a credit rating of either "top rating", "virtually certain", or "good ability".

CorporateHighYieldCredit

FIXED INCOME:

Bonds issued by a corporation that are deemed to be below investment grade quality -- i.e. they have a credit rating of either "satisfactory", "increasingly speculative" or "doubtful".

MortgageBackedCredit

FIXED INCOME:

Bonds backed by mortgages.

MunicipalCredit

FIXED INCOME:

Debt obligation of a state or local government entity.

AssetBackedCredit

FIXED INCOME:

Bonds backed by loan paper or accounts receivable originated by banks, credit card companies, or other providers of credit and often "enhanced" by a bank Letter of Credit.

EmergingMarketsSovereign

FIXED INCOME:

Bonds issued by a government of a region or country recognized as an emerging market.

EmergingMarketsCredit

FIXED INCOME:

Bonds issued by an organization incorporated in a region or country recognized as an emerging market.

SupranationalCredit

FIXED INCOME:

Bonds issued by institutions that are usually above the jurisdiction of any one sovereign state, and thus are not subject to national banking regulations or supervised by any regulatory authority. The aim of the institutions is to foster economic development through financing projects and providing advisory services. Examples of Supranationals are: African Development Bank (AFDB), Asian Development Bank (ADB), Corporation Andina de Fomento (CAF), Council of Europe Development Bank (COE), EUROFIMA, European Bank for Reconstruction and Development (EBRD), European Investment Bank (EIB), Inter-American Development Bank (IADB), International Bank for Reconstruction and Development (IBRD), International Finance Corporation (IFC), Nordic Investment Bank (NIB), European Community (EC), European Coal and Steel Community, EURATOM and European Central Bank.

CollateralizedDebtObligations

FIXED INCOME:

Securities based upon debt secured by collateral.

Credit

FIXED INCOME:

One category to incorporate cross-discipline product.

ProvincialRegionalCredit

FIXED INCOME:

Loans

FIXED INCOME:

EuropeanCoveredBond

FIXED INCOME:

Relates to new SecurityTypeEnum values: German Pfandbrief, French Obligations Foncieres, Spanish Cedula Hipotecaria, Luxembourg Lettres de Gage.

Derivatives

DERIVATIVES:

Financial instrument whose value is based on another security, such as an option.

FinancialFutures

DERIVATIVES:

Futures contract based on a "cash" financial instrument.

EquityFunds

MUTUAL FUNDS:

Mutual fund that invests primarily in equity securities (can be open-ended or closed-ended).

BondFunds

MUTUAL FUNDS:

Mutual fund that invests primarily in fixed income securities (can be open-ended or closed-ended).

MoneyMarketFunds

MUTUAL FUNDS:

Mutual fund that invests primarily in money market securities (can be open-ended or closed-ended).

CountryFunds

MUTUAL FUNDS:

Mutual fund that invests primarily in securities issued within one particular country (usually closed-ended).

BalancedFunds

MUTUAL FUNDS:

Mutual funds investing in multiple asset classes -- especially equity and fixed income.

CurrencyCash

CURRENCIES:

Commercial contracts on future delivery of a specified quantity of a particular foreign currency. Delivery of the currency is usually carried out at the end of the contract term.

CurrencyDerivatives

CURRENCIES:

Commercial contracts on future delivery of a specified quantity of a particular foreign currency. Delivery of the currency is usually NOT carried out at the end of the contract term.

CurrencyFutures

CURRENCIES:

Futures are contracts to make or accept delivery of a given currency on a given date at a prearranged price.

CommodityFunds

COMMODITIES:

Mutual fund that invests primarily in commodities (usually closed-ended).

PublisherDefined

An enumeration value that is not provided by RIXML.

AudienceTypeEnum

Enumeration Values:

Institutional

Mutual funds, banks, insurance companies, pension funds, or other organizations that trade large volumes of securities.

PrivateClient

High-net-worth Individuals investing their own or their family's funds, and not the funds of a company.

Corporate

Corporations not in the business of managing other people's assets.

Government

Self-governing, independent state.

Educational

Institution whose main purpose is higher learning.

Retail

General public that may be interested in products offered by the publisher.

Press

Journalists that are usually employed by a media organization. Information tagged in this manner will usually be distributed to the general public.

Prospect

Potential customer to one of the publisher's lines of business.

Trading

Trading personnel at publisher's organization.

SalesForce

Sales personnel at publisher's organization.

PublisherDefined

An enumeration value that is not provided by RIXML.

Shareholder
BuySide
Public
QualifiedInstitutionalBuyer
CorrespondentBroker
SellSide
Client
InvitationOnly

ContactInfoNatureEnum

Describes the nature of the contact information -- i.e. business or personal.

Enumeration Values:

Personal

Contact's non-business data.

Business

Contact's business data.

ContactInfoPurposeEnum

Describes the purpose of the contact information. Gives the reader an idea of what to expect on the far end.

Enumeration Values:

Participation

Participation -- as in a conference call or on-line forum.

Replay

Replay -- as in a replay capability for a past conference call or transcript of an on-line forum.

Operator

QuestionAnswer

For the purpose of a question and answer session, as in a conference call.

Registration

Contact information to be used to register for an event.

CoverageActionEnum

Enumeration Values:

Initiate

Publisher is commencing coverage of this topic.

Suspend

Publisher is suspending coverage. They may subsequently choose to "drop" or "resume" coverage.

Drop

Coverage is being dropped. Publisher will no longer publish research on this topic.

Resume

Publisher is resuming coverage of this topic.

DisciplineTypeEnum

Enumeration Values:

Investment

Content that has been generated using a systematic, detailed examination of a particular topic. A very focused and detailed viewpoint or advice on a topic that is normally based on specific facts. (Bottom-up approach).

Strategy

Content published with a viewpoint that is primarily derived using the science of strategy. A high level viewpoint or advice on a particular subject (Top-down approach). This process includes the "relative value" approach in which undervalued securities are identified for purchase and overpriced securities are identified for sale.

Economics

Content published with a viewpoint that is primarily derived using economic science.

EstimateActualEnum

Enumeration Values:

Actual

Historical, publicly disseminated figures.

Estimate

Proprietary, calculated figures provided by the publisher.

Consensus

Figures based upon the consensus of the market.

EstimateEnum

Enumeration Values:

Revision

Upgrade

Reiterate

Downgrade

EventDateTypeEnum

This is used to indicate the start date, end date, and all other date-related information pertinent to the event. Each venue can have a different set of dates (different start date, different end date, etc.).

Enumeration Values:

StartDate

EndDate

RegistrationDeadlineDate

ExpirationDate

PricingDate

For IPOs.

FilingDate

For IPOs.

LockupDate

For IPOs.

WithdrawalDate

For IPOs.

QuietPeriodEndDate

For IPOs.

EventTypeEnum

Indicates the type of the event. Each type is either conference, corporate event, government meeting, or sellside firm event.

Enumeration Values:

IndustryConference

CountryRegionConference

SeminarConference

ThematicConference

TradeShowConference

Conference

AnnualShareholderMeeting

IPO

EarningsRelease

EarningsReleaseDiscussion

EarningsGuidancePreliminaryDiscussion

SpecialShareholdersMeeting

CorporateActionCommentary

RoadShow

GovernmentMeeting

EventVenueTypeEnum

Describes the venue of an event.

Enumeration Values:

ConferenceCall
OneOnOneMeeting
GroupMeeting
Webcast
WrittenRelease
InternetAudio
InternetVideo
MediaAppearance
Transcript
Brief

Short synopsis of transcript taking key points.

FocusEnum

Enumeration Values:

SectorIndustry

The focus of the report is a sector or industry, not the individual securities mentioned in the report.

Discipline

The focus of the report is a discipline.

Issuer

The focus of the report is an issuer.

Region

The focus of the report is a region, not individual countries.

Country

The focus of the report is a country.

AssetClass

The focus of the report is an asset class.

AssetType

The focus of the report is an asset type.

SecurityType

The focus of the report is a particular security type.

Index

The focus of the report is an index.

Exchange

The focus of the report is an exchange.

IncludeExcludeEnum

An enumeration used to specify whether a given entitlement is inclusive or exclusive. An exclusion always takes priority over an inclusion.

Enumeration Values:

Include
Exclude

IndexEnum

List of major market indexes.

Enumeration Values:

DowJonesIndustrial
 U.S. market.
SP500
 U.S. market.
Wilshire5000
 U.S. market.
Nasdaq
 U.S. market.

RussellTech
U.S. market.

ASX-200
Asian market. Australia.

HSMLCI
Asian market. China.

HSCEI
Asian market. China.

HSCCI
Asian market. China.

HSI
Asian market. Hong Kong.

BSE-30
Asian market. India.

JCI
Asian market. Indonesia.

KOSPI
Asian market. Korea.

KLCI
Asian market. Malaysia.

NZSE-40
Asian market. New Zealand.

PCI
Asian market. Philippines.

STI
Asian market. Singapore.

TWI
Asian market. Taiwan.

SET
Asian market. Thailand.

TOPIX
Asian market. Japan.

Nikkei225
Asian market. Japan.

Nikkei300
Asian market. Japan.

WIENERBOERSE
European market. Austria.

BEL20
European market. Belgium.

PRAGUEPX50
European market. Czech Republic.

KBX
European market. Denmark.

HEXGENERAL
European market. Finland.

CAC40
European market. France.

SBF120
European market. France.

DAX
European market. Germany.

ATHENSGENERAL
European market. Greece.

BUDAPESTBUX
European market. Hungary.

SEOVERALL
European market. Ireland.

COMITGENERAL
European market. Italy.

SELUXX
European market. Luxembourg.

AEX
European market. Netherlands.

OSLOBENCHMARK
European market. Norway.

WARSAWGENERAL
European market. Poland.

PSI30
European market. Portugal.

BET
European market. Romania.

RSFEEMT
European market. Russia.

IBEX35
European market. Spain.

AFFARSVARLDEN
European market. Sweden.

SMI
European market. Switzerland.

ISENATIONAL100
European market. Turkey.

FTSEALLSHARE
European market. U.K.

BURCAP
Latin American market. Argentina.

BOVESPA
Latin American market. Brazil.

GENERAL
Latin American market. Chile.

BOLSADEVALORES
Latin American market. Columbia.

IPCBOLSA
Latin American market. Mexico.

LIMASEGENERAL
Latin American market. Peru.

SEGENERAL
Latin American market. Venezuela.

PublisherDefined

IndexTypeEnum

Indicates whether an index is related to an industry, country or market, etc.

Enumeration Values:

Market
Industry
Country
Region

InstantMessengerTypeEnum

Describes the sort of Instant Messenger contact information provided.

Enumeration Values:

AIM
America On-Line Instant Messenger.

ICQ
I-see-you.

MSN
The Microsoft Network.

SMS
Short Message Service.

Yahoo
Yahoo! Messenger.

IssuerFinancialQualifierEnum

Enumeration Values:

Adjusted

Financial figures that have been modified to reflect material financial events for the issuer (company).

Restated

To state in a new form a company's financial statements, perhaps to reflect a current period item back through prior periods.

ProForma

Financial statement where certain amounts are hypothetical, for example showing debt issue that has been proposed but has not yet been approved.

AsReported

Company's fundamental data as originally published by the corporation itself.

AnalystAdjusted

Revised financials, which, in the opinion of the analyst/publisher, need modifying to reflect material financial events for the issuer (company).

IssuerFinancialsTypeEnum

Enumeration Values:

Revenue

Total amount collected for goods and services provided.

Earnings

Revenues less cost of sales, operating expenses, and taxes, over a given period of time.

MarketCap

The market price of a public corporation, calculated by multiplying the number of shares outstanding by the price per share.

AfterTaxCashFlow

A measure of a company's financial health. Equals cash receipts less cash payments over a given period of time; or equivalently, net profit plus amounts charged off for depreciation, depletion and amortization.

EBITDA

Net income + depreciation + amortization.

NetOperatingIncome

A measure of a company's earning power from ongoing operations, equal to earnings before deduction of interest payments and income taxes.

ReturnOnEquity

A measure of how well a company used reinvested earnings to generate additional earnings, equal to a fiscal year's after-tax income (after preferred stock dividends but before common stock dividends) divided by book value. Expressed as a percentage.

PublisherDefined

An enumeration value that is not provided by RIXML.

IssuerNameTypeEnum

Enumeration Values:

Legal

The legal name of an organization.

Local

The local name of an organization.

Display

The name that is commonly associated with the company.

Trading

The trading name of the company.

Parent

The name of the parent company, which may aid in searching and sorting of information.

IssuerSecurityIDTypeEnum

Enumeration Values:

CUSIP

A CUSIP is an 8 or 9-digit alphanumeric string that identifies an issuer and its financial instrument (issue). CUSIPs are created by Standard and Poor's Cusip Bureau. They are issued for all U.S. and Canadian securities, and should NOT be considered a valid universal identifier.

SEDOL

Stock Exchange Daily Official List. British Securities identification code. Has built in check digit system.

ISIN

This code consists of 12 characters. The first two characters indicate the country as issued in accordance with the ISO 3166 standard. The next 9 characters indicate the type of security, as designated by the national numbering agency (e.g. CUSIP for US and Canada). Where the national number consists of fewer than 9 characters, zeroes are inserted to utilize all spaces. The final character in the ISIN is a check digit.

Bloomberg

Security identifier and country identifier assigned by the Bloomberg Company.

RIC

Reuters Identification Code. Used in all Reuters products to identify a particular security (issue).

QUIK

Security identifier issued by the QUICK Financial Company in Japan.

Valoren

Identifier for Swiss securities. No check digit system.

CINS

Every North-American international equity and debt instrument is assigned a Cusip Int'l Number by Standard and Poor's and Telekurs. The CINS uses the same construction as the CUSIP with the addition of a country indicator. The first position of a CINS code is always an alpha character, indicating the Issuer's country code or geographic location.

Sicovam

Identifier for French securities (issues). Societe Interprofessional Pour La Compensation des Valeurs Mobiliers.

IBES

Worldscope

FirstCall

WPKDE

This code is 6 digits, used in Germany (DE) to identify securities.

WPKAT

This code is 6 digits, used in Austria (AT) to identify securities.

CommonCode

Used by EuroClear (XS) and also forms the root of some ISINs.

PublisherDefined

An enumeration value that is not provided by RIXML.

IssuerTypeEnum

Enumeration Values:

Agency

Corporation or quasi-government entity that borrows money through the issue of debt obligations. In most cases, they are exempt from state and local taxes. Examples of Agency issuers in the US are: the Federal Home Loan Bank Board (FHLB) and Ginnie Mae (GNMA).

Municipality

States, their political subdivisions (such as counties and cities) and certain agencies and authorities that borrow money through the issue of debt obligations.

Sovereign

A government or national entity that borrows money through the issue of debt obligations. The funds borrowed are secured by the pledge of the issuer's full faith, credit and usually taxing power.

Corporate

The most common form of business organization, and one that is chartered by a state and given many legal rights as an entity separate from its owners.

MutualFund

An open-ended fund operated by an investment company which raises money from shareholders and invests in a group of assets, in accordance with a stated set of objectives.

REIT

Real estate investment trust. A corporation or trust that uses the pooled capital of many investors to purchase and manage income property (equity REIT) and/or mortgage loans (mortgage REIT); often publicly held.

Exchange

Any organization, association or group, which provides or maintains a marketplace where securities, options, futures, or commodities can be traded; or the marketplace itself.

SupranationalOrganizations

Organizations, whose members are comprised of sovereign governments. These members are levied assessments or fees. Ultimately, it is this support and the taxation power of the underlying sovereign governments that allow these organizations to make payments on their debts.

LengthUnitEnum

Enumeration Values:

Pages

TimeUnit

In the following format - Hours:Minutes:Seconds.

OrganizationNameTypeEnum

Enumeration Values:

Legal

The legal name of an organization.

Local

The local name of an organization.

Display

The name that is commonly associated with the company.

Parent

The name of the parent company, which may aid in searching and sorting of information.

OrganizationTypeEnum

Indicates the type of the organization -- i.e. sell-side firm, buy-side firm, government, etc.

Enumeration Values:

SellSideFirm

BuySideFirm

Corporation

IndustryAssociation

AcademicInstitution

Government

PublisherDefined

PeriodEnum

Enumeration Values:

Q1

First quarter of the company's fiscal year.

Q2	Second quarter of the company's fiscal year.
Q3	Third quarter of the company's fiscal year.
Q4	Fourth quarter of the company's fiscal year.
H1	First half of the company's fiscal year.
H2	Second half of the company's fiscal year.
T1	First trimester of the company's fiscal year.
T2	Second trimester of the company's fiscal year.
T3	Third trimester of the company's fiscal year.
Annual	Data for the full fiscal year.
Stub	Reflects a partial year in the event of fiscal year changes.

PeriodicityEnum

[Enumeration Values:](#)

Hourly
IntraDay
Daily
Weekly
EveryTwoWeeks
Monthly
Quarterly
SemiAnnually
Annually
PublisherDefined

PhoneLocationEnum

Describes the physical location of the phone device -- i.e. office, home, mobile.

[Enumeration Values:](#)

Office
Home
Mobile

PhoneTypeEnum

Describes the type of the phone at this number. Indicates the phone technology -- i.e. voice, fax, pager, etc.

[Enumeration Values:](#)

Fax
Facsimile number.
Voice
Voice telephone number.
Pager
Pager number.

PriorCurrentTypeEnum

[Enumeration Values:](#)

Current
Denotes a financial estimate or datum currently in effect with the publication of the present product.

Prior

Denotes a financial estimate or datum in effect prior to the publication of the present product.

PriorityEnum

Enumeration Values:

High
Medium
Low

ProductCategoryEnum

Enumeration Values:

Comment

Comments usually have very short shelf life, and are often created in response to events taking place within the previous 24 hours.

Report

A narrative form that is more in-depth than a Comment, with a perceived longer shelf life. Can be any media type.

Model

A mathematical model used for analysis.

Charts

Graphs and other pictorial representations of data.

Compilation

Content that combines the work of many analysts, multiple disciplines, and/or multiple product types, and that is not easily classified in any of the other product categories.

Presentation

Content originally designed for (or in the format of) a presentation to an audience - usually in "slide" format, with abbreviated bullet points as opposed to a full text narrative.

Event

Meeting notification.

Primer

Overview or introduction to a subject or methodology.

Directory

An alphabetical or classified listing of analysts, departments, etc. with relevant information (phone number, email, companies covered, etc.).

Glossary

A collection of brief textual explanations or of specialized terms with their respective meanings. Glossaries are usually created by Sector, Industry, Asset Class, or Asset Types.

Overview

A short, single industry/company piece.

PublisherDefined

For use with products that cannot fit into any of the RIXML categories.

ProductRelationshipTypeEnum

Enumeration Values:

BasedOn

A product's content is based on another product. Example: A report that is published is based on a morning call note.

PartOf

A product is part of another product. Examples: (1) A Portfolio Manager's Summary of a report, given to PMs, is part of the whole report. (2) An HSBC company report is 'part of' a Hong Kong banks industry initiation.

References

A product references another product. Examples: (1) A notation in a periodical (or weekly report) makes a 'reference' to a company report. (2) A company report 'references' an earlier company report on the same subject.

Replaces

This product is intended to directly replace the related product. Example: A company report issued in the afternoon corrects an error in an earlier publication. It 'replaces' the earlier report.

Requires

A product requires another product in order to make sense. Example: A chart may not make any sense without the accompanying text.

TranslationOf

A product that is a language translation of another product. Example: A report written originally in English is translated into Japanese language.

RelatedTo

A product that relates to another product or subject type, but is not necessary to understand this product. Example: An analyst writes more than one report on 'CAMELOT' valuation over a period of 1 year. The reports are 'related to' each other. They are not 'referenced' to each other per se, as they can be stand alone items on their own, and you do not need to read one before the other to understand what is being said.

RatingAgencyEnum

Rating agency featured in research publication.

Enumeration Values:

Moody's

SandP

Fitch

AMBestCompanyUSA

PublisherDefined

Where possible, please use agency name spelling as found at this link:

http://www.defaultrisk.com/rating_agencies.htm

RecommendationActionEnum

Enumeration Values:

Upgrade

Publisher is upgrading its recommendation.

Reiterate

Publisher has reviewed its recommendation and is maintaining, or reiterating, their opinion.

Downgrade

The publisher is downgrading its recommendation.

Initiate

The publisher is issuing its first recommendation for this specific topic.

Drop

The publisher is dropping and will no longer update its recommendation for this topic.

Revise

If you change the actual recommendation, you will be upgrading or downgrading, for which we have values. However, if you are changing the risk or volatility part of a rating, for which we don't have explicit fields, and it would not be considered either an upgrade or downgrade, we may still want to flag that as something that has changed in the recommendation.

NewRating

New rating has been assigned.

Affirmed

Rating has been reviewed and affirmed.

PositiveOutlook

Rating may improve.

NegativeOutlook

Rating may decline.

ReviewForUpgrade

Rating under review for upgrade.

ReviewForDowngrade

Rating under review for downgrade.

ReviewDirectionUncertain

Rating under review but direction is uncertain.

RatingWithdrawn

Rating has been removed.

RecommendationEnum

A recommendation or rating assigned by a publisher to a security, issuer, sector/industry, country, etc. This enumeration contains a mixture of values applicable to equity and fixed income instruments. This is indicated in the individual value descriptions.

This is intended to provide a common basis for readers to gauge recommendations, since individual publishers all use different recommendation scales. We expect that a publisher will typically provide two recommendations -- first, one normalized to the reference list given here, second, one from the publisher's own scale, indicated by the PublisherDefined value.

When the normalized recommendations appear in a document, they should be construed only as a best guess match to the actual recommendation.

Enumeration Values:

StrongBuy

EQUITIES:

StrongBuy recommendation.

Buy

EQUITIES:

Buy recommendation.

Hold

EQUITIES:

Hold recommendation.

Underperform

EQUITIES:

Underperform recommendation.

Sell

EQUITIES:

Sell recommendation.

NoRecommendation

Explicit indication that no recommendation is made by the publisher. Since the Recommendation element is optional in this schema, its absence from an instance document does not imply that no recommendation is available anywhere.

TopRating

FIXED INCOME:

Top Rating denotes the lowest expectation of credit risk (i.e. AAA and AA). This is assigned only in cases of exceptionally strong capacity for timely payment of financial commitments. This capacity is highly unlikely to be adversely affected by foreseeable events.

VirtuallyCertain

FIXED INCOME:

Virtually Certain ratings denote a low expectation of credit risk (i.e. A). They indicate very strong capacity for timely payment of financial commitments. This capacity may,

nevertheless, be somewhat vulnerable to changes in circumstances or in economic conditions.

GoodAbility

FIXED INCOME:

Good Ability ratings indicate that there is currently a low expectation of credit risk (i.e. BBB). The capacity for timely payment of financial commitments is considered adequate, but adverse changes in circumstances and in economic conditions are more likely to impair this capacity. This is the lowest investment-grade category.

Satisfactory

FIXED INCOME:

Satisfactory ratings indicate that there is a possibility of credit risk developing (i.e. BB), particularly as the result of adverse economic change over time; however, business or financial alternatives may be available to allow financial commitments to be met. Securities in this category are not investment grade.

IncreasingSpeculative

FIXED INCOME:

Increasing Speculative ratings indicate that significant credit risk is present (i.e. B), but a limited margin of safety remains. Financial commitments are currently being met; however, capacity for continued payment is contingent upon a sustained, favorable business and economic environment.

Doubtful

FIXED INCOME:

Doubtful ratings suggest that default is a real possibility (i.e. C). Capacity for meeting financial commitments is solely reliant upon sustained, favorable business or economic developments.

InDefault

FIXED INCOME:

Entities rated in this category have defaulted on some or all of their obligations (i.e. D).

PublisherDefined

Publishers may use this value to specify recommendations from their own proprietary scales.

RegionTypeEnum

This is a list of geographical (and therefore mostly undisputed) regions. We felt that the list should not include the political regions because it would be difficult to come up with a complete list, or be difficult to prioritize if the list was to be kept small. In addition, political regions come and go, meaning more list maintenance as these regions change.

Enumeration Values:

Africa

AsiaExJapan

Australasia

Europe

Japan

LatinAmerica

MiddleEast

NorthAmerica

Global

PublisherDefined

ResearchApproachEnum

Enumeration Values:

Fundamental

Analysis of the company considering past records of assets, earnings, sales, products, management, and markets.

Quantitative

Analysis dealing with measurable factors, such as value of assets, cost of capital, historical and projected patterns of sales, costs, and profitability.

Technical

Research into the demand and supply for securities and commodities based on trading volume and price studies.

RoleEnum

Describes the role of the organization, group or person relative to this product -- e.g. author, coordinator, speaker, etc.

Enumeration Values:

Author

This person is an author of this product.

Publisher

Host

This person is acting as a host relative to this product. The product is probably about an event.

Sponsor

Coordinator

This person is acting as a coordinator relative to this product. This might apply to either document products or events.

Attendee

This person is an attendee at an event.

Participant

This person is a participant in an event.

Speaker

This person is a speaker at an event.

SalesContact

This person is the sales contact for this product or event.

IRContact

This person is the IR contact for this product or event.

PublisherDefined

SectorIndustryClassificationTypeEnum

Enumeration Values:

GICS

The Global Industry Classification Standard, which is the official classification type of the RIXML specification. When this enumeration is used, it is required that the SectorIndustry.officiallyClassified attribute be included and set to "Yes" to indicate an official GICS classification. See the definition of that attribute for more details.

PublisherDefined

A classification that is not provided by RIXML.

SecurityFinancialQualifierEnum

Enumeration Values:

Basic

Share count before impact assumed from conversions of convertibles, preferred stock or options to stocks.

Primary

Used with earnings per share; denotes inclusion of common stock, stock options, and some convertible debt in the denominator.

Diluted

Assumes common shares rise by the amount of common stock required to be issued to convert convertibles, preferred stock or options to stocks using the treasury stock method.

Restated

To state in a new form a company's financial statements, perhaps to reflect a current period item back through prior periods.

AnalystAdjusted

Revised security (issue) financials, which, in the opinion of the analyst/publisher, need modifying to reflect material financial events for the issuer (company).

ProForma

A hypothetical financial model based on a set of assumptions.

SecurityFinancialsTypeEnum

Enumeration Values:

EarningsPerShare

Portion of a company's profit allocated to each outstanding share of common stock.

CashFlowPerShare

Portion of a company's net income plus depreciation and other noncash charges allocated to each outstanding share of common stock.

TargetPrice

Price a security is predicted rise/fall to within a specified period of time.

Price

Price at which a security is trading at the time the report is issued.

SupportPrice

Price level at which a security tends to stop falling because there is more demand than supply.

ResistancePrice

Price ceiling at which a security tends to stop climbing because there is more supply than demand.

PriceToEarningsPerShare

Price/earnings ratio. The price of a stock divided by its EPS.

PriceToBookValuePerShare

The price of a stock divided by its book value per share.

PriceToSales

The price of a stock divided by its sales per share.

BookValuePerShare

Total net assets divided by number of bonds or shares of stock.

GrossYield

DividendYield

The annual rate of return on an investment, expressed as a percentage. For securities, it is the annual dividends divided by the purchase price.

Float

The number of shares of a security that are outstanding and available for trading by the public.

SharesOutStanding

Number of shares issued by a company that have not been repurchased by the company.

DividendPerShare

Distribution of earnings to shareholders (per share).

52WeekHigh

The highest price at which a security has traded over the past 52 weeks.

52WeekLow

The lowest price at which a security has traded over the past 52 weeks.

FundsFromOperations

PublisherDefined

An enumeration value that is not provided by RIXML.

SecurityTypeEnum

Enumeration Values:

Bonds

FIXED INCOME:

An interest-bearing or discounted government or corporate security that obligates the issuer to pay the bondholder a specified sum of money.

DiscountNotesAndBills

FIXED INCOME:

FixedRateNotes

FIXED INCOME:

Debt instrument with a fixed interest rate.

FloatingRateNotes

FIXED INCOME:

Debt instrument with a variable interest rate.

MediumTermNotes

FIXED INCOME:

Debt instrument with a Maturity of 2 to 10 years.

CommercialPaper

FIXED INCOME:

Short-term debt obligations with maturities ranging from 2 to 270 days.

BankerAcceptances

FIXED INCOME:

A short-term credit investment which is created by a non-financial firm and whose payment is guaranteed by a bank.

Deposits

FIXED INCOME:

Securities or cash placed with a bank or other institution for safekeeping or investment purposes.

EuroBonds

FIXED INCOME:

A bond issued and traded outside the country in whose currency it is denominated, and outside the regulations of a single country; usually a bond issued by a non-European company for sale in Europe.

EuroDenominatedNotes

FIXED INCOME:

Euro Currency-denominated bonds issued by U.S. or foreign corporations, banks and governments.

InflationLinkedBonds

FIXED INCOME:

Bonds that have an interest payment flow which is tied to the official inflation rate of a country where the security is issued.

Strips

FIXED INCOME:

Separated Trading of Registered Interest and Principal of Securities. Bond, usually issued by the U.S. Treasury, whose two components, interest and repayment of principal, are separated and sold individually as zero-coupon bonds.

Repo

FIXED INCOME:

Repurchase agreement. Contract between a seller and buyer, usually of U.S. govt. securities, whereby the seller agrees to repurchase the securities at an agreed price, generally at a stated time.

SamuraiNotes

FIXED INCOME:

A Yen denominated note, issued in Tokyo by a non-Japanese borrower (issuer).

YankeeNotes

FIXED INCOME:

Dollar-denominated bonds issued in the U.S. by foreign corporations, banks and governments.

ConvertiblePreferred

CONVERTIBLES, PREFERRED AND WARRANTS:

Preferred stock that can be converted into a specified amount of common stock at the holder's option.

ConvertibleStructured

CONVERTIBLES, PREFERRED AND WARRANTS:

A corporate security that is exchangeable for a set number of another type of corporate security (usu. Common stock) at a predetermined price and which changes in value in relation to an underlying index.

Warrants

CONVERTIBLES, PREFERRED AND WARRANTS:

A certificate, usually issued along with a bond or preferred stock, entitling the holder to buy a specific amount of securities at a specific price, usually above the current market price, for an extended period, anywhere from a few years to forever.

Futures

DERIVATIVES:

Swaps

DERIVATIVES:

A transaction between two parties consisting of a trading of cash flows with specified time, rate, currency and risk conditions.

Options

DERIVATIVES:

Securities transaction agreement providing the right (but not the obligation) to buy or sell a specific amount at a specified price during a specified period of time.

Swaptions

DERIVATIVES:

An option on a swap, usually an interest rate swap.

StructuredNotes

DERIVATIVES:

A derivative instrument whose value is based on that of an underlying index.

PrivatePlacements144A

DERIVATIVES:

Securities sold directly to institutional investors.

Common

EQUITIES:

Units of equity ownership of a public company, providing voting rights.

Preferred

EQUITIES:

Stock which provides a specific dividend that is paid before any dividends are paid to common stock holders, and which takes precedence over common stock in the event of liquidation.

ADRGDR

EQUITIES:

American Depositary Receipt: A negotiable certificate held in a U.S. bank representing a specific number of shares of a foreign stock traded on a U.S. stock exchange. Global Depositary Receipt: A negotiable certificate held in the bank of one country.

ClosedEndFund

FUNDS:

Fund with a fixed number of shares, traded on a stock exchange.

OpenEndFund

FUNDS:

A mutual fund that makes a continuous offering of its shares and stands ready to buy its shares upon surrender by the shareholders.

Gold

COMMODITIES:

Gold bought or sold through futures contracts on a commodity exchange.

Silver

COMMODITIES:

Silver bought or sold through futures contracts on a commodity exchange.

Steel

COMMODITIES:

Steel bought or sold through futures contracts on a commodity exchange.

Aluminum

COMMODITIES:

Aluminum bought or sold through futures contracts on a commodity exchange.

Platinum

COMMODITIES:

Platinum bought or sold through futures contracts on a commodity exchange.

Copper

COMMODITIES:

Copper bought or sold through futures contracts on a commodity exchange.

Soybeans

COMMODITIES:

Soybeans bought or sold through futures contracts on a commodity exchange.

Wheat

COMMODITIES:

Wheat bought or sold through futures contracts on a commodity exchange.

Corn

COMMODITIES:

Corn bought or sold through futures contracts on a commodity exchange.

Coffee

COMMODITIES:

Coffee bought or sold through futures contracts on a commodity exchange.

Cocoa

COMMODITIES:

Cocoa bought or sold through futures contracts on a commodity exchange.

OrangeJuice

COMMODITITES:

Orange juice bought or sold through futures contracts on a commodity exchange.

Cotton

COMMODITIES:

Cotton bought or sold through futures contracts on a commodity exchange.

Sugar

COMMODITIES:

Sugar bought or sold through futures contracts on a commodity exchange.

Livestock

COMMODITIES:

Livestock bought or sold through futures contracts on a commodity exchange.

JetFuel

COMMODITIES:

Jet fuel bought or sold through futures contracts on a commodity exchange.

Gasoline

COMMODITIES:

Gasoline bought or sold through futures contracts on a commodity exchange.

Gas

COMMODITIES:

Natural gas bought or sold through futures contracts on a commodity exchange.

Crude

COMMODITIES:

Crude oil bought or sold through futures contracts on a commodity exchange.

Electricity

COMMODITIES:

Electricity bought or sold through futures contracts on a commodity exchange.

EuroDollars

CURRENCIES:

An American dollar held by a foreign institution outside the U.S., usually a bank in Europe.

Currency

CURRENCIES:

Contracts in the futures markets that are for delivery in a major currency such as British pounds, Euros, Japanese yen, or US dollars.

GermanPfandbrief

EUROPEAN COVERED BONDS:

FrenchObligationsFoncières

EUROPEAN COVERED BONDS:

SpanishCedulaHipotecaria
EUROPEAN COVERED BONDS:

LuxembourgLettresDeGage
EUROPEAN COVERED BONDS:

REITS

ETF

Genussscheine

ParticipationCertificates

BulldogBonds

PublisherDefined

An enumeration value that is not provided by RIXML.

ShortLongTermEnum

Enumeration Values:

ShortTerm

Less than 270 calendar days.

LongTerm

270 calendar days or longer.

StatusTypeEnum

Enumeration Values:

Pending

Pending approval for release. For internal use only.

Revised

The product is a revision of an existing product.

Recalled

The publication has been recalled by the publisher.

Deleted

The product is to be deleted from the database.

Published

The product is being published for the first time.

Rebroadcast

A product, in an identical form, is being distributed again.

Released

A published product is being released. This may be used when the publication and release time are not the same.

SubjectEnum

Enumeration Values:

AccountingAndTaxPolicy
EarningsReview
EarningsPreview
MorningCall
InitialPublicOfferings
ManagementChange
MergerAcquisitionDivestiture
FiscalPolicy
MonetaryPolicy
EconomicForecast
SecondaryPublicOfferings
Regulations
StockRepurchase
SurveyAnalysisAndResults
Politics
Event
AssetAllocation
GrowthInvestment
ValueInvestment
DebtTender

Includes debt buyback.

BondRedemption

New Issue (issue of additional bonds).

BuyAndHoldInvestment

"Hold until maturity" orientation.

TotalReturnInvestment

Research focused on total return investing.

CreditAnalysis
ModelPortfolio
PortfolioStrategy
PrepaymentAnalysis
ProprietaryIndex
Recommendations
RelativeValue
SpreadAnalysis
TradeIdea
PublisherDefined

TargetPriceEnum

Enumeration Values:

Increase
Decrease
Update

WeightingActionEnum

Enumeration Values:

Increase
Decrease
Update

WeightingEnum

Enumeration Values:

OverWeight
UnderWeight
EqualWeight

YearTypeEnum

Enumeration Values:

Fiscal

The 12 month period during which a business maintains its financial records.

Calendar

The 12 month period from January through December.

YesNoEnum

Enumeration Values:

No

Yes