



RIXML.org

Level One Definition

Addendum v2.4

RIXML Standards Committee



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What is RIXML Level One?

The full schema for RIXML can always be found on the [RIXML web site](#)¹. That is not changing. RIXML “Level One” is not a new release of the RIXML schema. Level One is simply a common starting point for introducing RIXML into a research platform. It is a subset of the full schema representing the most important and most widely implemented tags.

Since our original release of RIXML v1.0 in June 2001, we have received feedback from various people and companies attempting to apply RIXML. While there have been many positive comments, the criticisms of RIXML have centered on getting started. The full RIXML schema is small by comparison to other industry standards, but still large enough to be daunting to adopters.

Adopters have struggled with questions like: Which tags are the most important? Which tags are most research publishers actually using? What do the values mean? How should my software react to the presence or absence of a particular tag? Combined with improvements to our documentation, the Level One project attempts to address these questions and to make initial adoption of RIXML easier and more consistent.

What is the purpose of this document?

The Level One Definition document released with RIXML v2.2 in June 2006 provides a detailed description of the process used by the organization to identify the tag list. This material is not repeated here. This document re-visits the Level One Definition in the context of the current RIXML release and updates the tag list based on the changes implemented.

How is the Level One Definition changing with this RIXML release?

In this release of RIXML, we've made several additions to the *Rating* element. (See the separate Release Notes document for a full description of the changes.) One of those additions impacts the Level One Definition. We're re-locating the *ratingAction* attribute from the *Security* element to the *Rating* element itself. For backward-compatibility reasons, we will not remove the attribute from *Security* (and *Country*, *Region*, *SectorIndustry*, etc.) until the next major schema revision. However, we are using the documentation to guide implementers to place *ratingAction* within *Rating*. We're updating the Level One Definition accordingly.

Removed:

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.ratingAction

Added:

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.Rating.ratingAction

¹ <http://www.rixml.org/>

List of RIXML tags included in the Level One Definition

Here, we present the full list of all tags included in the RIXML Level One definition. There are 132 tags overall. 91 of the 132 tags have data associated with them. The other 41 are just container elements.

Research
Research.researchID
Research.createDateTime
Research.language
Research.Product
Research.Product.productID
Research.Product.Source
Research.Product.Source.Organization
Research.Product.Source.Organization.primaryIndicator
Research.Product.Source.Organization.type
Research.Product.Source.Organization.PublisherDefinedValue
Research.Product.Source.Organization.OrganizationID
Research.Product.Source.Organization.OrganizationID.idType
Research.Product.Source.Organization.OrganizationName
Research.Product.Source.Organization.OrganizationName.nameType
Research.Product.Source.Organization.PersonGroup
Research.Product.Source.Organization.PersonGroup.PersonGroupMember
Research.Product.Source.Organization.PersonGroup.PersonGroupMember.sequence
Research.Product.Source.Organization.PersonGroup.PersonGroupMember.primaryIndicator
Research.Product.Source.Organization.PersonGroup.PersonGroupMember.Person
Research.Product.Source.Organization.PersonGroup.PersonGroupMember.Person.personID
Research.Product.Source.Organization.PersonGroup.PersonGroupMember.Person.FamilyName
Research.Product.Source.Organization.PersonGroup.PersonGroupMember.Person.GivenName
Research.Product.Source.Organization.PersonGroup.PersonGroupMember.Person.DisplayName
Research.Product.Content
Research.Product.Content.Title
Research.Product.Content.SubTitle
Research.Product.Content.Abstract
Research.Product.Content.Synopsis
Research.Product.Content.Resource
Research.Product.Content.Resource.resourceID
Research.Product.Content.Resource.primaryIndicator
Research.Product.Content.Resource.language
Research.Product.Content.Resource.MIMEType
Research.Product.Content.Resource.Name
Research.Product.Content.Resource.Comments
Research.Product.Content.Resource.Length
Research.Product.Content.Resource.Length.lengthUnit
Research.Product.Context
Research.Product.Context.external
Research.Product.Context.IssuerDetails
Research.Product.Context.IssuerDetails.Issuer
Research.Product.Context.IssuerDetails.Issuer.issuerType
Research.Product.Context.IssuerDetails.Issuer.primaryIndicator
Research.Product.Context.IssuerDetails.Issuer.IssuerID
Research.Product.Context.IssuerDetails.Issuer.IssuerID.idType
Research.Product.Context.IssuerDetails.Issuer.IssuerID.publisherDefinedValue
Research.Product.Context.IssuerDetails.Issuer.IssuerID.idValue
Research.Product.Context.IssuerDetails.Issuer.IssuerName
Research.Product.Context.IssuerDetails.Issuer.IssuerName.nameType
Research.Product.Context.IssuerDetails.Issuer.IssuerName.NameValue
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.primaryIndicator
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.coverageAction
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.targetPriceAction
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.estimateAction
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityID
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityID.idType
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityID.publisherDefinedValue
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityID.idValue

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityName
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.AssetClass
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.AssetClass.assetClass
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.AssetType
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.AssetType.assetType
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.Rating
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.Rating.rating
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.Rating.PublisherDefinedValue
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.Rating.ratingAction
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.Rating.RatingEntity
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.Rating.RatingEntity.ratingEntity
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.Rating.RatingEntity.PublisherDefinedValue
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityFinancials
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityFinancials.securityFinancialsType
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityFinancials.yearType
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityFinancials.Currency
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityFinancials.FinancialValue
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityFinancials.FinancialValue.estimateActual
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityFinancials.FinancialValue.period
Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityFinancials.FinancialValue.periodYear
Research.Product.Context.IssuerDetails.Issuer.IssuerFinancials
Research.Product.Context.IssuerDetails.Issuer.IssuerFinancials.issuerFinancialsType
Research.Product.Context.IssuerDetails.Issuer.IssuerFinancials.FinancialValue
Research.Product.Context.IssuerDetails.Issuer.IssuerFinancials.FinancialValue.estimateActual
Research.Product.Context.IssuerDetails.Issuer.IssuerFinancials.FinancialValue.period
Research.Product.Context.IssuerDetails.Issuer.IssuerFinancials.FinancialValue.periodYear
Research.Product.Context.ProductClassifications
Research.Product.Context.ProductClassifications.SectorIndustry
Research.Product.Context.ProductClassifications.SectorIndustry.code
Research.Product.Context.ProductClassifications.SectorIndustry.level
Research.Product.Context.ProductClassifications.SectorIndustry.classificationType
Research.Product.Context.ProductClassifications.SectorIndustry.focusLevel
Research.Product.Context.ProductClassifications.SectorIndustry.primaryIndicator
Research.Product.Context.ProductClassifications.SectorIndustry.Name
Research.Product.Context.ProductClassifications.Subject
Research.Product.Context.ProductClassifications.Subject.subjectValue
Research.Product.Context.ProductClassifications.Subject.publisherDefinedValue
Research.Product.Context.ProductClassifications.Country
Research.Product.Context.ProductClassifications.Country.code
Research.Product.Context.ProductClassifications.Country.primaryIndicator
Research.Product.Context.ProductClassifications.Region
Research.Product.Context.ProductClassifications.Region.regionType
Research.Product.Context.ProductClassifications.Region.publisherDefinedValue
Research.Product.Context.ProductClassifications.Region.primaryIndicator
Research.Product.Context.ProductClassifications.KeywordClassifications
Research.Product.Context.ProductClassifications.KeywordClassifications.Keyword
Research.Product.Context.ProductDetails
Research.Product.Context.ProductDetails.publicationDateTime
Research.Product.Context.ProductDetails.ProductCategory
Research.Product.Context.ProductDetails.ProductCategory.productCategory
Research.Product.Context.ProductDetails.ProductCategory.publisherDefinedValue
Research.Product.Context.ProductDetails.ProductFocus
Research.Product.Context.ProductDetails.ProductFocus.focus
Research.Product.Context.ProductDetails.ProductFocus.primaryIndicator
Research.Product.Context.ProductDetails.EntitlementGroup
Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement
Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.primaryIndicator
Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.includeExcludeIndicator
Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.RegionEntitlement
Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.RegionEntitlement.Region
Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.RegionEntitlement.Region.primaryIndicator
Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.RegionEntitlement.Region.regionType
Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.RegionEntitlement.Region.publisherDefinedValue
Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.AudienceTypeEntitlement
Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.AudienceTypeEntitlement.audienceType
Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.TimeEntitlement
Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.TimeEntitlement.endDateTime
Research.Product.StatusInfo
Research.Product.StatusInfo.statusType

Research.Product.StatusInfo.statusDateTime
Research.Product.StatusInfo.currentStatusIndicator

Definitions & Descriptions

In the next part of this document, we present definitions and descriptions of each tag in the list, with examples and notes on intended usage.

Legend

Element Name

| | |
|----------------|-------------|
| attributeNames | XML example |
|----------------|-------------|

Comments about meaning and intended usage.

Research

| | |
|--|--|
| researchID createDateTime language | <Research researchID="550E8400-E29B-11D4-A716-446655440000" createDateTime="1994-11-05T13:15:30Z" language="eng"> ... </Research> |
|--|--|

The topmost enclosing element for all RIXML instance documents is the Research element. For Level One compliance, it contains one and only one Product element. The Research element is required in every sense of the word. There are no permitted use cases that omit the Research element. Think of it as the container for everything else.

The researchID attribute is similarly required in all use cases. Please refer to the section of this document that describes how "identifiers" or "IDs" are used throughout the RIXML schema. Its purpose is to uniquely identify a particular Research element. For Level One compliance, the researchID must be a UUID, and should be the same as the productID and resourceID.

The createDateTime attribute marks the date and time at which the Research element was formed. That is, it marks the moment when a Product element was dropped into this Research element. This may be different from the date of publication of the research piece within the contained Product element. Please refer to the section of this document that describes how date/time stamps are used throughout the RIXML schema.

The language attribute indicates the language of the particular RIXML instance document – i.e. the language of the publisher-supplied tag values contained in the document. Tag values are taken from the ISO 639-2/T code. For Level One compliance, the English language is required – i.e. a tag value of "eng".

Research.Product

| | |
|-----------|---|
| productID | <Research> <Product productID="550E8400-E29B-11D4-A716-446655440000"> ... </Product> </Research> |
|-----------|---|

For Level One compliance, the Research element contains one and only one Product element. The Product element is required in all use cases. It represents a single research publication. Examples: research note, research report, conference call webcast, morning meeting compilation.

The productID attribute is similarly required in all use cases. Please refer to the section of this document that describes how “identifiers” or “IDs” are used throughout the RIXML schema. Its purpose is to uniquely identify a particular Product element. For Level One compliance, the productID must be a UUID, and should be the same as the researchID and resourceID.

Level One does not include Legal or RelatedProduct elements as children of Product.

Research.Product.Source

| | |
|--|--|
| | <pre> <Research> <Product productID="550E8400-E29B-11D4-A716-446655440000"> <Source> ... </Source> ... </Product> </Research> </pre> |
|--|--|

For Level One compliance, the Source element contains one and only one Organization element. The Source element is required in all use cases. It represents the publisher of the research piece.

Research.Product.Source.Organization

| | |
|------------------------------------|---|
| <pre> type primaryIndicator </pre> | <pre> <Source> <Organization type="SellSideFirm" primaryIndicator="Yes"> ... </Organization> ... </Source> </pre> |
|------------------------------------|---|

For Level One compliance, the Source element contains one and only one Organization element. The Organization element is required in all use cases. It represents the primary publisher of the research piece. The primaryIndicator attribute must be present and set to “Yes”. The type attribute is required. Its values are taken from the OrganizationTypeEnum list. Level One does not include ContactInfo elements as children of Organization.

Research.Product.Source.Organization.PublisherDefinedValue

| | |
|--|--|
| | <pre> <Organization type="PublisherDefined" primaryIndicator="Yes"> <PublisherDefinedValue> IntergalacticCouncil </PublisherDefinedValue> ... </pre> |
|--|--|

| | |
|--|-----------------|
| | </Organization> |
|--|-----------------|

This PublisherDefinedValue element is the partner of the type attribute. When the type attribute has a value of PublisherDefined, this element is necessary to hold the off-list entry. Should be rarely used.

Research.Product.Source.Organization.OrganizationID

| | |
|--------|---|
| idType | <OrganizationID idType="L1"> 4ea49c00-ea68-11da-8ad9-0800200c9a66 </OrganizationID> |
|--------|---|

For Level One compliance, the Organization element contains one and only one OrganizationID element. The OrganizationID element is required in all use cases. The idType attribute must be present and set to "L1". The element value is also required and must be a UUID identifying the publisher organization. Please refer to the section of this document that describes how "identifiers" or "IDs" are used throughout the RIXML schema. Note that the UUID for OrganizationID will not be the same as the one used for researchID, productID, and resourceID.

Research.Product.Source.Organization.OrganizationName

| | |
|----------|---|
| nameType | <OrganizationName nameType="Display"> Credit Suisse </OrganizationName> |
|----------|---|

For Level One compliance, the Organization element contains one and only one OrganizationName element. The OrganizationName element is required in all use cases. The nameType attribute must be present and set to "Display". The element value is also required and must be a short string identifying the publisher organization, suitable for use on a computer screen co-mingled with other publisher names. Examples: Credit Suisse, UBS, Bear Stearns, DrKW, etc.

Research.Product.Source.Organization.PersonGroup

| | |
|--|--|
| | <PersonGroup> ... </PersonGroup> |
|--|--|

For Level One compliance, the Organization element may contain one PersonGroup element or none at all. The PersonGroup element is a container used for specifying product authors. When not tagging for any authors, PersonGroup may be omitted entirely. Level One does not support ContactInfo inside PersonGroup.

Research.Product.Source.Organization.PersonGroupMember

| | |
|------------------------------|---|
| sequence primaryIndicator | <PersonGroup> <PersonGroupMember primaryIndicator="Yes" sequence="1"> ... </PersonGroupMember> </PersonGroup> |
|------------------------------|---|

For Level One compliance, the PersonGroup element must contain at least one PersonGroupMember element, but possibly many. The PersonGroupMember element is a container used for specifying a product author. Please refer to the section of this document that describes how sequence and primaryIndicator attributes are used throughout the RIXML schema.

Though the primaryIndicator attribute is optional here according to the full schema, Level One compliance requires it. The sequence attribute is optional.

Research.Product.Source.Organization.PersonGroupMember.Person

| | |
|----------|--|
| personID | <pre><PersonGroupMember primaryIndicator="Yes" sequence="1"> <Person personID="bbc972c0-ea6c-11da-8ad9-0800200c9a66"> ... </Person> </PersonGroupMember></pre> |
|----------|--|

The PersonGroupMember element contains one and only one Person element. It represents a single product author. The personID attribute is required in all use cases. Please refer to the section of this document that describes how “identifiers” or “IDs” are used throughout the RIXML schema. Its purpose is to uniquely identify a particular Person element. For Level One compliance, the personID must be a UUID. Note that the UUID for personID will not be the same as the one used for OrganizationID, researchID, productID, or resourceID. Level One does not support ContactInfo inside Person.

Research.Product.Source.Organization.PersonGroupMember.Person.FamilyName

| | |
|--|--|
| | <pre><Person personID="bbc972c0-ea6c-11da-8ad9-0800200c9a66"> <FamilyName>Bovik</FamilyName> ... </Person></pre> |
|--|--|

The Person element contains one and only one FamilyName element. It is a string representing the family name (last name) of a single document author.

Research.Product.Source.Organization.PersonGroupMember.Person.GivenName

| | |
|--|---|
| | <pre><Person personID="bbc972c0-ea6c-11da-8ad9-0800200c9a66"> <FamilyName>Bovik</FamilyName> <GivenName>Harry</GivenName> ... </Person></pre> |
|--|---|

The Person element may contain one optional GivenName element. It is a string representing the given name (first name) of a single document author.

Research.Product.Source.Organization.PersonGroupMember.Person.DisplayName

| | |
|--|--|
| | <pre><Person personID="bbc972c0-ea6c-11da-8ad9-0800200c9a66"> <FamilyName>Bovik</FamilyName> <GivenName>Harry</GivenName> <DisplayName>Harry Bovik</DisplayName> ... </Person></pre> |
|--|--|

The Person element may contain one optional DisplayName element. It is a string to be used when displaying the person's full name.

Research.Product.Content

| | |
|--|---|
| | <pre><Content> ... </Content></pre> |
|--|---|

For Level One compliance, the Content element contains one and only one Resource element. The Content element is required in all use cases. It describes the payload file of the research piece – typically a PDF file.

Research.Product.Content.Title

| | |
|--|--|
| | <pre><Content> <Title>Insights on Flash Memory Prices</Title> ... </Content></pre> |
|--|--|

The Title element is required in all use cases. It, combined with the subtitle, represents the headline of the product.

Research.Product.Content.SubTitle

| | |
|--|---|
| | <pre><Content> <Title>Insights on Flash Memory Prices</Title> <SubTitle>Ipods, Jump Drives, and more...</SubTitle> ... </Content></pre> |
|--|---|

The SubTitle element is an optional addition to the Title.

Research.Product.Content.Abstract

| | |
|--|---|
| | <pre><Content> <Title>Insights on Flash Memory Prices</Title> <SubTitle>Ipods, Jump Drives, and more...</SubTitle> <Abstract> Flash memory is a form of non-volatile memory that can be electrically erased and reprogrammed. Unlike EEPROM, it is erased and programmed in blocks consisting of multiple locations. Flash memory costs far less than EEPROM and therefore has become the dominant technology wherever a significant amount of non-volatile, solid-state storage is needed. Examples of applications include digital audio players, digital cameras and mobile phones. </Abstract> ... </Content></pre> |
|--|---|

The Abstract element is an optional string element intended to offer a summary of the product. It should be longer than a synopsis.

Research.Product.Content.Synopsis

| | |
|--|---|
| | <pre><Content> <Title>Insights on Flash Memory Prices</Title> <SubTitle>Ipdos, Jump Drives, and more...</SubTitle> <Abstract> Flash memory is a form of non-volatile memory that can be electrically erased and reprogrammed. Unlike EEPROM, it is erased and programmed in blocks consisting of multiple locations. Flash memory costs far less than EEPROM and therefore has become the dominant technology wherever a significant amount of non-volatile, solid-state storage is needed. Examples of applications include digital audio players, digital cameras and mobile phones. </Abstract> <Synopsis> New popular devices alter the landscape for flash memory modules. We discuss investment opportunities and risks... </Synopsis> ... </Content></pre> |
|--|---|

The Synopsis element is an optional string element intended to offer a brief summary of the product. It should be shorter than an abstract but longer than a title.

Research.Product.Content.Resource

| | |
|--|--|
| resourceID primaryIndicator language | <pre><Content> <Resource resourceID="550E8400-E29B-11D4-A716-446655440000" primaryIndicator="Yes" language="eng"> ... </Resource> </Content></pre> |
|--|--|

For Level One compliance, the Content element contains one and only one Resource element. The Resource element describes the payload file of the product. The resourceID attribute is required in all use cases. Please refer to the section of this document that describes how "identifiers" or "IDs" are used throughout the RIXML schema. Its purpose is to uniquely identify a particular Resource element. For Level One compliance, the resourceID must be a UUID, and should be the same as the productID and researchID. The primaryIndicator attribute must be present and set to "Yes".

The language attribute indicates the language of the payload file. Tag values are taken from the ISO 639-2/T code. Examples: Payload files in the English language will have a language value of "eng". Payload files in the Japanese language will have a language value of "jpn".

The StatusInfo element as a child of Resource is not included in Level One.

Research.Product.Content.Resource.MIMEType

| | |
|--|---|
| | <pre><Resource resourceID="550E8400-E29B-11D4-A716-446655440000" primaryIndicator="Yes" language="eng"></pre> |
|--|---|

| | |
|--|---|
| | <pre> <MIMETYPE>application/pdf</MIMETYPE> ... </Resource> </pre> |
|--|---|

The MIMETYPE element is required to indicate the type of media found in the payload file. It is used to determine the software application used for reading the file. Values can be found in RFC 2046.

Research.Product.Content.Resource.Name

| | |
|--|--|
| | <pre> <Resource resourceID="550E8400-E29B-11D4-A716-446655440000" primaryIndicator="Yes" language="eng"> <MIMETYPE>application/pdf</MIMETYPE> <Name>FLASHMEM.PDF</Name> ... </Resource> </pre> |
|--|--|

The Name element provides the name of payload file that accompanies this particular RIXML instance document. While optional in the full schema, the Name element is required for Level One compliance. The file names used for the RIXML instance document and the payload file must be the same, except for the file name extension (.PDF, .XML, etc.) and must match the value of the Resource.Name element. Example:

| | |
|----------------|--------------|
| RIXML file: | FLASHMEM.XML |
| Payload file: | FLASHMEM.PDF |
| Resource.Name: | FLASHMEM.PDF |

Research.Product.Content.Resource.Length

| | |
|------------|---|
| lengthUnit | <pre> <Resource resourceID="550E8400-E29B-11D4-A716-446655440000" primaryIndicator="Yes" language="eng"> <MIMETYPE>application/pdf</MIMETYPE> <Name>FLASHMEM.PDF</Name> <Length lengthUnit="Pages">12</Length> ... </Resource> </pre> |
|------------|---|

The optional Length element gives an indication of the size of the payload. For PDF files, this will be in pages. For other types of files, such as audio or video clips, length will be measured in hours:minutes:seconds. When a Length element is included, the lengthUnit attribute is required to indicate which measure is being used.

Research.Product.Context

| | |
|----------|--|
| external | <pre> <Context external="Yes"> ... </Context> </pre> |
|----------|--|

The Context element is a required container element for many other pieces of data. The external attribute is also required. It indicates whether or not the research product is intended for use outside the publisher organization. If this particular RIXML instance document is reaching an

organization outside the publisher the value should be "Yes". The EventDetails element as a child of Context is not included in RIXML Level One.

Research.Product.Context.IssuerDetails

| | |
|--|---|
| | <pre><Context external="Yes"> <IssuerDetails> ... </IssuerDetails> ... </Context></pre> |
|--|---|

The IssuerDetails element is an optional container element for other data describing issuers. If present, this element must contain at least one Issuer element.

Research.Product.Context.IssuerDetails.Issuer

| | |
|--|--|
| <pre>issuerType primaryIndicator</pre> | <pre><IssuerDetails> <Issuer issuerType="Corporate" primaryIndicator="Yes"> ... </Issuer> </IssuerDetails></pre> |
|--|--|

The Issuer element is used to associate a research product with an issuer. If an IssuerDetails element is included within the Context element, at least one, but possibly many, Issuer elements will also be included. The issuerType attribute is required, and must take its value from the IssuerTypeEnum enumeration. The primaryIndicator attribute is used in the same sense as elsewhere in the schema, and as described later in this document. The Rating, FinancialDates, SectorIndustry, Weighting, and ResourceLink elements as children of Issuer are not included in RIXML Level One.

Research.Product.Context.IssuerDetails.Issuer.IssuerID

| | |
|---|--|
| <pre>idType publisherDefinedValue idValue</pre> | <pre><Issuer issuerType="Corporate" primaryIndicator="Yes"> <IssuerID idType="CUSIP" idValue="037833100"/> <IssuerID idType="PublisherDefined" publisherDefinedValue="MyOwnID" idValue="Apple"/> ... </Issuer></pre> |
|---|--|

The Issuer element may contain zero or more IssuerID elements used to specify a symbol for the issuer. There are many different symbol sets used in investment research products. Publishers are encouraged to use more than one, so that vendors and customers can be certain which issuer is being discussed in the given product. The required idType attribute describes from which symbol set the value is taken. The idType attribute must take its values from the IssuerSecurityIDTypeEnum enumeration. The publisherDefinedValue attribute is used in the same sense as elsewhere in the schema, and as described later in this document. The actual symbol or ID is given as the value of the required idValue attribute.

Research.Product.Context.IssuerDetails.Issuer.IssuerName

| | |
|----------|---|
| nameType | <pre> <Issuer issuerType="Corporate" primaryIndicator="Yes"> <IssuerName nameType="Display"> ... </IssuerName> ... </Issuer> </pre> |
|----------|---|

The Issuer element must contain at least one IssuerName element used to specify a name for the issuer. The nameType attribute describes the kind of name provided. The required nameType attribute must take its values from the IssuerNameTypeEnum enumeration.

Research.Product.Context.IssuerDetails.Issuer.IssuerName.NameValue

| | |
|--|--|
| | <pre> <IssuerName nameType="Display"> <NameValue>Apple Computer</NameValue> </IssuerName> </pre> |
|--|--|

The IssuerName element must contain one and only one NameValue element used to specify the actual name of the issuer.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails

| | |
|--|--|
| | <pre> <Issuer issuerType="Corporate" primaryIndicator="Yes"> <SecurityDetails> ... </SecurityDetails> ... </Issuer> </pre> |
|--|--|

The SecurityDetails element is an optional container element for other data describing the securities of an issuer. If present, this element must contain at least one Security element.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security

| | |
|---|---|
| primaryIndicator coverageAction targetPriceAction estimateAction | <pre> <SecurityDetails> <Security primaryIndicator="Yes" coverageAction="Resume" targetPriceAction="Increase" estimateAction="Upgrade"> ... </Security> </SecurityDetails> </pre> |
|---|---|

The Security element is an optional element for describing a security of an issuer. A security is a financial instrument of some type, often a common stock. A research product can be tagged with zero, one, or many securities. Securities featured in the product should be included and marked as primary. Securities given substantial mention in the product should be included also, but marked as non-primary. The required primaryIndicator attribute must be used in this fashion.

The optional coverageAction attribute signifies that the publisher is changing its coverage status for this security in this product. It takes its values from the CoverageActionEnum list. The optional targetPriceAction attribute signifies that the publisher is changing its target price for this security in this product. It takes its values from the TargetPriceEnum list. The optional estimateAction attribute signifies that the publisher is changing its earnings estimates for this security in this product. It takes its values from the EstimateEnum list.

The FinancialDates, SecurityType, SectorIndustry, and Weighting elements as children of Security are not included in RIXML Level One.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityID

| | |
|--|--|
| idType publisherDefinedValue idValue | <Security primaryIndicator="Yes" coverageAction="Resume" targetPriceAction="Increase" estimateAction="Upgrade"> <SecurityID idType="PublisherDefined" publisherDefinedValue="TheOneTrueSymbology" idValue="AAPL"/> ... </Security> |
|--|--|

The Security element must contain at least one SecurityID element used to specify a symbol for the security. There are many different symbol sets used in investment research products. Publishers are encouraged to use more than one, so that vendors and customers can be certain which security is being discussed in the given product. The required idType attribute describes from which symbol set the value is taken. The idType attribute must take its values from the IssuerSecurityIDTypeEnum enumeration. The publisherDefinedValue attribute is used in the same sense as elsewhere in the schema, and as described later in this document. The actual symbol or ID is given as the value of the required idValue attribute.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityName

| | |
|--|--|
| | <Security primaryIndicator="Yes" coverageAction="Resume" targetPriceAction="Increase" estimateAction="Upgrade"> <SecurityID idType="PublisherDefined" publisherDefinedValue="TheOneTrueSymbology" idValue="AAPL"/> <SecurityName> Apple Computer Common Stock </SecurityName> ... </Security> |
|--|--|

The Security element may contain a single optional SecurityName element used to specify a name for the security.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.AssetClass

| | |
|------------|--|
| assetClass | <pre><Security primaryIndicator="Yes" coverageAction="Resume" targetPriceAction="Increase" estimateAction="Upgrade"> ... <AssetClass assetClass="Equity"/> ... </Security></pre> |
|------------|--|

The Security element must contain a single AssetClass element used to specify the asset class of the security. In Level One, the AssetClass element merely acts as a container for the assetClass attribute, which actually specifies the asset class from the AssetClass Enum list. The Rating and Weighting elements as children of AssetClass are not included in RIXML Level One.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.AssetType

| | |
|-----------|---|
| assetType | <pre><Security primaryIndicator="Yes" coverageAction="Resume" targetPriceAction="Increase" estimateAction="Upgrade"> ... <AssetClass assetClass="Equity"/> <AssetType assettype="Stock"/> ... </Security></pre> |
|-----------|---|

The Security element must contain a single AssetType element used to specify the asset type of the security. In Level One, the AssetType element merely acts as a container for the assetType attribute, which actually specifies the asset type from the AssetType Enum list. The Rating and Weighting elements as children of AssetType are not included in RIXML Level One.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.Rating

| | |
|------------------------|---|
| rating ratingAction | <pre><Security primaryIndicator="Yes" coverageAction="Resume" targetPriceAction="Increase" estimateAction="Upgrade"> ... <Rating rating="PositiveSentiment" ratingAction="Upgrade" /> ... </Security></pre> |
|------------------------|---|

The Security element may contain zero or more Rating elements used to specify a rating for the security. The required rating attribute is used to hold the actual rating value from the RatingEnum list. If not publisher defined, implementors should include the RIXML normalized rating in their data models. This should provide meaningful cross-publisher searching by rating to research consumers. The optional ratingAction attribute signifies that the publisher is changing its rating for this security in this product. It takes its values from the RatingActionEnum list.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.Rating.PublisherDefinedValue

| | |
|--------|--|
| rating | <pre> <Security primaryIndicator="Yes" coverageAction="Resume" targetPriceAction="Increase" estimateAction="Upgrade"> ... <Rating rating="PositiveSentiment" ratingAction="Upgrade"> ... </Rating> <Rating rating="PublisherDefined"> <PublisherDefinedValue> Outperform </PublisherDefinedValue> ... </Rating> ... </Security> </pre> |
|--------|--|

This PublisherDefinedValue element is the partner of the rating attribute. When the rating attribute has a value of PublisherDefined, this element is necessary to hold the off-list entry. Non-publisher implementors of Level One need not keep publisher defined ratings in their data models. However, the presence of such a rating should not provoke any sort of failure mode either.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.Rating.RatingEntity

| | |
|--------------|---|
| ratingEntity | <pre> <Rating rating="PositiveSentiment"> <RatingEntity ratingEntity="Publisher"/> </Rating> </pre> |
|--------------|---|

The Rating element must contain a single RatingEntity element used to specify who issued the rating for the enclosing security. The required ratingEntity attribute is used to hold the actual rating value from the RatingEntityEnum list.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.Rating.RatingEntity.PublisherDefinedValue

| | |
|--|---|
| | <pre> <Rating rating="PositiveSentiment"> <RatingEntity ratingEntity="PublisherDefined"> <PublisherDefinedValue> WeRateStocks.com </PublisherDefinedValue> </RatingEntity> </Rating> </pre> |
|--|---|

This PublisherDefinedValue element is the partner of the ratingEntity attribute. When the ratingEntity attribute has a value of PublisherDefined, this element is necessary to hold the off-list entry. Non-publisher implementors of Level One need not keep publisher defined ratingsEntities

in their data models. However, the presence of such a ratingEntity should not provoke any sort of failure mode either.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityFinancials

| | |
|------------------------------------|---|
| securityFinancialsType yearType | <pre> <Security primaryIndicator="Yes" coverageAction="Resume" targetPriceAction="Increase" estimateAction="Upgrade"> ... <SecurityFinancials securityFinancialsType="EarningsPerShare" yearType="Fiscal"> ... </SecurityFinancials> ... </Security> </pre> |
|------------------------------------|---|

The Security element may contain zero or more SecurityFinancials elements used to specify a financial value pertinent to the security. The required securityFinancialsType attribute is used to describe the financial value. Values must be chosen from the SecurityFinancialsTypeEnum list, such as EarningsPerShare and TargetPrice. The optional yearType attribute indicates whether fiscal year or calendar year applies to the value.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityFinancials.Currency

| | |
|--|--|
| | <pre> <SecurityFinancials securityFinancialsType="EarningsPerShare" yearType="Fiscal"> <Currency>USD</Currency> ... </SecurityFinancials> </pre> |
|--|--|

The SecurityFinancials element may contain a single Currency element to show the currency used in the financial values within. Represented by the three-letter alpha code defined by ISO 4217.

Research.Product.Context.IssuerDetails.Issuer.SecurityDetails.Security.SecurityFinancials.FinancialValue

| | |
|--|--|
| estimateActual period periodYear | <pre> <SecurityFinancials securityFinancialsType="EarningsPerShare" yearType="Fiscal"> <Currency>USD</Currency> <FinancialValue estimateActual="estimate" period="Annual" periodYear="2006"> 2.25 </FinancialValue> </SecurityFinancials> </pre> |
|--|--|

The FinancialValue element contains the actual data value. The required estimateActual attribute indicates whether the given value is an estimate or an actual value. The optional period and periodYear attributes put a time context around the value.

Research.Product.Context.IssuerDetails.Issuer.IssuerFinancials

| | |
|----------------------|--|
| issuerFinancialsType | <pre> <Issuer issuerType="Corporate" primaryIndicator="Yes"> <IssuerFinancials issuerFinancialsType="Earnings"> ... </IssuerFinancials> ... </Issuer> </pre> |
|----------------------|--|

The Issuer element may contain zero or more IssuerFinancials elements used to specify a financial value pertinent to the issuer. The required issuerFinancialsType attribute is used to describe the financial value. Values must be chosen from the IssuerFinancialsTypeEnum list, such as Earnings and Revenue.

Research.Product.Context.IssuerDetails.Issuer.IssuerFinancials.FinancialValue

| | |
|--|---|
| estimateActual period periodYear | <pre> <IssuerFinancials issuerFinancialsType="Earnings"> <FinancialValue estimateActual="estimate" period="Annual" periodYear="2005"> 1.98 </FinancialValue> </IssuerFinancials> </pre> |
|--|---|

The FinancialValue element contains the actual data value. The required estimateActual attribute indicates whether the given value is an estimate or an actual value. The optional period and periodYear attributes put a time context around the value.

Research.Product.Context.ProductClassifications

| | |
|--|---|
| | <pre> <Context external="Yes"> <ProductClassifications> ... </ProductClassifications> ... </Context> </pre> |
|--|---|

This is an optional container element for all the tags available for use when classifying the research product. The Discipline, Index, AssetClass, AssetType, and SecurityType elements as children of ProductClassifications are not included in RIXML Level One.

Research.Product.Context.ProductClassifications.SectorIndustry

| | |
|-------------------------------------|--|
| code classificationType level | <pre> <ProductClassifications> <SectorIndustry code="9576" </pre> |
|-------------------------------------|--|

| | |
|--------------------------------|---|
| focusLevel primaryIndicator | <pre> classificationtype="ICB" level="4" focusLevel="Yes" primaryIndicator="Yes"> ... </SectorIndustry> ... </ProductClassifications> </pre> |
|--------------------------------|---|

The SectorIndustry element is used for research products that feature a sector or industry focus. The ProductClassifications element may contain zero or more SectorIndustry elements. The required code and classificationType attributes combine to specify both the classification system used and the particular sector or industry within that classification system. For example, for computer hardware this could be ICB 9576 or GICS 45204010 or PublisherDefined 12345. The required level attribute indicates the level at which the given code sits in hierarchical classification systems. The required focusLevel attribute flags cases in which the given code represents the focus of the whole research product. The required primaryIndicator attribute is used as elsewhere. The Rating and Weighting elements as children of SectorIndustry are not included in RIXML Level One.

Research.Product.Context.ProductClassifications.SectorIndustry.Name

| | |
|--|--|
| | <pre> <SectorIndustry code="9576" classificationtype="ICB" level="4" focusLevel="Yes" primaryIndicator="Yes"> <Name>Semiconductors</Name> ... </SectorIndustry> </pre> |
|--|--|

The SectorIndustry element must contain a single Name element showing the full name of the sector or industry. This complements the code attribute by making the information more human-readable.

Research.Product.Context.ProductClassifications.Subject

| | |
|---------------------------------------|---|
| subjectValue publisherDefinedValue | <pre> <ProductClassifications> <Subject subjectValue="EarningsReview"/> <Subject subjectValue="PublisherDefined" publisherDefinedValue="Earnings Insights"/> ... </ProductClassifications> </pre> |
|---------------------------------------|---|

The ProductClassifications element may contain zero or more Subject elements to indicate the subjects or topics of the research product. The required subjectValue attribute takes its values from the SubjectEnum list. The optional publisherDefinedValue attribute is used to hold the publisher's own subject when the subjectValue attribute has a value of PublisherDefined.

Research.Product.Context.ProductClassifications.Country

| | |
|--------------------------|---|
| code primaryIndicator | <pre> <ProductClassifications> <Country </pre> |
|--------------------------|---|

| | |
|--|--|
| | <pre> code="US" primaryIndicator="Yes"/> ... </ProductClassifications> </pre> |
|--|--|

The ProductClassifications element may contain zero or more Country elements to indicate the countries discussed in the research product. The required code attribute takes its values from the ISO 3166-1. The optional primaryIndicator attribute is used as elsewhere. RIXML Level One does not allow the Country element to contain any Rating or Weighting elements.

Research.Product.Context.ProductClassifications.Region

| | |
|--|--|
| <pre> regionType publisherDefinedValue primaryIndicator </pre> | <pre> <ProductClassifications> <Region regionType="AsiaExJapan" primaryIndicator="Yes"/> <Region regionType="PublisherDefined" publisherDefinedValue="PacificIslands" primaryIndicator="No"/> ... </ProductClassifications> </pre> |
|--|--|

The ProductClassifications element may contain zero or more Region elements to indicate the geographical regions discussed in the research product. The required regionType attribute takes its values from the RegionTypeEnum list. The optional publisherDefinedValue attribute is used to hold the publisher's own region name when the regionType attribute has a value of PublisherDefined. The optional primaryIndicator attribute is used as elsewhere. RIXML Level One does not allow the Region element to contain any Rating or Weighting elements.

Research.Product.Context.ProductClassifications.KeywordClassifications

| | |
|--|--|
| | <pre> <ProductClassifications> <KeywordClassifications> ... </KeywordClassifications> ... </ProductClassifications> </pre> |
|--|--|

The ProductClassifications element may contain a single KeywordClassifications element to hold keywords relevant to the research product. It is purely a container element.

Research.Product.Context.ProductClassifications.KeywordClassifications.Keyword

| | |
|--|--|
| | <pre> <KeywordClassifications> <Keyword>macintosh</Keyword> <Keyword>ipod</Keyword> <Keyword>itunes</Keyword> </KeywordClassifications> </pre> |
|--|--|

The KeywordClassifications element must contain at least one Keyword element to hold keywords relevant to the research product.

Research.Product.Context.ProductDetails

| | |
|--|---|
| publicationDateTime periodicalIndicator | <Context external="Yes"> <ProductDetails publicationDateTime="2005-10-14T10:31:52Z" periodicalIndicator="No"> ... </ProductDetails> ... </Context> |
|--|---|

The Context element may contain one ProductDetails element. The required publicationDateTime attribute 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. The required periodicalIndicator attribute indicates whether or not the product is a periodical. The ProductSeries element is not included in Level One.

Research.Product.Context.ProductDetails.ProductCategory

| | |
|---|--|
| productCategory publisherDefineValue | <ProductDetails publicationDateTime="2005-10-14T10:31:52Z" periodicalIndicator="No"> <ProductCategory productCategory="Comment"/> <ProductCategory productCategory="PublisherDefined" publisherDefineValue="Desknote"/> ... </ProductDetails> |
|---|--|

The ProductDetails element must contain one ProductCategory element. It describes the manner or format that information is presented within the research product. The required productCategory attribute takes its values from the ProductCategoryEnum list. The optional publisherDefinedValue attribute is used to hold the publisher's own category name when the productCategory attribute has a value of PublisherDefined.

Research.Product.Context.ProductDetails.ProductFocus

| | |
|---------------------------|---|
| focus primaryIndicator | <ProductDetails publicationDateTime="2005-10-14T10:31:52Z" periodicalIndicator="No"> <ProductFocus focus="SectorIndustry" primaryIndicator="Yes"/> ... </ProductDetails> |
|---------------------------|---|

The ProductDetails element must contain one ProductFocus element. It describes the main topic of the research product, typically – issuer, sector, country, etc.. The required focus attribute takes its values from the FocusEnum list. The required primaryIndicator attribute must be set to "Yes", as RIXML Level One restricts the cardinality to one.

Research.Product.Context.ProductDetails.EntitlementGroup

| | |
|--|---|
| | <ProductDetails publicationDateTime="2005-10-14T10:31:52Z" |
|--|---|

| | |
|--|--|
| | <pre> periodicalIndicator="No"> <EntitlementGroup> ... </EntitlementGroup> ... </ProductDetails> </pre> |
|--|--|

The ProductDetails element may contain zero or more EntitlementGroup elements. Each acts purely as a container element for child Entitlement elements.

Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement

| | |
|---|---|
| <pre> primaryIndicator includeExcludeIndicator </pre> | <pre> <EntitlementGroup> <Entitlement primaryIndicator="Yes" includeExcludeIndicator="Include"> ... </Entitlement> </EntitlementGroup> </pre> |
|---|---|

The EntitlementGroup element must contain at least one Entitlement element. Each acts as a container for more specific entitlement types. Mostly used as a convenient receptacle for attributes that apply to all lower entitlement types. The required primaryIndicator attribute provides cues as to relative priority. The required includeExcludeIndicator attributes indicates the nature of the entitlement – i.e. whether the entitlement is permissive or dismissive. RIXML Level One allows child entitlement elements for region, audience type, and time, but not country or sector/industry.

Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.RegionEntitlement

| | |
|--|--|
| | <pre> <EntitlementGroup> <Entitlement primaryIndicator="Yes" includeExcludeIndicator="Include"> <RegionEntitlement> ... </RegionEntitlement> </Entitlement> </EntitlementGroup> </pre> |
|--|--|

The Entitlement element may contain one RegionEntitlement element. It acts as a container for one or more Region elements representing the geographic regions of the intended consumers of the research product.

Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.RegionEntitlement.Region

| | |
|--|--|
| <pre> regionType publisherDefinedValue primaryIndicator </pre> | <pre> <EntitlementGroup> <Entitlement primaryIndicator="Yes" includeExcludeIndicator="Include"> <RegionEntitlement> <Region regionType="AsiaExJapan" </pre> |
|--|--|

| | |
|--|--|
| | <pre> primaryIndicator="Yes"/> </RegionEntitlement> </Entitlement> </EntitlementGroup> </pre> |
|--|--|

The Entitlement element may contain one RegionEntitlement element. It acts as a container for one or more Region elements representing the geographic regions of the intended consumers of the research product. The required regionType attribute takes its values from the RegionTypeEnum list. The optional publisherDefinedValue attribute is used to hold the publisher's own region name when the regionType attribute has a value of PublisherDefined. The optional primaryIndicator attribute is used as elsewhere. RIXML Level One does not allow the Region element to contain any Rating or Weighting elements.

Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.AudienceTypeEntitlement

| | |
|--------------|---|
| audienceType | <pre> <EntitlementGroup> <Entitlement primaryIndicator="Yes" includeExcludeIndicator="Include"> <AudienceTypeEntitlement audienceType="Institutional"/> </Entitlement> </EntitlementGroup> </pre> |
|--------------|---|

The Entitlement element may contain one AudienceTypeEntitlement element. The required audienceType attribute takes its values from the AudienceTypeEnum list. It represents the type of audience the publisher intended to address with this research product.

Research.Product.Context.ProductDetails.EntitlementGroup.Entitlement.TimeEntitlement

| | |
|---------|---|
| endTime | <pre> <EntitlementGroup> <Entitlement primaryIndicator="Yes" includeExcludeIndicator="Include"> <TimeEntitlement endTime="2006-09-01T09:30:00Z"/> </Entitlement> </EntitlementGroup> </pre> |
|---------|---|

The Entitlement element may contain one TimeEntitlement element. The endTime attribute is required in RIXML Level One. It is the date and time after which the product should not be read. The endTime attribute must be later on the time scale than the value of Research.Product.Context.ProductDetails.publicationDateTime.

Research.Product.StatusInfo

| | |
|--|--|
| statusType statusDateTime currentStatusIndicator | <pre> <Product productID="550E8400-E29B-11D4-A716-446655440000"> <StatusInfo statusType="Published" statusDateTime="2006-03-22T08:02:56Z" currentStatusIndicator="Yes"/> ... </Product> </pre> |
|--|--|

The Product element must contain one or more StatusType elements. Each describes the status of the research product at a certain point in time. 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. The required statusType attribute indicates the status of the product, taking its values from the StatusTypeEnum list. The required statusDateTime attribute marks the point at which the status took effect. And the required currentStatusIndicator attribute shows which of possibly several StatusInfo elements represents the current status of the product.

Notables

In order to make it substantially easier for both publishers and vendors to use, certain capabilities found in the full schema were limited in Level One. This alleviates some of the complexity incurred by the full schema, and reduces the implementation costs of Level One. Here, we highlight some of those limitations for review.

English Tags

RIXML tag names are always in English. When using the full schema, RIXML tag values are relative to the Research.language attribute. They can be in any language chosen from the ISO 639-2/T list. However, in RIXML Level One we restrict tag values to the English language.

Cardinality

There are many instances where the cardinality relationship between elements is limited in Level One compared to the full schema. These changes are highlighted in Table 1.

Table 1. Limited cardinality relationships.

| Parent Element | Child Element | Cardinality in Full Schema | Cardinality in Level One |
|------------------------|-------------------|----------------------------|--------------------------|
| Research | Product | One-or-More | One |
| Product | RelatedProduct | Zero-or-More | Zero |
| Product | Legal | Zero-or-More | Zero |
| Source | Organization | One-or-More | One |
| Organization | OrganizationID | Zero-or-More | One |
| Organization | OrganizationName | One-or-More | One |
| Organization | PersonGroup | Zero-or-More | Zero-or-One |
| Organization | ContactInfo | Zero-or-More | Zero |
| PersonGroup | PersonGroupMember | Zero-or-More | One-or-More |
| PersonGroup | ContactInfo | Zero-or-More | Zero |
| Person | ContactInfo | Zero-or-More | Zero |
| Person | PersonLabel | Zero-or-More | Zero |
| Content | Resource | Zero-or-More | One |
| Resource | StatusInfo | Zero-or-More | Zero |
| Resource | Price | Zero-or-One | Zero |
| Context | EventDetails | Zero-or-One | Zero |
| ProductClassifications | Discipline | Zero-or-More | Zero |
| ProductClassifications | Index | Zero-or-More | Zero |

| | | | |
|------------------------|---------------------------|--------------|------|
| ProductClassifications | AssetClass | Zero-or-More | Zero |
| ProductClassifications | AssetType | Zero-or-More | Zero |
| ProductClassifications | SecurityType | Zero-or-More | Zero |
| ProductClassifications | Currency | Zero-or-More | Zero |
| Issuer | Rating | Zero-or-More | Zero |
| Issuer | FinancialDates | Zero-or-One | Zero |
| Issuer | SectorIndustry | Zero-or-More | Zero |
| Issuer | Weighting | Zero-or-More | Zero |
| Issuer | ResourceLink | Zero-or-More | Zero |
| Security | FinancialDates | Zero-or-One | Zero |
| Security | SecurityType | Zero-or-One | Zero |
| Security | SectorIndustry | Zero-or-More | Zero |
| Security | Weighting | Zero-or-More | Zero |
| AssetClass | Rating | Zero-or-More | Zero |
| AssetClass | Weighting | Zero-or-More | Zero |
| AssetType | Rating | Zero-or-More | Zero |
| AssetType | Weighting | Zero-or-More | Zero |
| Country | Rating | Zero-or-More | Zero |
| Country | Weighting | Zero-or-More | Zero |
| Region | Rating | Zero-or-More | Zero |
| Region | Weighting | Zero-or-More | Zero |
| SectorIndustry | Rating | Zero-or-More | Zero |
| SectorIndustry | Weighting | Zero-or-More | Zero |
| ProductDetails | ProductSeries | Zero-or-More | Zero |
| ProductDetails | ProductFocus | Zero-or-More | One |
| Entitlement | CountryEntitlement | Zero-or-One | Zero |
| Entitlement | SectorIndustryEntitlement | Zero-or-One | Zero |
| Index | IndexID | Zero-or-More | Zero |

Identifiers

Taking advantage of the limited cardinality relationships between the Research, Product, Content, and Resource elements, we require that the corresponding identifiers – researchID, productID, and resourceID – share the same value for Level One compliance. This reduces the number of identifiers that must be generated by publishers and stored by vendors.

Level One differs from the full schema in another important aspect. Level One compliance requires that identifiers be UUIDs. The full schema only recommends it, leaving implementors free to use whatever strings they choose.

Identifying the Publisher

In the full schema, a publisher can specify several source organizations of different types. There may be complex inter-organizational collaboration projects that publish research products where this use case might be relevant. However, Level One does not support it. Level One only allows for a single primary publisher specified as a source organization. The primary publisher must be reflected in an OrganizationID element with idType attribute set to the newly introduced special value “L1” and in an OrganizationName element with nameType attribute set to “Display”. This imposes restrictions on otherwise flexible facilities, but it helps implementors to know with greater certainty how to identify the publisher.

Payloads

As shown in Table 5, only one Resource element is supported in Level One. Additionally, only payload files are supported. Embedded data payloads and remote URL payloads are not supported. There are also naming rules enforced by Level One. Except for the file name extensions, the file names of the RIXML instance document and the payload file must match. The value of the Resource.Name element in the RIXML instance document must also match the name of the payload file.

Common Attributes

Certain attributes are used throughout the RIXML schema. We explain some of them here so that they're better understood when seen elsewhere.

primaryIndicator

There are many cases where data items are associated with a cardinality of “zero-or-more” or “one-or-more”. Examples... An issuer may be associated with zero-or-more securities. A security may be associated with one-or-more security IDs (tickers). A person-group may be associated with “one-or-more” persons. It is frequently desirable to mark some subset of the items on the “or-more” side of the association as primary. A person-group might have one particular associated person who is the leader of the group or “primary” person. In the context of a given research publication, one of many specified securities might be the “primary” focus of the piece. Many elements in RIXML can optionally include a *primaryIndicator* attribute, which can be set to “Yes” or “No”.

sequence

A companion to the *primaryIndicator*, *sequence* is used when marking a primary is insufficient and an explicit ordering is needed. Example... The securities associated with a given issuer must be displayed in a specific order. The optional *sequence* attribute can be set to any counting number.

PublisherDefined

Some data items in the RIXML schema take values only from an enumerated list. Example... The *classificationType* attribute of a *SectorIndustry* can take any of the following values: “GICS”, “ICB”, or “PublisherDefined”. GICS and ICB are well-known industry classification systems. However, a particular publisher may wish to specify an industry associated with a research piece based on the publisher’s own proprietary classification system or based on some new system not yet included in the RIXML list. The “PublisherDefined” value is used when a publisher does not find the desired value in the enumerated list. An attribute is set to “PublisherDefined”, and a companion tag is used to hold the publisher’s own value.

IDs

There are several instances within the RIXML schema where we employ the notion of “identifiers” or “IDs” to refer precisely to a particular entity. Some examples: *researchID*, *productID*, *resourceID*. To ensure uniqueness it is recommended that a Universally Unique Identifier (UUID)² be used for this purpose. 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

² <http://en.wikipedia.org/wiki/UUID>

be unique in the world across space and time. The Open Software Foundation (OSF) created UUIDs, as part of their Distributed Computing Environment (DCE). While the RIXML standard recommends this approach, it is not strictly required. IDs in the RIXML schema are strings, i.e. they have the “string” data type. When supporting the full RIXML schema, each publisher is technically free to use any values for IDs that qualify as strings according to the W3C XML Schema Definition³. Note, however, that RIXML Level One compliance requires use of UUIDs.

Date/Time Stamps

Marking a moment with a date and time is accomplished using ISO 8601 as refined by the W3C’s note⁴. In addition, RIXML requires the use of Zulu time or Z-time (GMT +/- n hours:minutes:seconds). All times are absolute and easier to compute, rather than using a relative time (e.g. 08:30 +5).

³ <http://www.w3.org/TR/xmlschema-2/>

⁴ <http://www.w3.org/TR/NOTE-datetime>