RIXML

Research Information Exchange Markup Language

RIXML Standards Suite v3.0
DRAFT Release Notes and Data Dictionary

Based on Release Candidate 4

Release candidate released 18 December 2024
Documentation version RC4.1
December 18, 2024

DRAFT

Copyright © RIXML 2000-2024. All rights reserved.

Introduction

Purpose

We have compiled this document to provide an overview of the RIXML Standards Suite v3.0 release candidate, explain the new structure, and provide high-level information regarding the changes between v2.5 and this release candidate. Please note:

- We have tried to provide the information in this document in a way that makes it understandable to readers with a variety of levels of technical expertise. Our goal was to make it as useful for those with little understanding of how XML works as those with a deep understanding. See the XSD files themselves to see specifics on any individual tag or tag set.
- This document is definitely a draft; the goal is to provide enough information to the Testing Task Team to allow them to begin testing the release candidate.
- This document is focused on the RIXML Research Standard; we will be adding information about the other standards in the suite in future versions.
- The explanatory information at the start of each section is largely new; however, note that the definitions for individual elements and attributes have been carried over from the v2.5 documentation. The Taxonomy and Documentation Task Team will be updating these concurrently with the Testing Task Team's testing initiative.
- The definitions for the individual enumerations have been omitted in this draft. The Taxonomy and Documentation Task Team will be updating these concurrently with the Testing Task Team's testing initiative.

Getting involved

We encourage all RIXML member firms to get involved in testing the RIXML Standards Suite v3.0 release candidate. Contact RIXML Director Deirdre Goldenbogen (Deirdre.Goldenbogen@RIXML.org) to be added to the Transition Team Working Group email distribution list, which we use to announce updates and meeting dates for all aspects of the transition process, including testing.

Providing feedback

As you review this document and begin testing the RIXML v3.0-RC4 release candidate, we encourage you to let us know of any questions, roadblocks, or challenges you encounter.

You can provide that feedback by emailing Deirdre.goldenbogen@rixml.org.

Disclaimer

The information contained in this document was developed by participating RIXML member firms with input from RIXML member firms and others. It does not necessarily represent the views or opinions of RIXML or any individual member firm. RIXML and its members hereby disclaim any and all liability resulting from all claims, losses or damages, whether direct, indirect, incidental, or consequential arising from any and all use of these Standards. RIXML is not responsible for any errors or omissions in the information contained in this document. RIXML and its affiliates make no warranties or representations and disclaim all express, implied and statutory warranties of any kind to any party resulting from the use of these Standards.

DRAFT

Table of Contents

Introduction **2**
- Purpose 2
- Getting involved 2
- Providing feedback 2
- Disclaimer 2

Overview **7**
- High-level overview of the Research Standard 7
- Tag sets used in RIXML Research v3.0 7

The Research Product **11**
- The Research Product wrapper 12

Publishing content **16**
- Capturing the publication lifecycle 16
  - Tags providing information about the publishing action 16
- Describing the resources (individual files/URLs) in this research item 18
  - Listing the individual files/URLs (resources) in this research item 18
  - Contained in ResourceList: Length 19
- Tags related to legal and access information 20
  - Disclosure information 20
  - Entitlement information 21

Framing the content **22**
- Form information 23
- Discipline information 23

Title and summary information **24**
- Title information 24
- Subtitle information 25
- Abstract information 25
- Synopsis information 26

Person/Authorship information **27**
- Contact information 28
  - Contact Info wrapper 28
  - Part of ContactInfo tag set: address information 28
  - Part of ContactInfo tag set: Email information 29
  - Part of ContactInfo tag set: phone information 29
  - Part of ContactInfo tag set: website information 29
- Person information 30
  - The Person wrapper 30
  - Part of the Person tag set: the Person Details 31
  - Part of the PersonDetails tag set: Biography 32
  - Part of the Person tag set: the Person label information 32
- PersonGroup information 33
  - The PersonGroup wrapper 34
  - Part of the PersonGroup tag set: naming the PersonGroup 35
  - Part of the PersonGroup tag set: Person Group Member information 35
- Organization information 36

DRAFT

The Organization wrapper 36
Part of the Organization tag set: Organization identifiers 37
Part of the Organization tag set: Organization name information 37

Defining the focus of a report 38
Tags identifying the focus of the research item 38

Thematic tags 40
Tags related to asset class 41
Asset Class wrapper – with just asset class identifier information 41
Asset class wrapper – with full information 42
Tags related to country 43
Country wrapper – with just country identifiers 43
Country wrapper – with full details 44
Tags related to currency 45
Currency wrapper – with just currency identifiers 45
Currency wrapper – with full details 45
Tags related to ESG 46
ESG wrapper – with just ESG identifiers 46
ESG wrapper – with full details 47
Tags related to index information 48
Index wrapper – with just index identifiers 48
Index wrapper – with full details 48
Tags related to industry (and sector) information 49
Industry wrapper – with just industry identifiers 49
Industry wrapper – with full details 50
Tags related to issuer (corporate, governmental, or other) 51
Issuer wrapper – with just Issuer ID 51
Issuer wrapper – with full details 51
Subset of issuer: issuer name 53
Subset of issuer: issuer financials 53
Subset of issuer: identifying the protocol used for financials 54
Subset of issuer: the Security wrapper – with just security identifiers 54
Subset of issuer: the Security wrapper – with full details 55
Subset of security: security financials 57
Tags related to market 58
Market wrapper – with just market identifiers 58
Market wrapper – with full details 58
Tags related to region 59
Region wrapper – with just region identifiers 59
Region wrapper – with full details 59
Tags related to subject 61

Making connections 62
Connecting the episodes in a series 62
Episode information wrapper 62
Contained within Episode: Series information 63
Contained within Series: series owner 63
Tags related to related products 64
The RelatedProduct wrapper 64

Describing components & individual resources 65
The component wrapper 65

DRAFT

Subset of Component: Component source line 66
Subset of Component: the tags used to describe the component or individual resources (files/URLs) 67
Subset of Component: the tags used to define media chapters 68

Ratings, Weightings, Estimates, and Actions 69
Tags related to ratings 69
The Rating wrapper 69
Contained within Rating: rating entity information 70
Tags related to weighting 71
Tags related to action list information 72
The overall Action wrapper element 72
Contained within ActionList: coverage action information 72
Contained within ActionList: estimate action information 73
Contained within ActionList: rating action information 73
Contained within ActionList: weighting action information 74

Special-use tags 75
Tags related to financial information 75
Financial dates 75
Contained within Financials: financial values 76
Increasing findability via Expected Search Terms 77
Tags related to event information 78
Event wrapper 78
Contained within Event: event venue 78
Contained within Event: event host 78
Contained within Event: registration information 79
Contained within Event Venue: dates related to the event 79
Tags related to specialty 80
The Specialty wrapper 80
Contained within Specialty: publishing language 80

Appendix: Named Types 81
Named type: PersonIDType 81
Named type: TitleList 81
Named type: FinancialsType 81
Named type: IndustryIDListType 82
Named type: AssetClassIDListType 82
Named type: ESGDimensionIDListType 82

Appendix: Attribute Groups 83
A note about attribute groups 83

Appendix: Enumeration Lists 86
PhoneTypeEnum 86
IssuerTypeEnum 86
ContactInfoNatureEnum 86
ProductFormEnum 86
ProductMediumEnum 87
ComponentTypeEnum 87
PublishingActionTypeEnum 87
AudienceTypeEnum 87
DisciplineTypeEnum 88
ResearchApproachEnum 88

DRAFT

EsgDimensionEnum 88
AssetClassEnum 88
IssuerSecurityIDTypeEnum 91
ProductRelationshipTypeEnum 91
FocusEnum 92
SecurityDilutionEnum 92
PeriodEnum 92
EstimateActualEnum 92
SubjectEnum 93
SecurityFinancialsTypeEnum 94
PriorCurrentTypeEnum 94
YearTypeEnum 94
PeriodicityEnum 94
LengthUnitEnum 94
CoverageActionEnum 95
RatingActionEnum 95
EstimateActionEnum 95
WeightingActionEnum 95
TargetPriceEnum 95
OrganizationNameTypeEnum 95
RegionEnum 96
IndustryTaxonomyEnum 96
IssuerFinancialsTypeEnum 96
ContactInfoPurposeEnum 96
WeightingEnum 97
TermEnum 97
RatingEntityEnum 97
PhoneLocationEnum 97
OrganizationTypeEnum 97
RoleEnum 97
EventTypeEnum 98
EventVenueTypeEnum 98
EventDateTypeEnum 98
IndexTypeEnum 98
RatingEnum 99
RatingRelationshipEnum 99
RatingVolatilityRiskEnum 99
FinancialStatementGAAPTypeEnum 99
RatingTypeEnum 99
RatingAspectEnum 99
SpecialtyEnum 100
ResourceTypeEnum 100
ActionEnum 101
QuarterEnum 101
WeekOfYearEnum 101
ISO639LanguageType 102
ISO3166CountryType 102
ISO4217CurrencyType 102
ISO10383MarketType 102

DRAFT

Overview

High-level overview of the Research Standard

Each of the tags in the RIXML Research Standard exists to accomplish a specific task. Some exist to provide information about authorship, some exist to provide information about the research files the tagging is describing (or the URL that contains the research content), others exist to convey information about what the research item is *about* – what companies, countries, industries, etc. are being discussed.

We thought it would be helpful to provide a high-level overview of the tags used in the Research standard grouped by the task they perform. This section does not fully describe any individual tag or tag set, and it does not present the tag sets in the order in which they appear in the Research schema file, but it does give a sense of how the tag sets generally work and what function they serve. The remainder of the document will provide details on each tag and tag set.

Tag sets used in RIXML Research v3.0

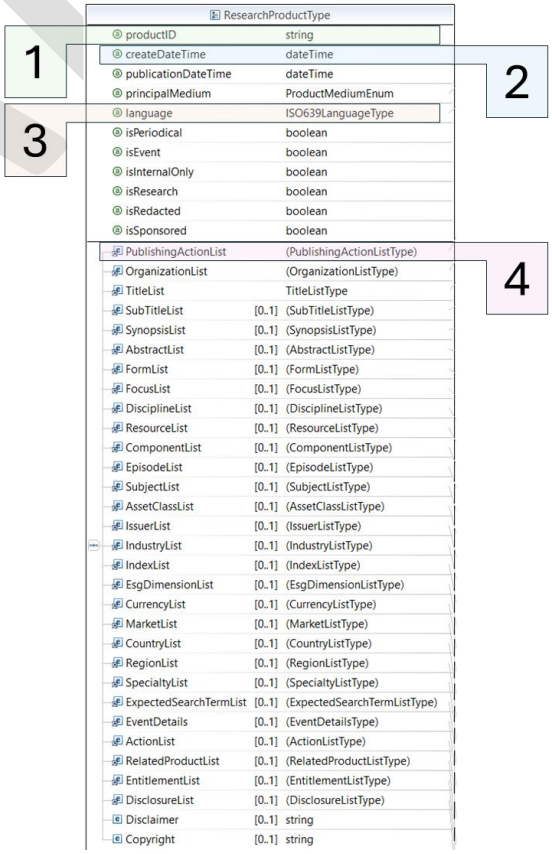
TASK 1:
Describe the RIXML Research tagging file

The file that contains the RIXML tagging that describes a research item (a research report, model, podcast, etc.) is called a *RIXML Research Instance Document*.

An Instance Document contains both information about the research item being described and about the instance document itself.

To describe the instance document, a publisher will

1. provide a unique identifier
2. indicate the date and time the instance document was created
3. indicate the language used in the content of the instance document (this is usually the same as the language used in the research item, but not always)
4. indicate the initial publishing action or add a new publishing action to indicate the reason this instance document is being published, thereby providing a timestamped history of this instance document.



DRAFT

TASK 2:

Provide information about the content that this RIXML instance document is describing

Next, a publisher will:

1. indicate when the research item this RIXML instance document is describing was created.

Note the difference between the createDateTime from step 1:

createDateTime = when the RIXML instance document (tagging file) was created

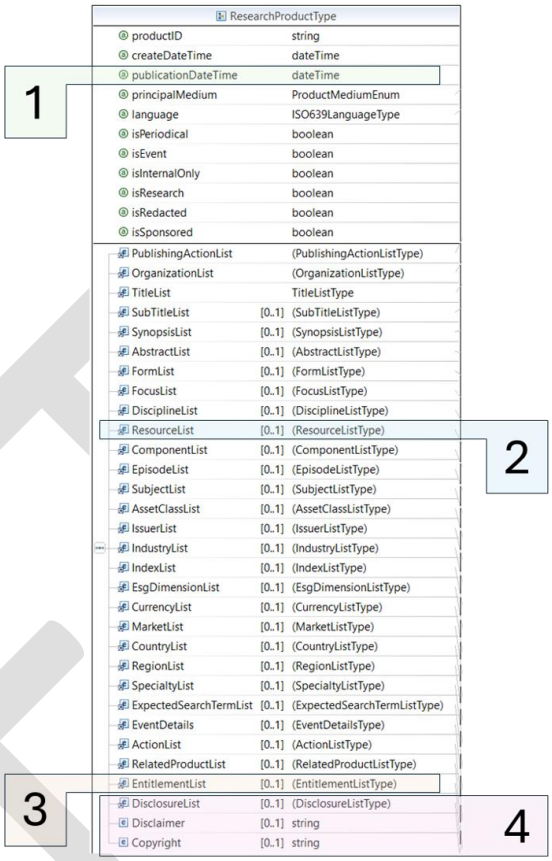
publicationDateTime = when the content this RIXML instance document is describing (the research report, model, or other research item) was published

2. describe the file(s) that make up the research item this RIXML record is describing: the file name, length, etc.

Resource = the file or URL that contains the actual research content

3. provide the entitlement information for this research item, if desired.

4. add disclosures, disclaimers, and copyright information.

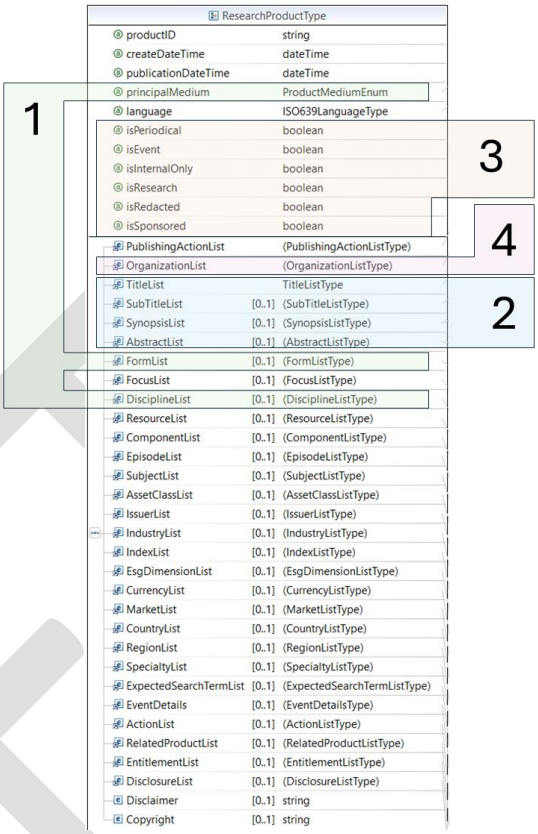


DRAFT

TASK 3:
Begin describing the research item itself

These tags provide information about the research item itself – what form it takes, who is publishing it, and what it is called. The publisher will:

1. generally describe the research item and the research approach used to create it.
2. provide title and summary information.
3. add flags (if needed).
4. provide authorship information.



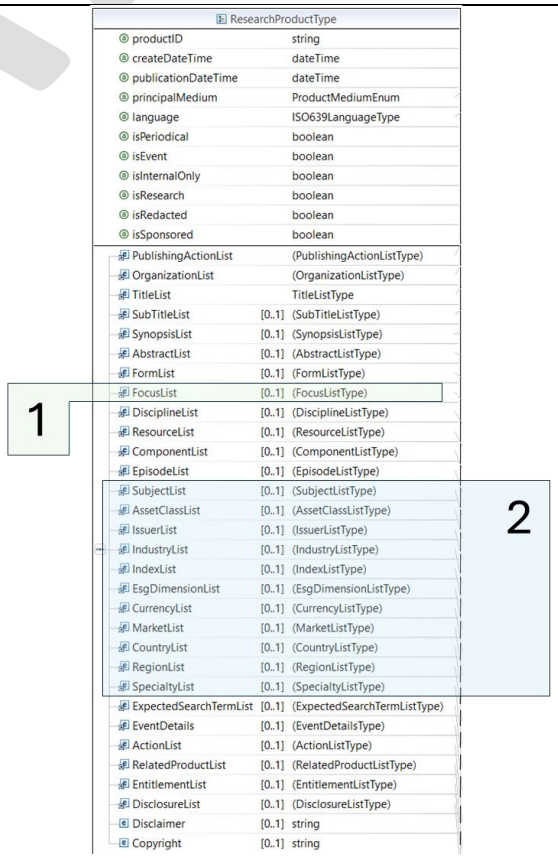
TASK 4:
Describe the subject matter of the research item

This is the tagging that explains what the research item is "about" – including indicating what the research item is mostly about as well as conveying the companies, industries, topics, etc. covered in the research item. This two-step process includes:

1. defining the main focus of the research item.
2. adding topic-related tags to describe the material covered.

The exact tags used will vary based on the focus.

Certain tags will be required, but publishers frequently add additional tags to further describe the content covered in the research item.



DRAFT

TASK 5:

Add special-use tags

Although the following are not required for all research items, the following will be used when applicable:

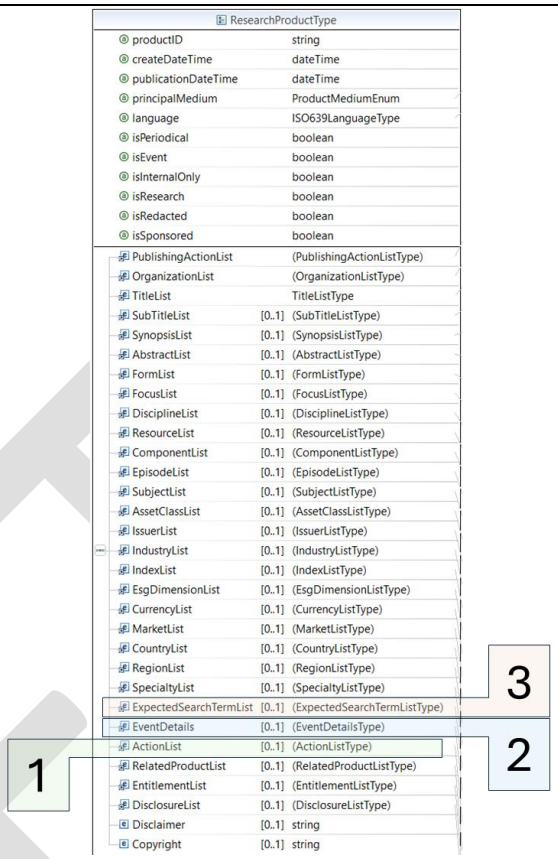
1. Use the ActionList tag set to report a weighting, rating, coverage, or estimate change.

2. To include event information in a Research item, use the EventDetails tag set.

   (Note: we strongly recommend using the Interactions standard to describe events, as it has been designed specifically for this task; these tags are intended to convey a small amount of event-related data that might be relevant in the context of a research item.)

3. Add *Expected search terms*.

   This allows a publisher to add search terms a user is likely to use when looking for the content in this report, but that is not captured elsewhere in the tagging.



TASK 6:

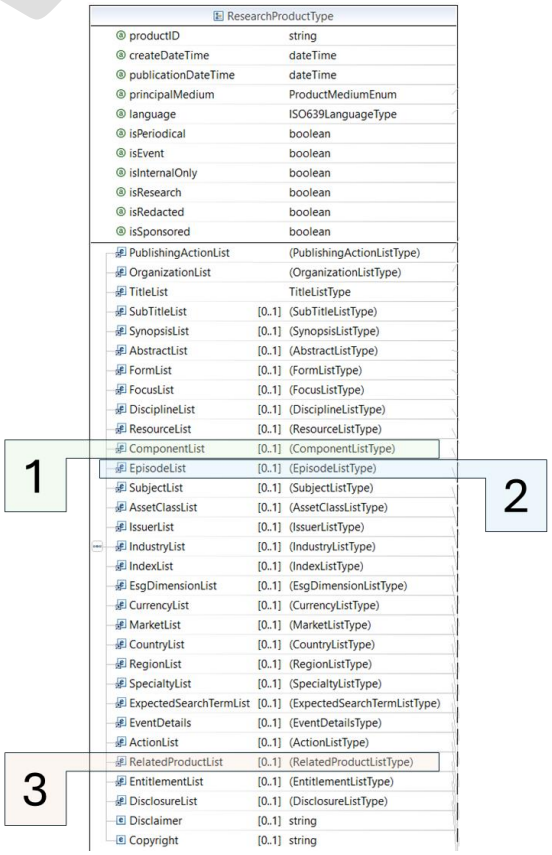
Make connections

RIXML v3.0 significantly enhances the ability to make connections between and among research items.

1. The new Component tag list allows tagging to be added to describe individual sections and components of a research item, such as charts, chapters, or sections.

2. If the research item is part of a series, use the EpisodeList tag set to describe this episode, then use the new SeriesInventory standard to describe the series and collect the episodes.

3. Use the RelatedProduct tag set to provide a reference from this research item to one or more related research items or interaction records.



The remainder of this document describes the above tag sets.

The Research Product

What's the same / what's different

- The main schema file for the Research standard has always been fairly lightweight, housing the framework for describing an individual research item and pointing to the common schema file for the bulk of the tag definitions and to the enumerations list for the valid terms for the elements and attribute tags that use them. In v3.0, the structure of the main Research standard has been flattened – made even more streamlined - with many elements moved to the top level of the standard.
- The top-level packages (Source, Contact, Content, Context, Legal, and Utility) that formerly held tags have been eliminated.
- To further streamline version 3.0, the Product element that was formerly nested inside the Research element has been removed.
- In RIXML v3.0, nearly all of the tags within the ResearchProductType are presented as List elements, most of which are optional. Each of these list elements, when used, holds one or more of the relevant elements; for example, the TitleList element can hold one or more Title elements, providing the ability to tailor the title to multiple audiences, present them in different languages, etc.
- As with prior versions, tag re-use is employed whenever possible to make implementing and maintaining the standards more efficient. To further improve efficiency, we have introduced a few additional attribute groups (see appendix for details).
- V2.5 and earlier had significantly more named Types defined in the Common schema. This has been reduced to 6 named types in the current version, representing the tag sets that are used in multiple places throughout the Standards Suite.
- *eventIndicator* has been renamed to *isEvent*, and we have added *isInternalOnly*, *isResearch*, *isRedacted*, and *isSponsored* flags; use of these is defined below. All of these now use the XML xs:boolean data type rather than the RIXML-defined "YesNoEnum" that *eventIndicator* used in prior versions. *YesNoEnum* has been replaced by *xs:Boolean* throughout the standards.
- Finally, to add consistency and flexibility, nearly all of the tags within the ResearchProductType are presented as ...*List* elements, most of which are optional. Each of these list elements, when used, holds one or more of the relevant elements; for example, the *TitleList* element can hold one or more *Title* elements, providing the ability to tailor the title to multiple audiences, present them in different languages, etc. (These are more fully explained below).

This section outlines the tags used in the RIXML-Research-3_0.xsd file; the remainder of the document covers the tags contained in the RIXML-Common-3_0.xsd schema file that are referred to in the Research Standard.

The RIXML Research schema file (named *RIXML-Research-3_0.xsd*) contains the tags required to describe a research item – a research report, a model, a podcast, etc. This file is very lightweight, relying heavily on the RIXML Common schema file (*RIXML-Common-3_0.xsd*) to hold and define most of the tags used to describe an individual research item. This is done to make these tags available to the other standards in the RIXML Standards Suite as well, allowing publishers to leverage the same tags for multiple purposes in a consistent manner.

In an individual research item, only a few tag sets are required: the PublishingActionList allows publishers to indicate why this RIXML record is being published, the OrganizationList allows publishers to indicate who is publishing it, and the TitleList allows publishers to indicate what the item is called. The ResourceList is almost always used, as it contains the information about the research items that the RIXML tag file is describing – the company report PDF, model Excel file, interactive sector comparison tool on the publisher's website, etc.; however, because there are rare circumstance when this may not exist – if the entirety of the information can be conveyed in the RIXML tag file, or when the record exists to describe an event – this tag set is optional. Publishers will mix and match the other tag sets as needed to describe the content of the individual research item being described.

The Research Product wrapper

ResearchProduct

ResearchProduct is the root tag for a single research product. It 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.

Required unique key tags

ResourceKeyID	**Required**	**xs:key**
ResourceKeyRef	**Optional**	**xs:keyref (related to ResourceKeyID)**
PhotoKeyRef	**Optional**	**xs:keyref (related to ResourceKeyID)**

Aggregations

ResearchProduct	**Required**	**type: ResearchProductType**

DRAFT

ResearchProduct **(uses named ResearchProductType)**

Attributes

productID **Required** **xs: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).

createDateTime **Required** **xs:dateTime**

This marks the date/time at which this RIXML instance document 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.

publicationDateTime **Required** **xs:dateTime**

Indicates the date and time at which the ResearchProduct was officially published. This is the date and time that would appear on the content itself, such as on the cover page of a written report. 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.

principalMedium **Optional** **rixmlenum:ProductMediumEnum**

Indicates if the ResearchProduct is principally a written research piece, or a video, or an audio, etc.. A ResearchProduct that is a piece of written research with other media embedded as exhibits is still a piece of written research, with a value of Standard here. This is meant to be a higher level indicator than the Category element covers.

language **Required** **rixmlenum:ISO639LanguageType**

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 Code.

isPeriodical **Optional** **xs:boolean**

Indicates if the content is a periodical publication.

isEvent **Optional** **xs:boolean**

Indicates if the content represents an Event rather than a traditional ResearchProduct. Defaults to false.

isInternalOnly **Optional** **xs:boolean**

Indicates if the content is for internal consumption only. Defaults to false.

isResearch **Optional** **xs:boolean**

Used to clearly distinguish research as defined by FINRA 2241 from non-research. Default is true.

isRedacted **Optional** **xs:boolean**

A cue from the publisher that this product has been redacted in some way. That is, some content has been obscured or removed relative to the full rendition. Defaults to false.

isSponsored **Optional** **xs:boolean**

A cue from the publisher that this product is Sponsored Research. Defaults to false.

DRAFT

Aggregations

PublishingActionList	Required	
OrganizationList	Required	(This represents the publisher(s) of the ResearchProduct)
TitleList	Required	
SubTitleList	Optional	
SynopsisList	Optional	
AbstractList	Optional	
FormList	Optional	
FocusList	Optional	
DisciplineList	Optional	
ResourceList	Optional	
ComponentList	Optional	
EpisodeList	Optional	
SubjectList	Optional	
AssetClassList	Optional	
IssuerList	Optional	
IndustryList	Optional	
IndexList	Optional	
EsgDimensionList	Optional	
CurrencyList	Optional	
MarketList	Optional	
CountryList	Optional	
RegionList	Optional	
SpecialtyList	Optional	
ExpectedSearchTermList	Optional	
EventDetails	Optional	
ActionList	Optional	
RelatedProductList	Optional	
EntitlementList	Optional	
DisclosureList	Optional	

Elements

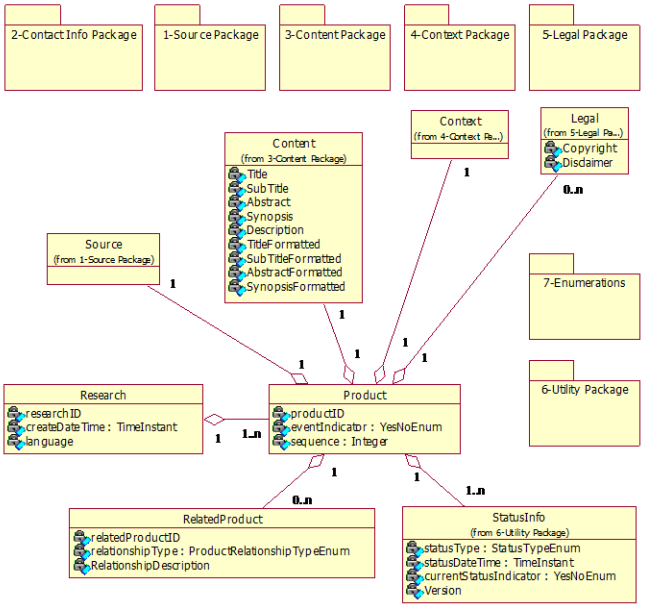
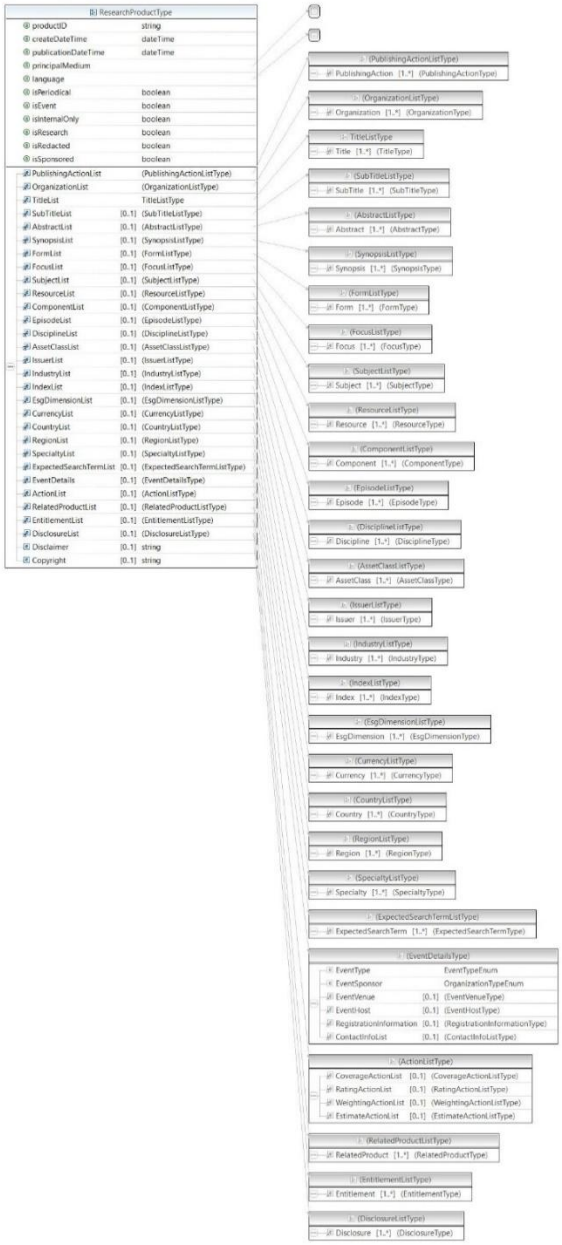
Disclaimer Optional xs:string

Any boilerplate disclaimer text the publisher elects to include with this ResearchProduct. Note that this is meant to be distinct from the disclosure text included in the DisclosureList element.

Copyright Optional xs:string

The copyright line associated with this ResearchProduct.

DRAFT

OLD DIAGRAM (v2.5)	V3.0 RELEASE CANDIDATE
	

Publishing content

What's the same / what's different

- Status has been renamed to PublishingAction
- PublishingActionList is now a top level element in the ResearchProduct element; the Legal package has been retired
- multiples are handled via the PublishingActionList
- currentStatusIndicator has been renamed isMostRecent
- an editorialComment attribute has been added to allow publishers to provide clarity regarding the reason for a publishing action change.

Capturing the publication lifecycle

The *PublishingActionList* allows for a timestamped record of changes made to a RIXML Research instance document and to each individual file or other resource contained in it, to a coverage update, or to a roster update. While many items will simply be published, others may need to later be revised, recalled, deleted, have tags updated, or otherwise require adjustments to the initial publication. *PublishingAction* is used as follows:

- In the *ResearchProduct* tag set in the Research standard, it indicates the publishing action being taken for the instance document itself.
- In the *Resource* tag set in the Research standard, it indicates the action for each separate resource (file or URL) contained in the research product.
- In the *CoverageUpdateType* definition in the Coverage Updates standard, we use a subset of the enumeration list values to indicate an addition, revision, or deletion to a coverage pairing.
- In the *RosterUpdateType* definition in the Roster Updates standard, we use a subset of the enumeration list values to indicate an addition, revision, or deletion to a roster update record.

Tags providing information about the publishing action

PublishingActionList

Container element for one or more individual PublishingAction elements. PublishingAction elements are meant to accumulate here across the lifecycle of the research product so that the full history is available in the PublishingActionList.

Aggregations

PublishingAction	**Required, multiples allowed**

PublishingAction

Describes an individual publishing action within the overall publication history of this research product. Each history must begin with the initial publication, which can be followed by other actions, such as one or more revisions or a deletion, etc..

Attributes

publishingActionType **Required** **rixmlenum:PublishingActionTypeEnum**

Indicates the specific type of publishing action represented here.

publishingActionDateTime **Required** **xs:dateTime**

Indicates the date and time at which the publishing action was executed. 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.

isMostRecent **Required** **xs:boolean**

Indicates whether or not this publishing action is the most recent. The value of this attribute can be derived from the dateTime stamps on all actions in the list. While a given research product can have multiple publishing actions, only one of them can be the most recent. This

DRAFT

attribute is included as a convenience in downstream processing.

version **Optional** **xs:string**

Support for internal versioning of a given product.

editorialComment **Optional** **xs:string**

An opportunity for including an editorial comment explaining the reason for this publishing action - mostly for revisions and deletions.

DRAFT

Describing the resources (individual files/URLs) in this research item

Listing the individual files/URLs (resources) in this research item

What's the same / what's different

- Multiples are now handled via the *ResourceList* element, and Resource is no longer contained within the (retired) Content package.
- Many of the tag names in this element have been updated; however, the tags within this element are quite similar to v2.5.
- The *Price* element has been removed, as member firms indicated that they had other ways of indicating a price, leaving this tag set unneeded and unused.

In the Research standard, we use the term *resource* to describe the research content that is being described by the RIXML instance document (tagging file) - that is, the PDF, Excel, audio or video file(s) and/or URL where the research content is housed. A RIXML instance document usually has a single resource associated with it; however, it is not uncommon for there to be more than one - for example, there may be two PDFs - one a translation of the primary one, or there may be a PDF research report and one or more Excel models. See the main Research Standard section for more information.

ResourceList

Container element for one or more individual Resource elements.

Aggregations

Resource	**Required, 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).

Attributes

resourceID **Required** **xs: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** **rixmlenum:ISO639LanguageType**

Indicates the language of the resource, described using the ISO 639 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.

sizeInBytes **Optional** **xs:string**

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

type **Optional** **rixmlenum:ResourceTypeEnum**

sequence **Optional** **xs:positiveInteger**

If there are multiple elements specified, 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.

isPrimary **Required** **xs:boolean**

Indicates the primary element when more than one are specified.

DRAFT

Elements

Protocol **Optional** **xs:string**

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

MIMEType **xs: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.

ResourceName **Optional** **xs:string**

The ResourceName element is intended to provide a research consumer with a suggestion on how to store the particular resource, whether is 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 ResourceName value is used to match the resource with right companion file. If a payload file is embedded data, the ResourceName 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 ResourceName value is similarly used by the publisher to suggest a file name to the consumer for local storage.

Comment **Optional** **xs:string**

Any additional comments that are deemed necessary. For example, which software version is required to open the document.

ResourceURL **Optional** **xs:anyURI**

Indicates the URL at which the resource can be found.

ResourceData **Optional** **xs:base64Binary**

Used when the content (data) of the research product needs to be included within the RIXML document. The data must be base64-encoded.

ResourceXMLData **Optional**

Aggregations

Length **Optional**
PublishingActionList **Optional**
ContextTagList **Optional**

Container for one or more ContextTag elements that apply to the Resource.

Contained in ResourceList: Length

Length

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

Root element details

[Content added as the value of this element] **Required** **xs:string**

Attributes

lengthUnit **Required** **rixmlenum:LengthUnitEnum**

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

DRAFT

Tags related to legal and access information

What's the same / what's different

- The legal package has been removed; DisclosureList is now used to contain one or more Disclosure elements, the Copyright element is now a top-level element within the Research schema file, and Hedge has been removed.
- The Entitlement element has been significantly streamlined, based on input that the implementation in v2.5 and earlier was overly complex and largely unused. V3.0 has updated the tag set to reflect the current usage in the marketplace.

Disclaimers and Copyright information are described in the main *Research Standard* section. Multiples are allowed for both Disclosures and Entitlements, so those tag sets are defined here:

Disclosure information

DisclosureList

Container element for one or more individual Disclosure elements.

Aggregations

Disclosure	**Required, multiples allowed**

Disclosure

Disclosure information from the publisher that accompanies this research product, typically about potential conflicts of interest.

Attributes

code	**Optional**	**xs:string**

Indicates a 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 B01.

Elements

DisclosureText	**Required**	**xs:string**

Aggregations

IssuerIDList **Optional**

For DisclosureText that applies to specific Issuers discussed within this ResearchProduct, these Issuers are listed here by their IssuerID values.

SecurityIDList **Optional**

For DisclosureText that applies to specific Securities discussed within the ResearchProduct, these Securities are listed here by their SecurityID values.

DRAFT

Entitlement information

EntitlementList

Container element for one or more individual Entitlement elements.

Aggregations

Entitlement	**Required, multiples allowed**

Entitlement

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

The name or code that signals specific entitlement intentions between publishers and platforms.

Attributes

entitlementContext	**Optional**	**xs:string**

The context in which this entitlement has meaning, such as a specific third party aggregation platform. Publishers should get these values directly from the platforms that are looking for them in the supplied RIXML instance documents.

DRAFT

Framing the content

What's the same / what's different

- principalMedium has been introduced in recognition of the fact that research content is being published in more formats than in the past, and more non-traditional research is being published using the tools and systems formerly used only for traditional research.
- ProductCategory has been renamed Form, it is enclosed in FormList to capture multiples, and the FormEnum enumeration list has quite a few new options.

In addition to describing what a research item is about, a RIXML Research record also needs to indicate more broadly what the research item *is*: is it a piece of written research or a video file? A model or a report? What discipline and research approach were used? As shown in section 3 in the high-level overview, there are three components to this: the *principalMedium* attribute, the *Form* element, and the *Discipline* element, which contains both the *DisciplineType* element and the *ResearchApproach* element. To give a sense of how these terms work together to give a picture of what "kind" of research item is being described, here are the enumerations available for these tag sets:

		Discipline	
principalMedium	**Form**	**disciplineType**	**researchApproach**
Written Audio Video Interactive Mixed	Comment Report Model Chart Compilation Presentation Event Primer Directory Glossary Overview EventInvitation PostEventSummary Podcast Interview PanelDiscussion ExhibitExplainer EventRecording Marketing TrainingMaterial PublisherDefined	Investment Strategy Economics	Fundamental Quantitative Technical

The principalMedium is an attribute to the top-level tag in the main Research tag set, and the definition appears in that section. It is also available as an attribute for any individual file (Resource) that is included in a Research item.

Details for the other tag sets appear below.

DRAFT

Form information

FormList

Container element for one or more individual Form elements.

Aggregations

Form	**Required, multiples allowed**

Form

Describes the form taken by the product. Forms include Comment, Report, Model, Chart, etc.. This is meant to provide some finer grained information beyond the ResearchProduct.principalMedium attribute.

Attributes

form	**Required**	**rixmlenum:ProductFormEnum**
formPublisherDefinedValue	**Optional**	**xs:string**

If the form attribute is set to PublisherDefined, then the publisher can express it according to its own sensibilities.

Discipline information

DisciplineList

Container element for one or more individual Discipline elements.

Aggregations

Discipline	**Required, multiples allowed**

Discipline

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

Attributes

disciplineType	**Required**	**rixmlenum:DisciplineTypeEnum**

Indicates the high level discipline of the research product.

researchApproach	**Optional**	**rixmlenum:ResearchApproachEnum**

Indicates the analytical technique used to create the content of the research product. Required when disciplineType is Strategy or Investment.

DRAFT

Title and summary information

What's the same / what's different

- *Title*, *Subtitle*, *Abstract*, and *Synopsis* are now top-level elements in *ResearchProduct*; the ContentDetails package has been retired
- Each of these is now housed within a related ...*List* element to facilitate multiples; this change allows us to eliminate the workarounds that were necessary in v2.5 and earlier to accommodate presenting this information in multiple languages and/or with formatting.

The title, subtitle, abstract, and summary tags allow multiples, and thus employ the ...*List* mechanism. Multiple titles, subtitles, etc. may occur in cases where the publisher wants to make the title and other high-level information appear in multiple languages so that it appears in searches conducted in those languages, even if the report is only published in one language. It may also occur if multiple translations are being distributed in one research record (in which case the overall item may have multiple titles, with the appropriate title also appearing as the title of the individual file in the Resource tag set). Additionally, a publisher may choose to provide multiple titles for different audiences – such as including a more generic title that is displayed for users who are not authorized to view the details in the report's given title.

Title information

TitleList **(uses named TItleListType-see appendix)**

Container type for one or more individual Title elements.

Aggregations

Title	**Required, multiples allowed**

Title

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

language	**Optional**	**rixmlenum:ISO639LanguageType**

Indicates the human language in which the element value is expressed. Overrides the language attribute on the overall RIXML instance document for this element.

includesFormatCoding	**Optional**	**xs:boolean**

Indicates whether or not the value includes any format coding. Limited markup permitted - HTML code for paragraph, ordered lists and unordered lists with list items, bold, underline, and italics. Default is false.

audienceType	**Optional**	**rixmlenum:AudienceTypeEnum**

Indicates the target audience for this variation.

audienceTypePublisherDefinedValue	**Optional**	**xs:string**

Indicates the target audience for this variation, only when the audienceType attribute is set to PublisherDefined.

DRAFT

Subtitle information

SubTitleList

Container element for one or more individual SubTitle elements.

Aggregations

SubTitle	**Required, multiples allowed**

SubTitle

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

language **Optional** **rixmlenum:ISO639LanguageType**

Indicates the human language in which the element value is expressed. Overrides the language attribute on the overall RIXML instance document for this element.

includesFormatCoding **Optional** **xs:boolean**

Indicates whether or not the value includes any format coding. Limited markup permitted - HTML code for paragraph, ordered lists and unordered lists with list items, bold, underline, and italics. Default is false.

audienceType **Optional** **rixmlenum:AudienceTypeEnum**

Indicates the target audience for this variation.

audienceTypePublisherDefinedValue **Optional** **xs:string**

Indicates the target audience for this variation, only when the audienceType attribute is set to PublisherDefined.

Abstract information

AbstractList

Container element for one or more individual Abstract elements.

Aggregations

Abstract	**Required, multiples allowed**

Abstract

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.

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

language **Optional** **rixmlenum:ISO639LanguageType**

Indicates the human language in which the element value is expressed. Overrides the language attribute on the overall RIXML instance document for this element.

includesFormatCoding **Optional** **xs:boolean**

Indicates whether or not the value includes any format coding. Limited markup permitted - HTML code for paragraph, ordered lists and unordered lists with list items, bold, underline, and italics. Default is false.

audienceType **Optional** **rixmlenum:AudienceTypeEnum**

Indicates the target audience for this variation.

audienceTypePublisherDefinedValue **Optional** **xs:string**

DRAFT

Indicates the target audience for this variation, only when the audienceType attribute is set to PublisherDefined.

Synopsis information

SynopsisList

Container element for one or more individual Synopsis elements.

Aggregations

Synopsis	**Required, multiples allowed**

Synopsis

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.

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

language — **Optional** — **rixmlenum:ISO639LanguageType**

Indicates the human language in which the element value is expressed. Overrides the language attribute on the overall RIXML instance document for this element.

includesFormatCoding — **Optional** — **xs:boolean**

Indicates whether or not the value includes any format coding. Limited markup permitted - HTML code for paragraph, ordered lists and unordered lists with list items, bold, underline, and italics. Default is false.

audienceType — **Optional** — **rixmlenum:AudienceTypeEnum**

Indicates the target audience for this variation.

audienceTypePublisherDefinedValue — **Optional** — **xs:string**

Indicates the target audience for this variation, only when the audienceType attribute is set to PublisherDefined.

DRAFT

Person/Authorship information

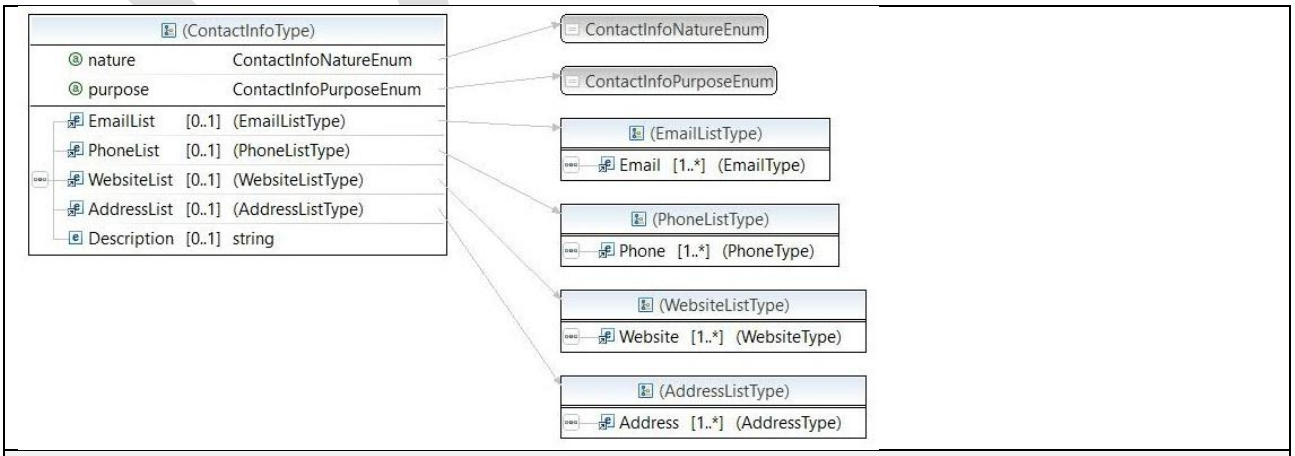
What's the same / what's different

- The ContactInfo package has been retired, replaced by the ContactInfo element, which is extremely similar except as noted.
- Address, Phone, Email, and Website are each now contained within a ...*List* container element, and multiples are allowed in each.
- As in earlier versions, RIXML Research v3.0 retains the Organization > PersonGroup > Person structure for author information, meaning that even when there is a single author, that author appears within a PersonGroup wrapper.
- Although this framework remains, the Organization, PersonGroup, and Person tag sets have undergone a significant overhaul to provide a more streamlined implementation. Over the years, various tags had to be "bolted on" to these tag sets to accomplish various things (multi-language support, etc.); v3.0 has updated these tag sets to make them cleaner and more intuitive. Tags no longer needed due to this improvement (e.g., PersonDetailsAlternativeLanguages) have been removed.
- The Organization element is largely the same as in v2.5, except that specialty/expertise no longer appears at this level
- The Organization element is now contained within the OrganizationList container element
- *InstantMessenger* has been removed
- In the *Phone* section, *CountryCode* has been removed; country code should now be included as part of the phone number in the contents of the Phone element.
- *Expertise* has been replaced by *Specialties* and represents a more streamlined approach
- We have added a *PreferredPronouns* element.
- BiographyFormatted has been eliminated; the Biography element now has an attribute to indicate that formatting has been used.

Information about individuals and organizations appears throughout the RIXML standards – as the author and publishing firm for a research item, as individuals adding or dropping coverage in a coverage list report, as a participant in an interaction, etc. In the Research standard, we use the following tree structure for authorship: Organization – PersonGroup – Person. That is, a person is *always* part of a PersonGroup, even when they are the only author; this allows a consistent structure regardless of whether a person or a group (or multiples of either or a combination) author a research item.

For efficiency, we have created a *ContactInfo* container that holds phone, address, and email address. This container is used whenever contact information is needed about an individual, a team, or a firm.

In the next few sections, we will first describe the ContactInfo tag set, then the Person tag set, then the PersonGroup tag set, and finally, the Organization tag set, allowing each section to build on the prior one. Note that although this *Organization – PersonGroup – Person* structure represents the structure used for author information in the Research standard, these tags are structured differently in our other standards; see the documentation for each for details.



High-level model of ContactInfo module

Contact information

Contact Info wrapper

ContactInfoList

Container element for one or more individual ContactInfo elements.

Aggregations

ContactInfo	**Required, multiples allowed**

ContactInfo

Attributes

nature	**Required**	**rixmlenum:ContactInfoNatureEnum**

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

purpose	**Optional**	**rixmlenum:ContactInfoPurposeEnum**

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

Aggregations

EmailList	**Optional**
PhoneList	**Optional**
WebsiteList	**Optional**
AddressList	**Optional**

Elements

Description	**Optional**	**xs: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.

Part of ContactInfo tag set: address information

AddressList

Container element for one or more individual Address elements.

Aggregations

Address	**Required, multiples allowed**

Address

Strongly Recommended. Describes the street address.

Elements

AddressLine1	**Required**	**xs:string**
AddressLine2	**Optional**	**xs:string**
AddressLine3	**Optional**	**xs:string**
AddressLine4	**Optional**	**xs:string**
AddressLine5	**Optional**	**xs:string**
City	**Optional**	**xs:string**
StateProvince	**Optional**	**xs:string**

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

PostalCode	**Optional**	**xs:string**

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

Country	**Optional**	**xs:string**

DRAFT

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

Part of ContactInfo tag set: Email information

EmailList

Container element for one or more individual Email elements.

Aggregations

Email	**Required, multiples allowed**

Email

Strongly Recommended. Indicates the email address.

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Part of ContactInfo tag set: phone information

PhoneList

Container element for one or more individual Phone elements.

Aggregations

Phone	**Required, multiples allowed**

Phone

Strongly Recommended. Indicates the complete phone number, including any country code, area code, or other digits required for dialing.

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

type	**Required**	**rixmlenum:PhoneTypeEnum**

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

location	**Optional**	**rixmlenum:PhoneLocationEnum**

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

extension	**Optional**	**xs:string**

Used in cases where an additional extension number is required to reach a specific person at a given phone number.

Part of ContactInfo tag set: website information

WebsiteList

Container element for one or more individual Website elements.

Aggregations

Website	**Required, multiples allowed**

Website

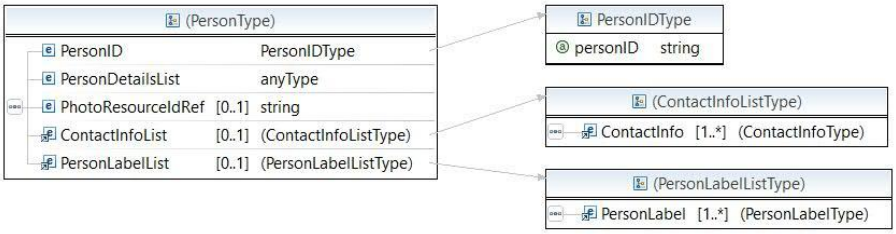
Strongly Recommended. Provides a URI reference for a web site.

DRAFT

Person information

Information about individuals and organizations appears throughout the RIXML standards – as the author and publishing firm for a research item, as individuals adding or dropping coverage in a coverage list report, or as a participant in an interaction.

In the Research standard, individual authors are described using the Person tag set, and all authors appear nested in the PersonGroup tag set – even when there is only one author. As noted in the section above, the ContactInfo tag set is available for use in all three sections, providing maximum flexibility for conveying contact information for an individual, a team or other group, and/or for the organization itself.



The Person wrapper

Note that there is not a PersonList container for multiple instances of a Person tag set because each Person is nested inside a PersonGroup tag set (in the PersonGroupMember tag set). Unlike the other ...List tags that exist in our standards, the PersonGroup tag set has additional functionality. It is not simply a wrapper for a list of Persons; rather, it also conveys information about the group itself. Thus, we have chosen to keep the term PersonGroup to make the distinction between this tag set and its purpose vs. that of the ...List tag sets used throughout the standards. Note that because there can be multiple PersonGroups, the PersonGroupList > PersonGroup structure is used for that tag set.

Person

Describes an individual involved in the product in some capacity.

Elements

PhotoResourceIdRef	**Optional**	**xs:string**

An XML Schema keyref that will link to a Resource element representing a small photograph image of the person. Value must match a Resource.resourceID in this ResearchProduct.

Aggregations

PersonID	**Required**	**PersonIDType (see appendix)**
PersonDetailsList	**Optional**	
ContactInfoList	**Optional**	
PersonLabelList	**Optional**	

DRAFT

Part of the Person tag set: the Person Details

PersonDetailsList

Container element for one or more individual PersonDetails elements.

Aggregations

PersonDetails	**Required, multiples allowed**

PersonDetails

Includes name and job information for a person.

Attributes

language	**Optional**	**rixmlenum:ISO639LanguageType**

Indicates the language of the Person Details. If not specified, default to value of language attribute of top ResearchProduct element. If language attribute of ResearchProduct element is not specified, default to English. Described using the ISO 639 Code.

Elements

DisplayName	**Required**	**xs:string**

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

FamilyName	**Required**	**xs:string**
GivenName	**Optional**	**xs:string**
MiddleName	**Optional**	**xs:string**
FamilyNameSuffix	**Optional**	**xs:string**

An accommodation for family name modifiers traditionally appearing after the person's name -- e.g. Jr., Sr., III.

Credentials	**Optional**	**xs:string**

An accommodation for credentials traditionally appearing after the person's name -- e.g. C.F.A., Ph.D., Esq..

PreferredPronouns	**Optional**	**xs:string**

An accommodation for specifying pronouns preferred by the person -- e.g. she/her/hers.

JobRole	**Optional**	**xs:string**

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

JobTitle	**Optional**	**xs:string**

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

Division	**Optional**	**xs:string**

Indicates the division that the person officially works for within an organization -- e.g. Institutional Equities, Asia Research, etc.

Aggregations

Biography	**Optional**

DRAFT

Part of the PersonDetails tag set: Biography

Biography

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

includesFormatCoding	**Optional**	**xs:boolean**

Indicates whether or not the value includes any format coding. Limited markup permitted - HTML code for paragraph, ordered lists and unordered lists with list items, bold, underline, and italics. Default is false.

Part of the Person tag set: the Person label information

PersonLabelList

Container element for one or more individual PersonLabel elements.

Aggregations

PersonLabel	**Required, multiples allowed**

PersonLabel

This element can be used to include a label by which this person is known in the context named in the personLabelContext attribute. Useful for supplying author codes that have meaning on specific vendor platforms.

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

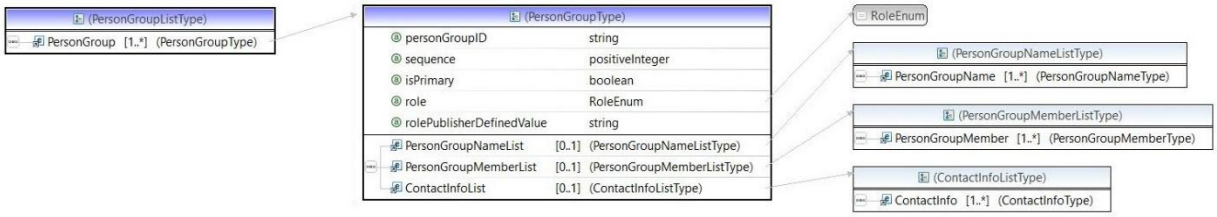
Attributes

personLabelContext	**Optional**	**xs:string**

This attribute must be used to indicate the specific context for the person label. This would typically be a mnemonic for an individual vendor platform in which the labeled person has a presence. For example, it may be useful for identifying authors of research contributed to a particular vendor platform. Here, a vendor is defined as an organization outside the buy-side and sell-side community of financial services firms which provides platforms or tools used by participants in the investment research economy.

DRAFT

PersonGroup information



As shown here, in the Research standard, the PersonGroupList contains one or more PersonGroup elements. (Use of the PersonGroup tag set in our other standards will be documented later.) Each PersonGroup element can contain one or more Person elements. Each Person *must* be contained within a PersonGroup element, even if they are the sole author. This structure allows for a variety of authorship options, such as:

- A single author (one Person record nested in one PersonGroup record)
- Two authors working as a team (two Person records nested in a single PersonGroup record, which may or may not also have a name)
- Two authors working independently (two Person records, each contained in a separate PersonGroup record)
- A report published by a team, whose members are listed separately
- A report published by a team, whose members are not named
- A report published by a team, with a co-author not from that team

The Organization > PersonGroup > Person structure was developed to accommodate a wide variety of use cases submitted by member firms. The standards allow a publishing firm to utilize this nesting capability to convey authorship in whatever level of granularity they require, and not all firms will need to leverage all available options. When not needed, firms may choose to essentially omit the PersonGroup level by nesting each individual author inside its own unnamed PersonGroup tag.

While the PersonGroup level is required in the research standard, providing a name for the group is optional; most firms will likely only utilize this option when the group itself is essentially the named author of a research item and the individuals are not listed separately.

While this nesting structure is how authorship information is conveyed in the Research standard, our Coverage Updates and Roster Updates standards use these tag sets somewhat differently; additionally, the Interactions standard uses this nested structure, but uses it to convey information about both the individual who created the interaction record AND about each of the participants in the interaction being described. Documentation for these standards will provide relevant information.

DRAFT

The PersonGroup wrapper

PersonGroupList

Container element for one or more individual PersonGroup elements.

Aggregations

PersonGroup	**Required, multiples allowed**

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.

Attributes

personGroupID **Optional** **xs:string**

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

sequence **Optional** **xs:positiveInteger**

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.

isPrimary **Optional** **xs:boolean**

Indicates the primary PersonGroup, when more than one are specified. (Note: sequencingAttributeGroup not used here so we can make isPrimary optional.)

role **Optional** **rixmlenum: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.

rolePublisherDefinedValue **Optional** **xs:string**

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

Aggregations

PersonGroupNameList **Optional**

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.

PersonGroupMemberList **Optional**

ContactInfoList **Optional**

DRAFT

Part of the PersonGroup tag set: naming the PersonGroup

PersonGroupNameList

Container element for one or more individual PersonGroupName elements.

Aggregations

PersonGroupName	**Required, multiples allowed**

PersonGroupName

This is the full display name of the PersonGroup.

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

language	**Optional**	**rixmlenum:ISO639LanguageType**

Indicates the human language in which the element value is expressed. Overrides the language attribute on the overall RIXML instance document for this element.

Part of the PersonGroup tag set: Person Group Member information

PersonGroupMemberList

Container element for one or more individual PersonGroupMember elements.

Aggregations

PersonGroupMember	**Required, 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.

Attributes

sequence	**Optional**	**xs:positiveInteger**

If there are multiple PersonGroupMembers, 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.

isPrimary	**Optional**	**xs:boolean**

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

role	**Optional**	**rixmlenum:RoleEnum**

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

rolePublisherDefinedValue	**Optional**	**xs:string**

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

Aggregations

Person	**Required**

DRAFT

Organization information

In the Research standard, the *Organization* tag set is used to identify the publisher(s) of the research item. However, since this tag set is used in various ways throughout the standards, the term *Organization* is used because it is more accurate than the term *Publisher* would be in other places.

The Organization wrapper

OrganizationList

Container element for one or more individual Organization elements.

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 isPrimary attribute.

Attributes

type	**Required**	**rixmlenum:OrganizationTypeEnum**
typePublisherDefinedValue	**Optional**	**xs:string**

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

sequence	**Optional**	**xs:positiveInteger**

If there are multiple elements specified, 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.

isPrimary	**Required**	**xs:boolean**

Indicates the primary element when more than one are specified.

Aggregations

OrganizationIDList	**Optional**
OrganizationNameList	**Required, multiples allowed**
PersonGroupList	**Optional**
ContactInfoList	**Optional**

Elements

Description	**Optional**	**xs:string**

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

LogoURL	**Optional**	**xs:anyURI**

Indicates a web URL location of a logo graphic for the organization.

DRAFT

Part of the Organization tag set: Organization identifiers

OrganizationIDList

Container element for one or more individual OrganizationID elements..

Aggregations

OrganizationID	**Required, multiples allowed**

OrganizationID

An identifier used to identify the organization -- 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).

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

idType	**Required**	**xs:string**

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

Part of the Organization tag set: Organization name information

OrganizationNameList

Container element for one or more individual OrganizationName elements.

Aggregations

OrganizationName	**Required, multiples allowed**

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.

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

nameType	**Required**	
rixmlenum: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.

language	**Optional**	**rixmlenum:ISO639LanguageType**

Indicates the language of the name value given. Overrides the language attribute on the Research element.

DRAFT

Defining the focus of a report

In the Research standard, a publisher will use some or all of the available thematic tags (described in the next chapter) to describe what the report is *about* - that is, what companies, industries, regions, etc. are being discussed. To identify what the report is *mostly* about, a publisher will use the Focus tag set and isPrimary attributes that are available for each thematic tag set.

But how does a publisher indicate the main focus of the report? The RIXML Research Standard accomplishes this through the following:

First, the *FocusList* tag set is used to indicate what the report's primary focus is: is it a company report or an industry overview? Is it primarily discussing a currency, or is it a thematic report based on a particular subject? The publisher would select the focus of the research item – which, with a few exceptions, is the same as the list of content-related tagging options in the list in the *Thematic Tags* chapter introduction, below. If the publisher indicates that the focus is a security, then they must include at least one security identifier in the Focus tag set. In this example, the security identifier listed in the Focus tag set is meant to be a duplicate of one of the security identifiers used in the research item's *SecurityList* tag set; the Focus tag set only contains the identifier, the related Security tag set contains more information (the company name, for example).

Second, the *isPrimary* flag is used to further clarify: if more than one *Focus* is included, then the publisher will use the *isPrimary* flag on one of them to indicate that it is the primary focus of the research item.

For example, to indicate that Company X is the focus of a report that also mentions other securities, two sectors, and a country, the publisher would set the *isPrimary* flag to "Yes" in the SecurityID tag set for that company within the Focus element.

Tags identifying the focus of the research item

FocusList

Container element for one or more individual ProductFocus elements. This is meant to capture what this ResearchProduct is primarily about, so a selective tagging approach is better than a comprehensive tagging approach. Be judicious in populating the Focus. Avoid multiples where possible.

Aggregations

Focus	**Required, multiples allowed**

Focus

Indicates a primary focus of the ResearchProduct. The value of the focus attribute must mate with the specific ID sub-element. That is, if the focus attribute is set to Industry, then include an IndustryID sub-element to specify which Industry.

Attributes

focus	**Required**	**rixmlenum:FocusEnum**

Indicates the focus itself. This is the unique focus identifier.

sequence	**Optional**	**xs:positiveInteger**

If there are multiple elements specified, 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.

isPrimary	**Required**	**xs:boolean**

Indicates the primary element when more than one are specified.

DRAFT

Aggregations (note: choice block, not sequence block)

IndustryID	**Optional**
Discipline	**Optional**
IssuerID	**Optional**
SecurityID	**Optional**
RegionID	**Optional**
CountryID	**Optional**
AssetClassID	**Optional**
EsgDimensionID	**Optional**
IndexID	**Optional**
CurrencyID	**Optional**
MarketID	**Optional**
Subject	**Optional**
Specialty	**Optional**

DRAFT

Thematic tags

What's the same / what's different

- Most of the tags related to describing the content in a research item were in the Source package in v2.5.
- ProductFocus has been renamed Focus, and is contained in the FocusList element to allow for multiples. It now also includes the ability to add an identifier to more clearly indicate the exact entity that is the focus (that is, if the focus is a security, you can add the security ID of the security that is the focus; or the industry ID can be added as the focus of a report tagged as having a focus of industry). The intent is that the identifier indicated in the Focus element also exists in the relevant …List element, where more information about that entity is conveyed. (For example, if Focus = Security, then a SecurityID would be included in the *Focus* element; that SecurityID would also exist in that record's SecurityList, where the security's name and other relevant information would be conveyed.
- Asset class, asset type, and security type were separate tags in v2.5 and earlier, even though they were intended to act in a tree structure. We have merged these into AssetClass/AssetClassList
- SectorIndustry has been renamed Industry but continues to describe the full sector/industry tree structure
- See the list below for the …*List* tags that now appear as top-level tags in the Research standard; several of these did allow for multiples in prior versions, but we now use "List" at the end of the element name for clarity (vs. Specialties > Specialty convention used before)
- We recommend reviewing each tag set in this section, as they have undergone a number of changes.

The tag sets in this section are the ones that answer the question, *What is this research item about?* The top level of the Research Standard provides the following tag sets aimed at describing the content in the research item:

AssetClassList	IssuerList
CountryList	MarketList
CurrencyList	RegionList
DisciplineList	SecurityList
ESG DimensionList	SpecialtyList
IndexList	SubjectList
IndustryList	

Indicating what a particular research report or other research item is about may involve using one or more of these tag sets; additionally, a report may include one or more items within each category. For example,

- A single company report could list one *Security*; it might also list additional securities that are mentioned in the report, even if they aren't the primary focus
- An industry overview could list individual companies in addition to listing the industry that is the main focus of the report; it could also indicate a country or region to indicate that the report focuses that industry's impact within one country or region.

To provide maximum flexibility and because the tag sets required to describe content will vary depending on the nature of an individual research item, these tags are all optional. The intent is that the publisher will select the tag set(s) needed to describe the content of the research item sufficiently to facilitate an end user finding it based on the tagging provided.

However, in addition to the required tags, firms may also include additional tags to provide more guidance about the content in the report: for example, an industry overview may also indicate that it is covering information regarding that industry's developments in a particular country or region, or may list a few companies that are mentioned with enough depth that a person searching for information about that company might find it useful.

By "mixing and matching" these tag sets, publishers can provide a rich description of the content covered in a research item. Aggregators use these tags to pull like information together; in turn, end users use aggregators' search tools to find research that meets their needs.

Note that the tag sets below represent the tags that are available at the top level of a research record (the same level in which the *FocusList* appears; the relevant …*ID* tag is also used in the *FocusList* tag set, as described above. Publishers will select which of these tag sets to use based on the content covered in the individual research item.

Tags related to asset class

Asset Class wrapper – with just asset class identifier information

AssetClassID

Element just for identifying an AssetClass, without any additional information.

Attributes

assetClass **Required** **rixmlenum:AssetClassEnum**

Indicates the asset class itself. This is the unique asset class identifier.

assetClassPublisherDefinedValue **Optional** **xs:string**

Used when the assetClass attribute is set to PublisherDefined to indicate an asset class not in the pick list.

level **Optional** **xs:positiveInteger**

Indicates the level of this AssetClass within the corresponding AssetClass hierarchy. Top of the hierarchy is level 1, next level down is level 2, etc.. Level is optional here, and only for convenience, because it is officially determined by the hierarchy definition.

tagSource **Optional** **xs:string**

In the case of an automated tag, this tagSource attribute would hold a free-form text value indicating the publisher's name for the tagging method applied when not explicit (selected by an author or editor).

tagConfidence **Optional** **xs:decimal**

In the case of an automated tag, this tagConfidence attribute would hold a number between zero and one, with one representing perfect high confidence.

AssetClassIDList **(uses named AssetClassIDListType)**

Container type for one or more individual AssetClassID elements.

Aggregations

AssetClassID

DRAFT

Asset class wrapper – with full information

AssetClassList

Container type for one or more individual AssetClass elements.

Aggregations

AssetClass	**Required, multiples allowed**

AssetClass

Indicates that the ResearchProduct, or other sub-context, is about a particular asset class.

Attributes

weightingAction **Optional** **rixmlenum:WeightingActionEnum**

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

Elements

AssetClassID **Required**

The identifier information for tagging this AssetClass to this ResearchProduct, or other sub-context.

DisplayName **Optional** **xs:string**

The full display name of the AssetClass can be added here for human readability and convenience, but the AssetClassID.assetClass attribute is the actual identifier.

ParentList **Optional** **AssetClassIDListType**

Publishers can optionally choose to list out the parent nodes in the AssetClass hierarchy here for convenience. This is not the same as tagging a parent node to this ResearchProduct.

ChildList **Optional** **AssetClassIDListType**

Publishers can optionally choose to list out the child nodes in the AssetClass hierarchy here for convenience. This is not the same as tagging a child node to this ResearchProduct.

Aggregations

RatingList	**Optional**
WeightingList	**Optional**

DRAFT

Tags related to country

Country wrapper – with just country identifiers

Used in the Focus tag set or anywhere else the country identifier, without additional information, is used.

CountryIDList

Container element for one or more individual CountryID elements.

Aggregations

CountryID	**Required, multiples allowed**

CountryID

Element just for identifying a Country, without any additional information.

Attributes

code	**Required**	**rixmlenum:ISO3166CountryType**

The ISO 3166 code for the country.

DRAFT

Country wrapper – with full details

CountryList

Container element for one or more individual Country elements.

Aggregations

Country	**Required, multiples allowed**

Country

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

Attributes

code **Required** **rixmlenum:ISO3166CountryType**

The ISO 3166-1 code for the country.

isEmerging **Optional** **xs:boolean**

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

sequence **Optional** **xs:positiveInteger**

If there are multiple elements specified, 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.

isPrimary **Required** **xs:boolean**

Indicates the primary element when more than one are specified.

coverageAction **Optional** **rixmlenum: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.

ratingAction **Optional** **rixmlenum:RatingActionEnum**

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

weightingAction **Optional** **rixmlenum:WeightingActionEnum**

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

tagSource **Optional** **xs:string**

In the case of an automated tag, this tagSource attribute would hold a free-form text value indicating the publisher's name for the tagging method applied when not explicit (selected by an author or editor).

tagConfidence **Optional** **xs:decimal**

In the case of an automated tag, this tagConfidence attribute would hold a number between zero and one, with one representing perfect high confidence.

Aggregations

RatingList	**Optional**
WeightingList	**Optional**

DRAFT

Tags related to currency

Currency wrapper – with just currency identifiers

Used in the Focus tag set or anywhere else the currency identifier, without additional information, is used.

CurrencyIDList

Container element for one or more individual CurrencyID elements.

Aggregations

CurrencyID	**Required, multiples allowed**

CurrencyID

Element just for identifying a Currency, without any additional information.

Attributes

currency	**Required**	**rixmlenum:ISO4217CurrencyType**

Represented by the three letter alpha code defined by ISO 4217.

Currency wrapper – with full details

CurrencyList

Container element for one or more individual Currency elements.

Aggregations

Currency	**Required, multiples allowed**

Currency

Some research products discuss financial values without mapping to any issuers or securities. Having currency as a possible product classification enables more accurate tagging in those cases. This element requires that a specific currency is indicated. For products discussing currencies in general, publishers should tag the asset class as currencies.

Root element details

[Content added as the value of this element]	**Optional**	**xs:string**

The element value can optionally be used to supply the currency name associated with the standard code for human readability and convenience.

Attributes

currency	**Required**	**rixmlenum:ISO4217CurrencyType**

Represented by the three letter alpha code defined by ISO 4217.

sequence	**Optional**	**xs:positiveInteger**

If there are multiple elements specified, 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.

isPrimary	**Required**	**xs:boolean**

Indicates the primary element when more than one are specified.

tagSource	**Optional**	**xs:string**

In the case of an automated tag, this tagSource attribute would hold a free-form text value indicating the publisher's name for the tagging method applied when not explicit (selected by an author or editor).

tagConfidence	**Optional**	**xs:decimal**

In the case of an automated tag, this tagConfidence attribute would hold a number between zero and one, with one representing perfect high confidence.

DRAFT

Tags related to ESG

ESG wrapper – with just ESG identifiers

Used in the Focus tag set or anywhere else the ESG identifier, without additional information, is used.

EsgDimensionIDList (uses EsgDimensionIDListType)

Container type for one or more individual EsgDimensionID elements.

Aggregations

EsgDimensionID	**Required, multiples allowed**

EsgDimensionID

Element just for identifying an EsgDimension, without any additional information.

Attributes

esgDimension **Required** **rixmlenum:EsgDimensionEnum**

Indicates the ESG dimension itself. This is the unique ESG dimension identifier.

esgDimensionPublisherDefinedValue **Optional** **xs:string**

Used when the esgDimension attribute is set to PublisherDefined to indicate an ESG dimension not in the pick list.

level **Optional** **xs:positiveInteger**

Indicates the level of this EsgDimension within the corresponding ESG hierarchy. Top of the hierarchy is level 1, next level down is level 2, etc.. Level is optional here, and for convenience only, because it is officially determined by the hierarchy definition.

tagSource **Optional** **xs:string**

In the case of an automated tag, this tagSource attribute would hold a free-form text value indicating the publisher's name for the tagging method applied when not explicit (selected by an author or editor).

tagConfidence **Optional** **xs:decimal**

In the case of an automated tag, this tagConfidence attribute would hold a number between zero and one, with one representing perfect high confidence.

DRAFT

ESG wrapper – with full details

EsgDimensionList

Aggregations

EsgDimension	**Required, multiples allowed**

EsgDimension

Indicates that the ResearchProduct, or other sub-context, is about a particular ESG theme. ESG means Enironment, Social, Governance.

Attributes

weightingAction	**Optional**	**rixmlenum:WeightingActionEnum**

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

Elements

EsgDimensionID	**Required**	**EsgDimensionIDType**

The identifier information for tagging this EsgDimension to this ResearchProduct, or other sub-context.

DisplayName	**Optional**	**xs:string**

The full display name of the EsgDimension can be added here for human readability and convenience, but the EsgDimensionID.esgDimension attribute is the actual identifier.

ParentList	**Optional**	**EsgDimensionIDListType**

Publishers can optionally choose to list out the parent nodes in the EsgDimension hierarchy here for convenience. This is not the same as tagging a parent node to this ResearchProduct.

ChildList	**Optional**	**EsgDimensionIDListType**

Publishers can optionally choose to list out the child nodes in the EsgDimension hierarchy here for convenience. This is not the same as tagging a child node to this ResearchProduct.

Aggregations

WeightingList	**Optional**
RatingList	**Optional**

DRAFT

Tags related to index information

Used in the Focus tag set or anywhere else the index identifier, without additional information, is used.

Index wrapper – with just index identifiers

IndexIDList

Container element for one or more individual IndexID elements.

Aggregations

IndexID	**Required, multiples allowed**

IndexID

Identifies an index mentioned in the product via an ID symbol of type specified in the idType attribute.

Attributes

idType **Required** **rixmlenum:IssuerSecurityIDTypeEnum**

Indicates the protocol used for the index identifier (i.e. the classification scheme). Examples include CUSIP, RIC, BloombergCode, etc.

idTypePublisherDefinedValue **Optional** **xs:string**

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

idValue **Required** **xs:string**

The actual symbol identifying the index.

Index wrapper – with full details

IndexList

Container element for one or more individual Index elements.

Aggregations

Index	**Required, multiples allowed**

Index

Indicates an index mentioned in the product.

Attributes

type **Optional** **rixmlenum:IndexTypeEnum**

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

displayName **Optional** **xs:string**

A descriptive name of the index suitable for display purposes.

Aggregations

IndexID	**Optional, multiples allowed**
Country	**Optional**
Region	**Optional**
Industry	**Optional**
Weighting	**Optional, multiples allowed**
Rating	**Optional, multiples allowed**

DRAFT

Tags related to industry (and sector) information

Industry wrapper – with just industry identifiers

IndustryIDList **(uses IndustryIDListType)**

Container type for one or more individual IndustryID elements.

Aggregations

IndustryID	**Required, multiples allowed**

IndustryID

Element just for identifying an Industry, without any additional information.

Attributes

industry **Required** **xs:string**

Indicates the industry itself. This is the unique industry identifier within the referenced industry taxonomy. Note that these identifiers are not bound to an enumerated picklist in this schema. They come from the referenced taxonomy, which is defined externally.

industryTaxonomy **Required** **rixmlenum:IndustryTaxonomyEnum**

Name of the taxonomy, hierarchy, or classification method used, in which the specified industry identifier has meaning. Note that a value of PublisherDefined just means the taxonomy was created by the publisher and does not imply a separate PublisherDefinedValue anywhere.

level **Optional** **xs:positiveInteger**

Indicates the level of this Industry within the corresponding Industry hierarchy. Top of the hierarchy is level 1, next level down is level 2, etc.. Level is optional here because it is usually determined by the specific industry taxonomy.

tagSource **Optional** **xs:string**

In the case of an automated tag, this tagSource attribute would hold a free-form text value indicating the publisher's name for the tagging method applied when not explicit (selected by an author or editor).

tagConfidence **Optional** **xs:decimal**

In the case of an automated tag, this tagConfidence attribute would hold a number between zero and one, with one representing perfect high confidence.

Elements

DisplayName **Optional** **xs:string**

The full display name of the Industry can be added here for human readability and convenience, but the industry attribute is the actual identifier.

DRAFT

Industry wrapper – with full details

IndustryList

Container type for one or more individual Industry elements.

Aggregations

Industry	**Required, multiples allowed**

Industry

Indicates that the ResearchProduct, or other sub-context, is about a particular industry.

Attributes

officiallyClassified **Optional** **xs:boolean**

For cases in which this Industry is associated with an Issuer or Security, the officiallyClassified attribute indicates whether or not that association is official within the cited taxonomy or represents a estimated or best-fit or best-guess association.

sequence **Optional** **xs:positiveInteger**

If there are multiple elements specified, 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.

isPrimary **Required** **xs:boolean**

Indicates the primary element when more than one are specified.

coverageAction **Optional** **rixmlenum: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.

ratingAction **Optional** **rixmlenum:RatingActionEnum**

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

weightingAction **Optional** **rixmlenum:WeightingActionEnum**

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

Elements

IndustryID	**Required**	**IndustryIDType**

Aggregations

ParentList **Optional** **IndustryIDListType**

Publishers can optionally choose to list out the parent nodes in the Industry hierarchy here for convenience. This is not the same as tagging a parent node to this ResearchProduct.

ChildList **Optional** **IndustryIDListType**

Publishers can optionally choose to list out the child nodes in the Industry hierarchy here for convenience. This is not the same as tagging a child node to this ResearchProduct.

RatingList	**Optional**
WeightingList	**Optional**

DRAFT

Tags related to issuer (corporate, governmental, or other)

In the RIXML Standards Suite, *Issuer* refers to any entity that issues any type of security; *Security* refers to a particular security. *Security* tagging lives within the *Issuer* module, although the *Security* tag set is optional and does not apply to all situations. Some issuers issue both equity and fixed income securities; others issue just one; additionally, an individual research item may discuss a particular security or it may discuss the issuer itself. For example, an equity single company report would likely be most accurately tagged at the security level, whereas a report published by a municipal bond analyst would likely be most accurately tagged at the issuer level, with the analysis applying to most or all of that issuer's bonds.

NOTE: We will be providing additional guidance regarding the intended use of Issuer tags and Security tags to ensure consistent application. We will be discussing the details so that as a group we can determine how to standardize usage as much as possible and to ensure that we have considered a wide range of use cases.

Issuer wrapper – with just Issuer ID

IssuerIDList

Container element for one or more individual IssuerID elements.

Aggregations

IssuerID	**Required, multiples allowed**

IssuerID

Used to uniquely identify the issuer.

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

idType **Required** **rixmlenum:IssuerSecurityIDTypeEnum**

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

idTypePublisherDefinedValue **Optional** **xs:string**

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

Issuer wrapper – with full details

IssuerList

Container element for one or more individual Issuer elements.

Aggregations

Issuer	**Required, multiples allowed**

DRAFT

Issuer

Attributes

issuerType **Required** **rixmlenum:IssuerTypeEnum**
Indicates the type of Issuer. For example, can be agency, government or corporate.

domicileCountryCode **Optional** **rixmlenum:ISO3166CountryType**
Indicates the country where the Issuer is domiciled, represented by the ISO 3166-1 country code.

fiscalYearEnd **Optional** **xs:gMonthDay**
Combination of Day and Month that indicates the fiscal year end of the Issuer.

sequence **Optional** **xs:positiveInteger**
If there are multiple elements specified, 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.

isPrimary **Required** **xs:boolean**
Indicates the primary element when more than one are specified.

coverageAction **Optional** **rixmlenum: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.

ratingAction **Optional** **rixmlenum:RatingActionEnum**
Highlights an action taken by the publisher. Indicates that the publisher is changing their rating on a Security. Example: a publisher downgrades Security ABC.

weightingAction **Optional** **rixmlenum:WeightingActionEnum**
Highlights an action taken by the publisher. Indicates that the publisher is changing the weighting of the security type.

tagSource **Optional** **xs:string**
In the case of an automated tag, this tagSource attribute would hold a free-form text value indicating the publisher's name for the tagging method applied when not explicit (selected by an author or editor).

tagConfidence **Optional** **xs:decimal**
In the case of an automated tag, this tagConfidence attribute would hold a number between zero and one, with one representing perfect high confidence.

Elements

LogoURL **Optional** **xs:anyURI**
Indicates a web URL location of a logo graphic for the Issuer.

Description **Optional** **xs:string**
A text description (name) of the Issuer. Strongly Recommended element.

DRAFT

Aggregations

IssuerNameList	**Required**
IssuerIDList	**Optional**
FinancialDates	**Optional**
IssuerFinancialsList	**Optional**
RatingList	**Optional**
WeightingList	**Optional**
ResourceLink	**Optional, multiples allowed**
IndustryList	**Optional**

This is the list of industries of which the Issuer is a participant. This is not necessarily the list of industries discussed in this ResearchProduct.

SecurityList **Optional**

This is the list of securities issued by this Issuer that are also discussed in this ResearchProduct.

Subset of issuer: issuer name

IssuerNameList

Container element for one or more individual IssuerName elements.

Aggregations

IssuerName	**Required, multiples allowed**

IssuerName

This is the name of the enclosing Issuer.

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

issuerNameType	**Required**	**rixmlenum:OrganizationNameTypeEnum**

An issuer can have multiple names. Each name can be one of the following types: legal, local, display, parent, trading. Use Display if using only one issuerNameType, unless one of the other issuerNameTypes is preferred.

Subset of issuer: issuer financials

IssuerFinancialsList

Container element for one or more individual IssuerFinancials elements.

Aggregations

IssuerFinancials	**Required, multiples allowed**

IssuerFinancials

Financial data related to the issuer of a security.

Root element details

[Content added as the value of this element]	**Required**	**FinancialsType (see appendix)**

Attributes

issuerFinancialsType	**Required**	**rixmlenum:IssuerFinancialsTypeEnum**

DRAFT

Subset of issuer: identifying the protocol used for financials

ResourceLink

Attributes

type	**Required**	**rixmlenum:ResourceTypeEnum**
idRef	**Required**	**xs:string**

Subset of issuer: the Security wrapper – with just security identifiers

SecurityIDList

Container element for one or more individual SecurityID elements.

Aggregations

SecurityID	**Required, multiples allowed**

SecurityID

Used to uniquely identify the security

Attributes

idType **Required** **rixmlenum: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.

idTypePublisherDefinedValue **Optional** **xs:string**

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

idValue **Required** **xs:string**

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

marketCountryCode **Optional** **rixmlenum:ISO3166CountryType**

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

Aggregations

MarketID	**Optional**

DRAFT

Subset of issuer: the Security wrapper – with full details

SecurityList

Container element for one or more individual Security elements.

Aggregations

Security	**Required, multiples allowed**

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.

Attributes

targetPriceAction **Optional** **rixmlenum: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** **rixmlenum:EstimateActionEnum**

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** **xs:positiveInteger**

If there are multiple elements specified, 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.

isPrimary **Required** **xs:boolean**

Indicates the primary element when more than one are specified.

coverageAction **Optional** **rixmlenum: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.

ratingAction **Optional** **rixmlenum:RatingActionEnum**

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

weightingAction **Optional** **rixmlenum:WeightingActionEnum**

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

tagSource **Optional** **xs:string**

In the case of an automated tag, this tagSource attribute would hold a free-form text value indicating the publisher's name for the tagging method applied when not explicit (selected by an author or editor).

tagConfidence **Optional** **xs:decimal**

In the case of an automated tag, this tagConfidence attribute would hold a number between zero and one, with one representing perfect high confidence.

Elements

SecurityName **Optional** **xs:string**

SecurityShortName **Optional** **xs:string**

Optional short name commonly used to identify the Security.

DRAFT

Aggregations

SecurityIDList **Required**

FinancialDates **Optional**

SecurityFinancialsList **Optional**

RatingList **Optional**

WeightingList **Optional**

IndustryList **Optional**

This is the list of industries of which the Security is a participant. This is not necessarily the list of industries discussed in this ResearchProduct.

AssetClassList **Required**

This is the list of asset classes of which the Security is a participant. This is not necessarily the list of asset classes discussed in this ResearchProduct.

DRAFT

Subset of security: security financials

SecurityFinancialsList

Container element for one or more individual SecurityFinancials elements.

Aggregations

SecurityFinancials	**Required, multiples allowed**

SecurityFinancials

Describes the financials associated with a security.

Root element details

[Content added as the value of this element]	**Required**	**FinancialsType**

Attributes

securityFinancialsType	**Required**	**rixmlenum:SecurityFinancialsTypeEnum**
dilution	**Optional**	**rixmlenum:SecurityDilutionEnum**

DRAFT

Tags related to market

Market wrapper – with just market identifiers

Used in the Focus tag set or anywhere else the market identifier, without additional information, is used.

MarketIDList

Container element for one or more individual MarketID elements.

Aggregations

MarketID	**Required, multiples allowed**

MarketID

Element just for identifying a Market, without any additional information.

Attributes

marketCode	**Required**	**rixmlenum: ISO10383MarketType**

ISO 10383 Market Identifier Code (MIC) used to precisely identify the exchange upon which the security trades.

Market wrapper – with full details

MarketList

Container element for one or more individual Market elements.

Aggregations

Market	**Required, multiples allowed**

Market

Used to identify a specific exchange, trading platform, regulated or non-regulated market or trade reporting facility by its ISO standard code.

Root element details

[Content added as the value of this element]	**Optional**	**xs:string**

The element value can optionally be used to supply the market name associated with the standard code for human readability and convenience.

Attributes

marketCode	**Optional**	**rixmlenum:ISO10383ExchangeType**

ISO 10383 Market Identifier Code (MIC) used to precisely identify the specific market.

DRAFT

Tags related to region

Region wrapper – with just region identifiers

Used in the Focus tag set or anywhere else the region identifier, without additional information, is used.

RegionIDList

Container element for one or more individual RegionID elements.

Aggregations

RegionID	**Required, multiples allowed**

RegionID

Element just for identifying a Region, without any additional information.

Attributes

region	**Required**	**rixmlenum:RegionEnum**
regionPublisherDefinedValue	**Optional**	**xs:string**

Region wrapper – with full details

RegionList

Container element for one or more individual Region elements.

Aggregations

Region	**Required, multiples allowed**

Region

Indicates a region discussed in the product.

Attributes

isEmerging — **Optional** — **xs:boolean**

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

region	**Required**	**rixmlenum:RegionEnum**
regionPublisherDefinedValue	**Optional**	**xs:string**
sequence	**Optional**	**xs:positiveInteger**

If there are multiple elements specified, 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.

isPrimary — **Required** — **xs:boolean**

Indicates the primary element when more than one are specified.

coverageAction — **Optional** — **rixmlenum: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.

ratingAction — **Optional** — **rixmlenum:RatingActionEnum**

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

weightingAction — **Optional** — **rixmlenum:WeightingActionEnum**

DRAFT

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

tagSource **Optional** **xs:string**

In the case of an automated tag, this tagSource attribute would hold a free-form text value indicating the publisher's name for the tagging method applied when not explicit (selected by an author or editor).

tagConfidence **Optional** **xs:decimal**

In the case of an automated tag, this tagConfidence attribute would hold a number between zero and one, with one representing perfect high confidence.

Aggregations

RatingList	**Optional**
WeightingList	**Optional**

DRAFT

Tags related to subject

SubjectList

Container element for one or more individual Subject elements.

Aggregations

Subject	**Required, multiples allowed**

Subject

Strongly recommended. Indicates a subject, or sub-topic, 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.

Attributes

subject	**Required**	**rixmlenum:SubjectEnum**

A subject, or sub-topic, discussed in this ResearchProduct.

subjectPublisherDefinedValue	**Optional**	**xs:string**

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

tagSource	**Optional**	**xs:string**

In the case of an automated tag, this tagSource attribute would hold a free-form text value indicating the publisher's name for the tagging method applied when not explicit (selected by an author or editor).

tagConfidence	**Optional**	**xs:decimal**

In the case of an automated tag, this tagConfidence attribute would hold a number between zero and one, with one representing perfect high confidence.

DRAFT

Making connections

What's the same / what's different

- V3.0 retains the *RelatedProduct* tag set, allowing publishers to indicate a connection from one research item to the next; this tag set has been enhanced to add the ability to indicate a particular IssuerID and/or SecurityID as being the issuer or security that connects the two research items.
- V3.0 introduces the ability to indicate that a research item is part of a series, provide information about the episode and the series, and to collect the list of episodes using the new Series Inventory Standard. This document contains information about the tag sets that are available within the Research Standard; the documentation for the Series Inventory Standard will be available separately in the near future.

Connecting the episodes in a series

Episode information wrapper

EpisodeList

Container element for one or more individual Episode elements.

Aggregations

Episode	**Required, multiples allowed**

Episode

Element describing a single Episode that is part of a larger Series product.

Attributes

episode **Optional** **xs:string**
Episode designation. Can be any name, such as E1 or E001.

season **Optional** **xs:string**
Season designation. Can be any name, such as S1 or S001.

episodeOrdinal **Optional** **xs:positiveInteger**
Indicates the ordinal number (i.e. numeric index) of the Episode within its season.

episodeGlobalOrdinal **Optional** **xs:positiveInteger**
Indicates the ordinal number (i.e. numeric index) of the Episode overall in the Series, across seasons.

year **Optional** **xs:gYear**
The year designation for an Episode published annually. For example, an annual REVIEW episode might be published in January 2024, but it would really be the 2023 REVIEW. This attribute can be used to tag this Episode as the 2023 piece in spite of its actual publication date.

quarter **Optional** **rixmlenum:QuarterEnum**
The quarter designation for an Episode published quarterly. For example, a quarterly REVIEW episode might be published in October, but it would really be the Q3 REVIEW. This attribute can be used to tag this Episode as the Q3 piece in spite of its actual publication date.

yearmonth **Optional** **xs:gYearMonth**
The year and month designation for an Episode published monthly. For example, a monthly REVIEW episode might be published in early June 2023, but it would really be the May 2023 REVIEW. This attribute can be used to tag this Episode as the May 2023 piece in spite of its actual publication date.

month **Optional** **xs:gMonth**
The month designation for an Episode published monthly. For example, a monthly REVIEW episode might be published in early June, but it would really be the May REVIEW. This attribute can be used to tag this Episode as the May piece in spite of its actual publication date.

DRAFT

week **Optional** **rixmlenum:WeekOfYearEnum**

The week-of-year designation for an Episode published weekly. For example, a weekly REVIEW episode might be published early in week W4 of the year, but it would really be the W3 REVIEW. This attribute can be used to tag this Episode as the W3 piece in spite of its actual publication

date **Optional** **xs:date**

The date designation for an Episode. To be used in cases where the Episodes are meant to be tagged to specific dates that my not have perfectly aligned with the actual publication dates. For example, a late publication of a weekly Episode that always come out on Thursdays can be tagged to the proper Thursday here, rather than, say, the Friday on which it was actually published.

Aggregations

Series **Required**

Contained within Episode: Series information

The Series tag set is used in the Research Standard (within the Episode tag set) and in the Series Inventory standard. Note that the authorship information within the Series tag set is at the PersonGroup level, allowing each item in a series to have the person(s) or team(s) involved in its creation to be assigned; the name of the firm publishing the item and series is contained with the Organization tag set, which is used in both standards.

Series

Used for publications issued as a Series or periodical.

Elements

Periodicity **Optional** **rixmlenum:PeriodicityEnum**

Indicates the frequency with which the Episodes of the Series are published.

SeriesName **Required** **xs:string**

Indicates the name of the Series.

SeriesID **Optional** **xs:string**

Since the name of a series may change over its lifetime, the SeriesID can be used to uniquely identify it. This tag gives the publisher the opportunity to maintain continuity in the Series across name changes.

SeriesDescription **Optional** **xs:string**

Longer-form description of the purpose of the series.

Aggregations

SeriesOwner **Optional**

Contained within Series: series owner

SeriesOwner

The PersonGroup primarily responsible for production of content in this Series.

Aggregations

PersonGroup **Required**

DRAFT

Tags related to related products

The RelatedProduct wrapper

RelatedProductList

Container element for one or more individual RelatedProduct elements.

Aggregations

RelatedProduct	**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.

Attributes

relatedProductID **Required** **xs:string**

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

relationshipType **Required** **rixmlenum:ProductRelationshipType**

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

Elements

RelationshipDescription **Optional** **xs:string**

The description of the relationship between the current product and the other product to which it is related. Intended for additional descriptive detail not already covered by the relationshipType attribute.

TargetLanguage **Optional** **rixmlenum:ISO639LanguageType**

For relationsihpType of TranslationOf, this is the specific language to which the original ResearchProduct was translated.

Aggregations

SecurityID **Optional**

For relationshipTypes that call for a Security specifier (such as Model, IndustryReport, or InitiationReport) use a SecurityID.

IssuerID **Optional**

For relationshipTypes that call for an Issuer specifier (such as Model, IndustryReport, or InitiationReport) use an IssuerID.

DRAFT

Describing components & individual resources

What's the same / what's different

- At long last, the Research Standard will have the ability to provide tagging to certain components of the research item! The purpose of the *ComponentList* and *Component* tag set is to allow sub-sections of a research item – charts, graphs, paragraphs, written or audio chapters, etc. – to be described at a high level.
- The *Component* tag set does not have the full set of tags available to describe a research item; rather, we provide a subset that allows a publisher to provide the tagging necessary to allow an individual component to be found and accessed. For example, if a multi-company research report appears in a search result, the Component tag set would allow the user to find the exact chart that compares two individual companies without needing to search through the entire research item.

The component wrapper

ComponentList

Container element for one or more individual Component elements.

Aggregations

Component	**Required, multiples allowed**

Component

Element to describe a single Component published within this ResearchProduct.

Attributes

componentID **Optional** **xs:string**
A unique identifier for the Component instance.

componentType **Required** **rixmlenum:ComponentTypeEnum**
Indicates the type of the Component.

componentOrdinal **Optional** **xs:positiveInteger**
Indicates the ordinal number (i.e. numeric index) of the Component within its type within this ResearchProduct. For example, if this is Chart #7, then the ordinal number would be 7.

componentGlobalOrdinal **Optional** **xs:positiveInteger**
Indicates the ordinal number (i.e. numeric index) of the Component within this ResearchProduct, regardless of type. For example, if this is Chart #7, but Component #18 overall then the global ordinal number would be 18.

componentDirectURL **Optional** **xs:anyURI**
Indicates a direct URL to the Component, within its ResearchProduct context, on the publishers platform.

componentWidthDimension **Optional** **xs:positiveInteger**
Indicates the width dimension in pixels for Components that occupy a rectangluar block of space within the ResearchProduct. Would typically apply to Components of type Image, Photograph, Chart, and potentially others.

componentHeightDimension **Optional** **xs:positiveInteger**
Indicates the height dimension in pixels for Components that occupy a rectangluar block of space within the ResearchProduct. Would typically apply to Components of type Image, Photograph, Chart, and potentially others.

componentTimeDuration **Optional** **xs:duration**
Indicates the total time duration in hours, minutes, seconds for Components that require playback, such as those of type Audio and Video.

DRAFT

Elements

ComponentTitleList **Required** **TitleListType**
Container for one or more Title variations for the Component.

Aggregations

ComponentSourceLineList **Optional**
Container for one or more ComponentSourceLine variations for the Component.

MediaChapterList **Optional**
Container for one or more MediaChapter elements for Components that require media playback. This acts as a table of contents for Audio and Video Components.

ExpectedSearchTermList **Optional**
Container for one or more ExpectedSearchTerm elements that apply to the Component.

ContextTagList **Optional**
Container for one or more ContextTag elements that apply to the Component.

Subset of Component: Component source line

ComponentSourceLineList

Container element for one or more individual ComponentSourceLine elements.

Aggregations

ComponentSourceLine **Required, multiples allowed**

ComponentSourceLine

Line of text providing information about the source of the information presented in the Component. Often takes on the character of a footnote.

Root element details

[Content added as the value of this element] **Required** **xs:string**

Attributes

language **Optional** **rixmlenum:ISO639LanguageType**
Indicates the human language in which the element value is expressed. Overrides the language attribute on the overall RIXML instance document for this element.

includesFormatCoding **Optional** **xs:boolean**
Indicates whether or not the value includes any format coding. Limited markup permitted - HTML code for paragraph, ordered lists and unordered lists with list items, bold, underline, and italics. Default is false.

audienceType **Optional** **rixmlenum:AudienceTypeEnum**
Indicates the target audience for this variation.

audienceTypePublisherDefinedValue **Optional** **xs:string**
Indicates the target audience for this variation, only when the audienceType attribute is set to PublisherDefined.

DRAFT

Subset of Component: the tags used to describe the component or individual resources (files/URLs)

ContextTagList

Container element for one or more individual ContextTag elements that can be used to provide finer-grained context tagging on Resources and Components.

Aggregations

ContextTag	**Required, multiples allowed**

ContextTag

The top-level tags apply to the ResearchProduct as a whole. With this ContextTag element, though, we identify a subset of the full context tagging capability for use within individual Resource elements and Component elements. In these cases, we want the subset of tags to be short and limited to the most important and useful ones, such as Issuer, Security, Industry, Region, Country, AssetClass, EsgDimension, and Author.

Aggregations

IssuerID	**Optional, multiples allowed**	
SecurityID	**Optional, multiples allowed**	
IndustryID	**Optional, multiples allowed**	
RegionID	**Optional, multiples allowed**	
CountryID	**Optional, multiples allowed**	
AssetClassID	**Optional, multiples allowed**	
EsgDimensionID	**Optional, multiples allowed**	
AuthorID	**Optional, multiples allowed**	**PersonIDType**

DRAFT

Subset of Component: the tags used to define media chapters

MediaChapterList

Container element for one or more individual MediaChapter elements that can be used as a table of contents for Components types that require playback.

Aggregations

MediaChapter	**Required, multiples allowed**

MediaChapter

For Component types that require playback, such as Audio and Video, this MediaChapter element can be used as part of a table of contents that describes specific parts by start offset and title.

Aggregations

MediaChapterTitleList	**Required**	**TitleListType**

Container for one or more Title variations for the MediaChapter.

Attributes

mediaChapterTimeDuration	**Optional**	**xs:duration**

Indicates the time duration of this MediaChapter. (Not the end time offset.)

mediaChapterStartOffset	**Required**	**xs:duration**

Indicates the time offset at which this MediaChapter starts.

mediaChapterOrdinal	**Optional**	**xs:positiveInteger**

Indicates the ordinal number (i.e. numeric index) of the MediaChapter within this Component. For example, if this is Chapter #7, then the ordinal number would be 7.

mediaChapterID	**Optional**	**xs:string**

A unique identifier for the MediaChapter instance.

mediaChapterDirectURL	**Optional**	**xs:anyURI**

Indicates a direct URL to the MediaChapter, within its ResearchProduct context, on the publishers platform.

DRAFT

Ratings, Weightings, Estimates, and Actions

What's the same / what's different

- Ratings are now contained within a RatingList wrapper to enable multiples
- publisherDefinedValue has been renamed ratingPublisherDefinedValue
- Weightings are now contained within a WeightingList wrapper to enable multiples
- publisherDefinedValue has been renamed weightingPublisherDefinedValue
- Otherwise, the Rating and Weighting elements are largely unchanged
- In prior versions of the RIXML Standards Suite, coverage action, estimate action, rating action, and weighting action were attributes added to relevant Elements. These are now elements, each of which lives within its respective …List wrapper element.
- v3.0 also introduces an ActionList wrapper element to contain the CoverageActionList, EstimateActionList, RatingActionList, and WeightingActionList tag set; the ActionList element is used in various places in the Research and Coverage Updates standards.

Tags related to ratings

Note that the tags related to a ratings **action** are found in the "action list" section, below.

The Rating wrapper

RatingList

Container element for one or more individual Rating elements.

Aggregations

Rating	**Required, multiples allowed**

Rating

This is information regarding ratings. These can be about the issuer of a security or a security itself, an industry, a country, or other entities.

Attributes

timeFrame — **Optional** — **rixmlenum:TermEnum**

This is the period for which the rating is relevant, as of the date it was established by the authoring entity.

priorCurrent — **Optional** — **rixmlenum:PriorCurrentTypeEnum**

Used to indicate whether the rating is current or prior (current is the default). Prior is only used to give reference for a change from a prior rating. 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.

relationship — **Optional** — **rixmlenum:RatingRelationshipEnum**

Provides a context for the rating.

volatile — **Optional** — **xs:boolean**

Indicates the volatility of the rated entity.

volatilityRisk — **Optional** — **rixmlenum:RatingVolatilityRiskEnum**

An indication of the potential price fluctuation of the rated entity.

rating — **Required** — **rixmlenum:RatingEnum**

The actual rating as issued by the authoring entity.

ratingPublisherDefinedValue — **Optional** — **xs:string**

Used to specify the publisher's own rating expression when the rating attribute value is set to PublisherDefined.

DRAFT

ratingDateTime **Optional** **xs:dateTime**

Permits tagging a rating with the publication date/time, in case it differs from the publicaton date/time of the research payload. 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.

ratingType **Optional** **rixmlenum:RatingTypeEnum**

Permits tagging a rating with an additional type that provides more information about the meaning behind the rating.

aspect **Optional** **rixmlenum:RatingAspectEnum**

Permits tagging a rating with the aspect of the rated entity addressed by the rating itself.

ratingAction **Optional** **rixmlenum:RatingActionEnum**

Highlights an action taken by the publisher. Indicates that the publisher is changing their rating on the entity enclosing this Rating element. This is the preferred location for ratingAction specifiers, as opposed to within the corresponding attributes of the enclosing rated entity. In this manner, a ratingAction specifier applies to the rating element itself, permitting multiple ratings of the same entity to have independent corresponding actions.

Aggregations

RatingEntity **Required**

Elements

Description **Optional** **xs:string**

A description of the rating. May include time horizon.

Contained within Rating: rating entity information

RatingEntity

The rating entity featured in the research item. This may be a publisher or an independent agency.

Attributes

ratingEntity **Required** **rixmlenum:RatingEntityEnum**

ratingEntityPublisherDefinedValue **Optional** **xs:string**

Used when the ratingEntity value is PublisherDefined.

DRAFT

Tags related to weighting

What's the same / what's different

- Weightings are now contained within a WeightingList wrapper to enable multiples
- publisherDefinedValue has been renamed weightingPublisherDefinedValue
- Otherwise, the Weighting element is largely unchanged

Note that the tags related to a weighting **action** are found in the "action list" section, below.

WeightingList

Container element for one or more individual Weighting elements.

Aggregations

Weighting	**Required, multiples allowed**

Weighting

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

Attributes

timeFrame **Optional** **rixmlenum:TermEnum**

This is the period for which the weighting is relevant, as of the date it was established by the authoring entity.

priorCurrent **Optional** **rixmlenum: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** **rixmlenum:WeightingEnum**

The actual weighting as issued by the authoring entity.

weightingPublisherDefinedValue **Optional** **xs:string**

Used to specify the publisher's own weighting expression when the weighting attribute value is set to PublisherDefined.

Elements

Description **Optional** **xs:string**

A description of the weighting. May include time horizon.

DRAFT

Tags related to action list information

What's the same / what's different

- In prior versions of the RIXML Standards Suite, coverage action, estimate action, rating action, and weighting action were attributes added to relevant Elements. These are now elements, each of which lives within its respective ...*List* wrapper element.
- V3.0 also introduces an *ActionList* wrapper element to contain the *CoverageActionList*, *EstimateActionList*, *RatingActionList*, and *WeightingActionList* tag set; the ActionList element is used in various places in the Research and Coverage Updates standards.

The overall Action wrapper element

ActionList

Container element for zero or more finer-grained ActionList elements.

Aggregations

WeightingActionList	**Optional**
RatingActionList	**Optional**
EstimateActionList	**Optional**
CoverageActionList	**Optional**

Contained within ActionList: coverage action information

CoverageActionList

Container element for one or more individual CoverageAction elements.

Aggregations

CoverageAction	**Required, multiples allowed**

CoverageAction

Describes a coverage action, indicating a change in coverage announced in this ResearchProduct.

Attributes

coverageAction	**Required**	**rixmlenum:CoverageActionEnum**

Indicates the specific type of coverage action, such as Initiate or Drop, that applies to all the listed targets.

Aggregations

IssuerIDList	**Optional**
SecurityIDList	**Optional**
IndustryIDList	**Optional**
CountryIDList	**Optional**
RegionIDList	**Optional**

DRAFT

Contained within ActionList: estimate action information

EstimateActionList

Container element for one or more individual EstimateAction elements.

Aggregations

EstimateAction	**Required, multiples allowed**

EstimateAction

Describes a estimate action, indicating a change in estimate announced in this ResearchProduct.

Attributes

estimateAction	**Required**	**rixmlenum:EstimateActionEnum**

Indicates the specific type of estimate action, such as Upgrade or Downgrade, that applies to all the listed targets.

Aggregations

SecurityIDList	**Optional**

Contained within ActionList: rating action information

RatingActionList

Container element for one or more individual RatingAction elements.

Aggregations

RatingAction	**Required, multiples allowed**

RatingAction

Describes a rating action, indicating a change in rating announced in this ResearchProduct.

Attributes

ratingAction	**Required**	**rixmlenum:RatingActionEnum**

Indicates the specific type of rating action, such as Upgrade or Downgrade, that applies to all the listed targets.

Aggregations

IssuerIDList	**Optional**
SecurityIDList	**Optional**
IndustryIDList	**Optional**
CountryIDList	**Optional**
RegionIDList	**Optional**

DRAFT

Contained within ActionList: weighting action information

Note that WeightingAction includes the ability to add weighting information for asset classes and ESG dimensions in addition to the options available in coverage and rating.

WeightingActionList

Container element for one or more individual WeightingAction elements.

Aggregations

WeightingAction	**Required, multiples allowed**

WeightingAction

Describes a weighting action, indicating a change in weighting announced in this ResearchProduct.

Aggregations

IssuerIDList	**Optional**
SecurityIDList	**Optional**
IndustryIDList	**Optional**
CountryIDList	**Optional**
RegionIDList	**Optional**
AssetClassIDList	**Optional**
EsgDimensionIDList	**Optional**

Attributes

weightingAction	**Required**	**rixmlenum:WeightingActionEnum**

Indicates the specific type of weighting action, such as Increase or Decrease, that applies to all the listed targets.

DRAFT

Special-use tags

There are some tag sets used within the standards that are either used in many places or are only used in particular circumstances. Because these tags to not fit neatly into the prior chapters, we are collecting them here.

Tags related to financial information

What's the same / what's different

- Within the FinancialValue tag set, the EstimateEnum has been renamed EstimateActionEnum; the FinancialValue tag set now lives within a FInancialValueList wrapper, allowing for multiple instances of this tag; tags formerly using RIXML *YesNo* tag now use xs:Boolean; and the currency information is now housed in a *CurrencyType* tag set.
- As in prior versions, financial information is communicated through the *FinancialsType* tag set, which is used in both the *Issuer* and the *Security* tag sets.

Financial dates

FinancialDates

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

Attributes

lastReportedPeriod **Optional** **rixmlenum:PeriodEnum**

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

lastReportedYear **Optional** **xs:integer**

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

reportingDate **Optional** **xs:dateTime**

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.

DRAFT

Contained within Financials: financial values

FinancialValueList

Container element for one or more individual FinancialValue elements.

Aggregations

FinancialValue	**Required, multiples allowed**

FinancialValue

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

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

estimateActual **Required** **rixmlenum:EstimateActualEnum**

Indicates whether a financial figure is actual or estimated.

period **Optional** **rixmlenum:PeriodEnum**

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

periodEnd **Optional** **xs:dateTime**

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

periodYear **Optional** **xs: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** **xs:duration**

Time duration that is being addressed.

dateTime **Optional** **xs:dateTime**

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.

estimateAction **Optional** **rixmlenum:EstimateActionEnum**

If this financial value is an estimate, the estimateAction attribute can be used to indicate an action, such as reiterate or upgrade, that applies to this estimate. Intended to provide support for the case where an author is including more than one estimate action in the same report -- for example, reiterating the current fiscal year estimate and upgrading the next fiscal year estimate.

DRAFT

Increasing findability via Expected Search Terms

What's the same / what's different

- The Keyword and KeywordClassifications have been renamed ExpectedSearchTerm and ExpectedSearchTermList.
- ExpectedSearchTerms can now indicate the language.

ExpectedSearchTermList

Container element for one or more individual ExpectedSearchTerm elements.

Aggregations

ExpectedSearchTerm	**Required, multiples allowed**

ExpectedSearchTerm

In order to improve discoverability of content for which the most likely search terms are not in any existing enumerations, this ExpectedSearchTerm element gives publishers the opportunity to anticipate how consumers will try to find this content and specify free-form terms that best mate with the ResearchProduct or Component. Each ExpectedSearchTerm represents a compound term (single or multi-word term).

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

language	**Optional**	**rixmlenum:ISO639LanguageType**

Indicates the human language in which the element value is expressed. Overrides the language attribute on the overall RIXML instance document for this element.

DRAFT

Tags related to event information

What's the same / what's different

- We recommend use of the Interactions standard for capturing event details; however, we are retaining this tag set in v3.0 at the request of a member firm, as removing it would pose a significant challenge at this point. This tag set remains largely the same as in v2.5.

Event wrapper

EventDetails

Provides the necessary information when the Product is actually describing an event.

Elements

EventType	**Required**	**rixmlenum:EventTypeEnum**
EventSponsor	**Required**	**rixmlenum:OrganizationTypeEnum**

Aggregations

EventVenue	**Optional**
EventHost	**Optional**
RegistrationInformation	**Optional**
ContactInfoList	**Optional**

Contained within Event: event venue

EventVenue

Indicates the venue -- can by physical (one-on-one meeting) or virtual (conference call or webcast). Strongly recommended for a location-based event. Required when ResearchProduct.isEvent=True or ResearchProduct.FormList.Form.form=Event.

Aggregations

OrganizationList	**Optional**
EventDateList	**Optional**
EntitlementList	**Optional**
ContactInfoList	**Optional**

Attributes

type	**Required**	**rixmlenum:EventVenueTypeEnum**

Contained within Event: event host

EventHost

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

Aggregations

OrganizationList	**Required**

DRAFT

Contained within Event: registration information

RegistrationInformation

Registration information relating to an event.

Aggregations

OrganizationList	**Optional**

Contained within Event Venue: dates related to the event

EventDateList

Container element for one or more individual EventDate elements.

Aggregations

EventDate	**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.

Root element details

[Content added as the value of this element]	**Required**	**xs:string**

Attributes

type	**Required**	**rixmlenum:EventDateTypeEnum**

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

DRAFT

Tags related to specialty

The Specialty wrapper

SpecialtyList

Container element for one or more individual Specialty elements.

Aggregations

Specialty	**Required, multiples allowed**

Specialty

Area of specialty associated with an organization that publishes research.

Attributes

specialty	**Required**	**rixmlenum:SpecialtyEnum**

Contained within Specialty: publishing language

PublishingLanguageList

Container element for one or more individual PublishingLanguage elements..

Aggregations

PublishingLanguage	**Required, multiples allowed**

PublishingLanguage

A specific language in which an organization publishes research with some frequency and fluency.

Attributes

publishingLanguage	**Required**	**rixmlenum:ISO639LanguageType**

Restricted by ISO 639 standard.

DRAFT

Appendix: Named Types

Named type: PersonIDType

The PersonIDType is defined as a named type in the RIXML standards to facilitate its reuse as the AuthorID attached to individual components within a research item in addition to being used here within the Person element. The expectation is that the full person/author information – including name and unique ID - will be provided within the Person element, then the uniqueID will be provided in the AuthorID in the component area to indicate the authorship of the individual component (when desired).

PersonIDType

Root element details

[Content added as the value of this element] **Required** **xs:string**

The full display name of the Person can be added here for human readability and convenience, but the personID attribute is the actual identifier.

Attributes

personID **Required** **xs:string**

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. GUID recommended.

Named type: TitleList

TitleList is defined by theTitleListType named type, because it is used in multiple places in the Research standard:

- as described in the paragraph above, a RIXML Research file may contain references to more than one associated files or research items (called *Resources*); in this case, the main Research record will have a TitleList tag set (shown in the following section)
- The ComponentTitleList, which contains the titles of one or more components within a research item, also used this named type
- The MediaChapterTitleList, which contains the titles of one or more chapters within a research item, also uses this named type

TitleListType

Container type for one or more individual Title elements.

Aggregations

Title **Required, multiples allowed**

Named type: FinancialsType

FinancialsType

Attributes

gaapType **Optional** **rixmlenum:FinancialStatementGAAPTypeEnum**

Generally Accepted Accounting Principles.

restated **Optional** **xs:boolean**

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

DRAFT

proForma **Optional** **xs:boolean**
A hypothetical financial model based on a set of assumptions.

financialsTypePublisherDefinedValue **Optional** **xs:string**
displayName **Optional** **xs:string**
If a publisher-defined value, or a value defined by RIXML but the publisher wishes to call the value by another name (e.g., Turnover instead of Sales), this attribute should be used to provide the desired value name.

yearType **Optional** **rixmlenum:YearTypeEnum**
Indicates whether the year specified is a fiscal year or calendar year

priorCurrent **Optional** **rixmlenum: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.

Elements

Source **Optional** **xs:string**
Free-text tag to indicate the source of the numbers. Example: the name of the company that provides the consensus figures.

Aggregations

Currency **Optional**
Indicates the currency of the issuer financials.

FinancialValueList **Required**

Named type: IndustryIDListType

IndustryIDListType
Container type for one or more individual IndustryID elements.

Aggregations

IndustryID **Required, multiples allowed**

Named type: AssetClassIDListType

AssetClassIDListType
Container type for one or more individual AssetClassID elements.

Aggregations

AssetClassID

Named type: ESGDimensionIDListType

EsgDimensionIDListType
Container type for one or more individual EsgDimensionID elements.

Aggregations

EsgDimensionID **Required, multiples allowed**

DRAFT

Appendix: Attribute Groups

A note about attribute groups

To improve efficiency in the XSD files, we have employed the use of attribute groups for certain sets of attributes, as listed here. Because any actual RIXML record will have the relevant individual attributes contained within an attribute group, the name of the attribute group will never actually appear in an RIXML instance file (the tagging file that travels along with a research item). We are listing the 6 attribute groups and the attributes each contains here; however, in the documentation, we list the attributes out separately rather than simply listing the name of the attribute group. We feel that readers of this documentation would prefer to see the list of attributes along with the other attributes, rather than being forced to look for the information elsewhere in the documentation.

actionAttributeGroup

AttributeGroup for rating, coverage and weighting actions

Attributes

ratingAction **Optional** **rixmlenum:RatingActionEnum**

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

coverageAction **Optional** **rixmlenum: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.

Attribute groups

weightingAttributeGroup **Optional**

automatedTaggingAttributeGroup

AttributeGroup for elements that could be automatically populated, such as via some kind of Artificial Intelligence (AI) model. These attributes will help publishers to distinguish between explicit taggging and automated tagging.

Attributes

tagSource **Optional** **xs:string**

In the case of an automated tag, this tagSource attribute would hold a free-form text value indicating the publisher's name for the tagging method applied when not explicit (selected by an author or editor).

tagConfidence **Optional** **xs:decimal**

In the case of an automated tag, this tagConfidence attribute would hold a number between zero and one, with one representing perfect high confidence.

DRAFT

episodeAttributeGroup

AttributeGroup for Episode elements. Note that attributes for year, quarter, yearmonth, and month, week, and date would commonly be derivable from the publication date of the ResearchProduct. However, in some cases, publication of an Episode might lag the time period it discusses. These attributes can be used to override the publication date when presented to consumers in the context of the Series.

Attributes

episode **Optional** **xs:string**

Episode designation. Can be any name, such as E1 or E001.

season **Optional** **xs:string**

Season designation. Can be any name, such as S1 or S001.

episodeOrdinal **Optional** **xs:positiveInteger**

Indicates the ordinal number (i.e. numeric index) of the Episode within its season.

episodeGlobalOrdinal **Optional** **xs:positiveInteger**

Indicates the ordinal number (i.e. numeric index) of the Episode overall in the Series, across seasons.

year **Optional** **xs:gYear**

The year designation for an Episode published annually. For example, an annual REVIEW episode might be published in January 2024, but it would really be the 2023 REVIEW. This attribute can be used to tag this Episode as the 2023 piece in spite of its actual publication date.

quarter **Optional** **rixmlenum:QuarterEnum**

The quarter designation for an Episode published quarterly. For example, a quarterly REVIEW episode might be published in October, but it would really be the Q3 REVIEW. This attribute can be used to tag this Episode as the Q3 piece in spite of its actual publication date.

yearmonth **Optional** **xs:gYearMonth**

The year and month designation for an Episode published monthly. For example, a monthly REVIEW episode might be published in early June 2023, but it would really be the May 2023 REVIEW. This attribute can be used to tag this Episode as the May 2023 piece in spite of its actual publication date.

month **Optional** **xs:gMonth**

The month designation for an Episode published monthly. For example, a monthly REVIEW episode might be published in early June, but it would really be the May REVIEW. This attribute can be used to tag this Episode as the May piece in spite of its actual publication date.

week **Optional** **rixmlenum:WeekOfYearEnum**

The week-of-year designation for an Episode published weekly. For example, a weekly REVIEW episode might be published early in week W4 of the year, but it would really be the W3 REVIEW. This attribute can be used to tag this Episode as the W3 piece in spite of its actual publication

date **Optional** **xs:date**

The date designation for an Episode. To be used in cases where the Episodes are meant to be tagged to specific dates that my not have perfectly aligned with the actual publication dates. For example, a late publication of a weekly Episode that always come out on Thursdays can be tagged to the proper Thursday here, rather than, say, the Friday on which it was actually published.

DRAFT

sequencingAttributeGroup

AttributeGroup for the isPrimary and sequence attributes used to indicate an order of individual elements when multiple are present.

Attributes

sequence **Optional** **xs:positiveInteger**

If there are multiple elements specified, 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.

isPrimary **Required** **xs:boolean**

Indicates the primary element when more than one are specified.

titleAttributeGroup

(note: this has been added to title, subtitle, abstract, and synopsis but NOT to file title yet)

Attributes

language **Optional** **rixmlenum:ISO639LanguageType**

Indicates the human language in which the element value is expressed. Overrides the language attribute on the overall RIXML instance document for this element.

includesFormatCoding **Optional** **xs:boolean**

Indicates whether or not the value includes any format coding. Limited markup permitted - HTML code for paragraph, ordered lists and unordered lists with list items, bold, underline, and italics. Default is false.

audienceType **Optional** **rixmlenum:AudienceTypeEnum**

Indicates the target audience for this variation.

audienceTypePublisherDefinedValue **Optional** **xs:string**

Indicates the target audience for this variation, only when the audienceType attribute is set to PublisherDefined.

weightingAttributeGroup

Attribute group for weighting action alone

Attributes

weightingAction **Optional** **rixmlenum:WeightingActionEnum**

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

DRAFT

Appendix: Enumeration Lists

Note that the enumeration lists have not been reviewed or updated yet; consider the below to be placeholders.

PhoneTypeEnum

- Voice
- Text
- VoiceAndText
- Fax

IssuerTypeEnum

- Agency
- Municipality
- Sovereign
- Corporate
- MutualFund
- REIT
- Exchange
- Supranational

ContactInfoNatureEnum

- Personal
- Business

ProductFormEnum

- Comment
- Report
- Model
- Chart
- Compilation
- Presentation
- Event
- Primer
- Directory
- Glossary
- Overview
- EventInvitation
- PostEventSummary
- Podcast
- Interview
- PanelDiscussion
- ExhibitExplainer
- EventRecording
- Marketing
- TrainingMaterial
- PublisherDefined

DRAFT

ProductMediumEnum

Written
Audio
Video
Interactive
Mixed

ComponentTypeEnum

Text
Section
Chapter
Chart
Table
Audio
Video
Photograph
Image
Interactive
Other

PublishingActionTypeEnum

Pending
Revised
Recalled
Deleted
Published
Rebroadcast
Released
BackFilled
TagsUpdated
RevisedMaterialChange
RevisedNoMaterialChange

AudienceTypeEnum

Institutional
PrivateClient
Corporate
Government
Educational
Retail
Press
Prospect
Trading
SalesForce
Shareholder
BuySide
Public
QualifiedInstitutionalBuyer
CorrespondentBroker
SellSide
Client
InvitationOnly
PublisherDefined

DRAFT

DisciplineTypeEnum

Investment
Strategy
Economics

ResearchApproachEnum

Fundamental
Quantitative
Technical

EsgDimensionEnum

ESG
Environment
Social
Governance
ESGPlaceHolder01
ESGPlaceHolder02
ESGPlaceHolder03
ESGPlaceHolder04
ESGPlaceHolder05
ESGPlaceHolder06
ESGPlaceHolder07
ESGPlaceHolder08
ESGPlaceHolder09
ESGPlaceHolder10
PublisherDefined

AssetClassEnum

Equity
FixedIncome
Currency
Commodity
RealEstate
DigitalAsset
Stock
Convertible
USTreasuries
SovereignCredit
AgencyCredit
MoneyMarketCredit
CorporateInvestmentGradeCredit
CorporateHighYieldCredit
MortgageBackedCredit
MunicipalCredit
AssetBackedCredit
EmergingMarketsSovereign
EmergingMarketsCredit
SupranationalCredit
CollateralizedDebtObligations
Credit
ProvincialRegionalCredit

DRAFT

Loans
CoveredBond
Derivatives
FinancialFutures
EquityFunds
BondFunds
MoneyMarketFunds
CountryFunds
BalancedFunds
CurrencyCash
CurrencyDerivatives
CurrencyFutures
Cryptocurrency
CommodityFunds
InterestRates
IslamicFinancing
StructuredProducts
Energy
PreciousMetals
IndustrialMetals
Agriculture
Environment
Livestock
Bonds
DiscountNotesAndBills
FixedRateNotes
FloatingRateNotes
MediumTermNotes
CommercialPaper
BankerAcceptances
Deposits
EuroBonds
EuroDenominatedNotes
InflationLinkedBonds
Strips
Repo
SamuraiNotes
YankeeNotes
ConvertiblePreferred
ConvertibleStructured
Warrants
Futures
Swaps
Options
Swaptions
StructuredNotes
PrivatePlacements144A
Common
Preferred
ADRGDR
ClosedEndFund
OpenEndFund
Gold
Silver

DRAFT

Steel
Aluminum
Platinum
Copper
Soybeans
Wheat
Corn
Coffee
Cocoa
OrangeJuice
Cotton
Sugar
Livestock
JetFuel
Gasoline
Gas
Crude
Electricity
EuroDollars
GermanPfandbrief
FrenchObligationsFoncieres
SpanishCedulaHipotecaria
LuxembourgLettresDeGage
REITS
ETF
Genussescheine
ParticpationCertificates
BulldogBonds
AssetBackedCommercialPaper
EuroCommercialPaper
CertificateOfDeposit
Index
InterbankOfferRateFixings
BuildAmericaBonds
GeneralObligationBonds
RevenueBonds
TreasuryBills
TreasuryNotes
TreasuryBonds
TreasuryInflationProtectedSecurities
TaxableMunicipalBonds
NonTaxableMunicipalBonds
ConsumerAssetBackedSecurities
CollateralizedMortgageObligations
CommercialMortgageBackedSecurities
ResidentialMortgageBackedSecurities
AgencyMortgageBackedSecurities
CMBX
PlannedAmortizationClassBonds
TargetAmortizationClassBonds
AgencyPassThroughSecurities
MortgagePassThroughSecurities
CreditLinkedNotes
VariableRateDemandNotes

DRAFT

CurrencySwaps
CreditDefaultSwaps
AssetSwaps
EquitySwaps
TotalReturnSwaps
InterestRateSwaps
PropertySwaps
ForwardRateAgreements
ForeignCurrencyFutures
EquityIndexFutures
InterestRateFutures
SingleStockFutures
PublisherDefined

IssuerSecurityIDTypeEnum

CUSIP
SEDOL
ISIN
Bloomberg
RIC
QUIK
Valoren
CINS
Sicovam
IBES
Worldscope
FirstCall
ThomsonPermId
WPKDE
WPKAT
CommonCode
ExchangeTicker
DUNS
LegalEntityIdentifier
PublisherDefined

ProductRelationshipTypeEnum

BasedOn
PartOf
References
Replaces
Requires
TranslationOf
RelatedTo
Model
IndustryReport
InitiationReport

DRAFT

FocusEnum

- Industry
- Discipline
- Issuer
- Security
- Region
- Country
- AssetClass
- EsgDimension
- Index
- Subject
- Specialty
- Currency
- Market
- Unfocused

SecurityDilutionEnum

- Basic
- Primary
- Diluted

PeriodEnum

- Q1
- Q2
- Q3
- Q4
- H1
- H2
- T1
- T2
- T3
- Annual
- Stub

EstimateActualEnum

- Actual
- Estimate
- Consensus

DRAFT

SubjectEnum

AccountingAndTaxPolicy
EarningsReview
EarningsPreview
MorningCall
InitialPublicOfferings
ManagementChange
MergerAcquisitionDivestiture
FiscalPolicy
MonetaryPolicy
EconomicForecast
SecondaryPublicOfferings
Regulations
StockRepurchase
SurveyAnalysisAndResults
Politics
Event
AssetAllocation
GrowthInvestment
ValueInvestment
DebtTender
BondRedemption
BuyAndHoldInvestment
TotalReturnInvestment
CreditAnalysis
ModelPortfolio
PortfolioStrategy
PrepaymentAnalysis
ProprietaryIndex
Recommendations
RelativeValue
SpreadAnalysis
TradeIdea
Refunding
Privatization
VentureCapital
Yields
OutlookShortTerm
OutlookLongTerm
Covenants
Inflation
ReleaseAnalysis
Geopolitics
SmallCap
MidCap
LargeCap
PublisherDefined

DRAFT

SecurityFinancialsTypeEnum

- EarningsPerShare
- CashFlowPerShare
- TargetPrice
- Price
- SupportPrice
- ResistancePrice
- PriceToEarningsPerShare
- PriceToBookValuePerShare
- PriceToSales
- BookValuePerShare
- GrossYield
- DividendYield
- Float
- SharesOutStanding
- DividendPerShare
- 52WeekHigh
- 52WeekLow
- FundsFromOperations
- EBITDAPerShare
- FreeCashFlowPerShare
- TangibleBookValuePerShare
- PublisherDefined

PriorCurrentTypeEnum

- Current
- Prior

YearTypeEnum

- Fiscal
- Calendar

PeriodicityEnum

- Hourly
- IntraDay
- Daily
- Weekly
- EveryTwoWeeks
- Monthly
- Quarterly
- SemiAnnually
- Annually
- Irregularly

LengthUnitEnum

- Pages
- TimeUnit

DRAFT

CoverageActionEnum

- Initiate
- Suspend
- Drop
- Resume

RatingActionEnum

- Upgrade
- Reiterate
- Downgrade
- Initiate
- Drop
- Revise
- NewRating
- Affirmed
- PositiveOutlook
- NegativeOutlook
- ReviewForUpgrade
- ReviewForDowngrade
- ReviewDirectionUncertain
- RatingWithdrawn
- RatingRestored
- Refresh
- Restricted

EstimateActionEnum

- Revision
- Upgrade
- Reiterate
- Downgrade

WeightingActionEnum

- Increase
- Decrease
- Update
- Reiterate

TargetPriceEnum

- Increase
- Decrease
- Update
- Reiterate

OrganizationNameTypeEnum

- Legal
- Local
- Display
- Trading
- Parent

DRAFT

RegionEnum

Africa
AsiaExJapan
Australasia
Europe
Japan
LatinAmerica
MiddleEast
NorthAmerica
Oceania
Caribbean
Americas
EMEA
AsiaPacific
Global
PublisherDefined

IndustryTaxonomyEnum

GICS
ICB
TRBC
FactSet
PublisherDefined

IssuerFinancialsTypeEnum

Revenue
Earnings
MarketCap
AfterTaxCashFlow
EBITDA
NetOperatingIncome
ReturnOnEquity
CapitalExpenditure
EnterpriseValue
GrossProfitMargin
LongTermGrowthRate
NetAssetValue
NetDebt
PreTaxEarnings
ReturnOnAssets
PublisherDefined

ContactInfoPurposeEnum

Participation
Replay
Operator
QuestionAnswer
Registration

DRAFT

WeightingEnum

- OverWeight
- UnderWeight
- EqualWeight
- PublisherDefined

TermEnum

- ShortTerm
- LongTerm

RatingEntityEnum

- Moodys
- SandP
- Fitch
- AMBestCompanyUSA
- Publisher
- PublisherDefined

PhoneLocationEnum

- Office
- Home
- Mobile

OrganizationTypeEnum

- SellSideFirm
- BuySideFirm
- Corporation
- IndustryAssociation
- AcademicInstitution
- Government
- RatingAgency
- MarketResearchFirm
- IndependentResearchProvider
- Consultancy
- Regulatory
- MarketingAgency
- WealthManager
- PublisherDefined

RoleEnum

- Author
- Publisher
- Host
- Sponsor
- Coordinator
- Attendee
- Participant
- Speaker
- SalesContact
- IRContact
- PublisherDefined

DRAFT

EventTypeEnum

- IndustryConference
- CountryRegionConference
- SeminarConference
- ThematicConference
- TradeShowConference
- Conference
- AnnualShareholderMeeting
- IPO
- EarningsRelease
- EarningsReleaseDiscussion
- EarningsGuidancePreliminaryDiscussion
- SpecialShareholdersMeeting
- CorporateActionCommentary
- RoadShow
- GovernmentMeeting

EventVenueTypeEnum

- ConferenceCall
- OneOnOneMeeting
- GroupMeeting
- Webcast
- WrittenRelease
- InternetAudio
- InternetVideo
- MediaAppearance
- Transcript
- Brief
- Podcast
- Interview
- Panel

EventDateTypeEnum

- StartDate
- EndDate
- RegistrationDeadlineDate
- ExpirationDate
- PricingDate
- FilingDate
- LockupDate
- WithdrawalDate
- QuietPeriodEndDate

IndexTypeEnum

- Market
- Industry
- Country
- Region

DRAFT

RatingEnum

- PositiveSentiment
- NeutralSentiment
- NegativeSentiment
- NoRating
- TopRating
- VirtuallyCertain
- GoodAbility
- Satisfactory
- IncreasingSpeculative
- Doubtful
- InDefault
- PublisherDefined

RatingRelationshipEnum

- CoverageUniverse
- Industry
- Market
- ExpectedTotalReturn
- AbsoluteReturn

RatingVolatilityRiskEnum

- High
- Medium
- Low

FinancialStatementGAAPTypeEnum

- GAAPUS
- GAAPLocal
- GAAPIAS
- AnalystAdjustedNonGAAP

RatingTypeEnum

- Rating
- Watch
- Outlook

RatingAspectEnum

- Investment
- Credit
- Risk
- Volatility
- Valuation
- Management
- ESG
- Environmental
- Social
- Governance
- Fundamentals
- Technical
- Strategy
- Quantitative
- Moat

DRAFT

SpecialtyEnum

FundamentalGeneralEquity
FundamentalCreditAnalysis
FundamentalSectorSpecialist
EconomicGeneral
EconomicCapitalFlows
EconomicCountryPolitical
EconomicGovernmentLegislative
InvestmentStrategy
Technical
Commodity
CorporateGovernance
DistressedBankruptcy
ESG
Forensic
IndustryConsultant
InsiderAnalysis
IPOAnalysis
LitigationAnalysis
ManagementQuality
MergerRiskArbitrage
OutsourcedResearch
PatentAnalysis
ShortIdeas
SpinoffAnalysis
ChannelChecking
DataMining
ExpertNetworks
Investigative
ManagementAccess
Surveys
Quantitative
CreditDefault
EVA
FinancialModels
Valuation
SmallCap
MidCap
LargeCap
IndependentResearch
MarketResearch
QualityOfEarnings

ResourceTypeEnum

XBRL

DRAFT

ActionEnum

View
ViewOffline
Save
Download
BatchDownload
Print
BatchPrint

QuarterEnum

Q1
Q2
Q3
Q4

WeekOfYearEnum

W1
W2
W3
W4
W5
W6
W7
W8
W9
W10
W11
W12
W13
W14
W15
W16
W17
W18
W19
W20
W21
W22
W23
W24
W25
W26
W27
W28
W29
W30
W31
W32
W33
W34
W35
W36
W37

DRAFT

W38
W39
W40
W41
W42
W43
W44
W45
W46
W47
W48
W49
W50
W51
W52

ISO639LanguageType

Length = 3
Pattern = [a-z]{3}

ISO3166CountryType

Length = 2
Pattern = [A-Z]{2}

ISO4217CurrencyType

Length = 3
Pattern = [A-Z]{3}

ISO10383MarketType

Length = 4
Pattern = [A-Z0-9]{4}

DRAFT