Importing an Information Table from a file

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The 13F software contains a set of functions to import data from an external file into a Form 13F-HR submission. Most frequently, these tools will be used to import data into the information table of the 13F-HR submission. However, depending on the source of the data, you may be able to import other information and form data.

The following file formats can be imported into the information table:

CSV (comma-separated values file)

CSV is a simple, common format for moving tabular data from one place to another. Most spreadsheet and database software has the ability to export or save as CSV, making it an ideal format for importing information table data into your filing. CSV can be imported into three places in your submission: the *List of Other Managers Reporting for this Manager*, the *List of Other Included Managers*, and the 13F Information Table. This article covers how to import data into the *13F Information Table*.

When importing from CSV, your data does not require a heading row. The Import function will import information based on the order of the columns if no heading row is present.

If you want to always be certain that your CSV data will import with the data in the correct columns in the 13F, then you should add a heading row to the CSV file. This can be done using a spreadsheet editor like Excel or even by opening the CSV file in a text editor and manually adding a heading row. Different heading keywords will be used to identify each column. For the Import function to identify a column of data, the keywords must be present in the heading. If more than one keyword entry is listed for a column, you can use any of the listed keyword entries to represent that column. Additional words can be used in the heading for your own organizational purposes. That data will be ignored on import, provided it does not contain other keywords. The keywords for the information table are as follows:

Information Table Column	Associated Keyword(s)
Name of Issuer	Name
Title of Class	Title Class
CUSIP	CUSIP
Value (x$1000)	Value (x$1000) (x $1000) (x1000) (x 1000)

Shares/Prn Amount	Sh/Prn Amount
	Sh/Prn Amt
	Shares Amount
	Shares Amt
	Shrs Amount
	Shrs Amt
	Prn Amount
	Prn Amt
Sh/Prn	Sh/Prn
	Shares/Prn
	Shares
	Shrs
	Prn
Put/Call	Put/Call
	Put
	Call
Investment Discretion	Investment Discretion
Other Managers	Other Managers Mgrs
Voting Authority – Sole	Sole
Voting Authority – Shared	Shared
Voting Authority – None	None

Once you have a CSV file prepared for import:

1. Navigate to the information table by clicking on *Information Table* in the left navigation of your submission.
2. Click **File > Import > Import CSV From File**.

3. Select the CSV file in the dialog that appears and press Open.

4. The Information View will appear with a log of the import process. All entries in the selected CSV file will be appended to the end of the information table in your submission.

The Form 13F-HR Assistant will use CSV as the data file when creating a new 13F-HR submission. If you want to use a data file, you can structure your CSV file as described above.

TXT (Text document)
HTML (HTML document)
DOC or DOCX (Microsoft Word document)

A textual document can also be imported into your information table. This can be a plain text document or a rich text document. While the most versatile import option for the information table, importing from a textual data source is largely dependent on the quality of the source document in terms of formatting and style.

Importing from Plain Text

Text files are generated by various systems for the specific purpose of reporting to the SEC. A text document can use EDGAR tagging or simple formatting to denote the columns of your information table. If your document has EDGAR tagging, you can use the EDGAR and tags to determine each of the columns. The table in the text document must have a total of 12 columns, or the import function will fail. This means that the table must have exactly one column marked as the stub () and 11 columns marked as columns (). If you fail to use the tag or exclude a tag, the import will fail.

Below is an example of a text file with the appropriate EDGAR table tagging. Note that our example shows only one row of data; you can import a table with hundreds of rows provided that the table is well-formed.

```
<TABLE>
                                                   FORM 13F INFORMATION TABLE
                                           VALUE    SHARES/   SH/ PUT/ INVSTMT    OTHER         VOTING AUTHORITY
          NAME OF ISSUER         TITLE OF CLASS   CUSIP  (x$1000) PRN AMT  PRN CALL DSCRETN  MANAGERS      SOLE    SHARED    NONE
------------------------------  ---------------- -------- -------- -------- --- ---- ------- ------------ -------- -------- --------
<S>                             <C>              <C>     <C>      <C>      <C> <C> <C>      <C>          <C>      <C>      <C>
Example Issuer                  COM              123456AA1  4321    12345 SH      Sole                     12345             1234
```

When importing plain text with EDGAR tagging, make certain that:

1. There are 12 columns: one stub and 11 columns. Columns with no data are still denoted by the tag.

2. There is a space between each column.

3. The data for each column is clearly located within one column and does not exceed the width set for the column as indicated by the position of the next (with its preceding space).

If your text file does not contain the EDGAR table tagging, you can still attempt to use the import function. The import function will analyze the file and search for a table that exceeds 80 characters in width. Once it locates such a table, the function attempts to identify where columns begin and end using white space characters. If your table does not have columns that are aligned, then you will need to use the text editing tools to make sure your table is structured neatly.

Importing from HTML

HTML documents can also be imported directly as the information table. The import function will analyze the document and attempt to locate a table that has more than six data columns. Once the table has been located, it will map the columns and attempt to import the data. If the information table has gutter columns, it is best to use one heading row. A "gutter column" is a small column used to add white space between two data columns. If the information table does not have gutter columns, you can use two heading rows if desired. It is recommended that you use a table with no gutter columns and one heading row for best results.

Importing from Word

The format necessary to import your data from Word is the same as when importing from HTML. The import function will analyze the document and attempt to locate a table that has more than six data columns. Once the table has been located, it will map the columns and attempt to import the data. If the information table has gutter columns, it is best to use one heading row. A "gutter column" is a small column used to add white space between two data columns. If the information table does not have gutter columns, you can use two heading rows if desired. It is recommended that you use a table with no gutter columns and one heading row for best results.

Once your text document is prepared for import:

1. Click **File > Import > Information Table From Text**

2. Select the text file in the dialog that appears and press Open.

3. The Information View will appear with a log of the import process. All entries in the selected text file will be appended to the end of the information table in your submission.

XML (13F XML submission)

Finally, a previously created or filed 13F file that follows the SEC's Form 13F XML Technical Specification can be imported into your filing. When importing this kind of file, you can import more than just the information table and you will have options to choose which form data you would like to import. Importing data from a previous filing allows you to cherry pick the data that you want to include in your new submission. This function may be most useful when you want to use a previous filing as the basis for a new one or when you want to create a new file based on a file generated by external applications. You can download the filing directly from the SEC's archive and use the import function to import only the data that is the same. The other data will not be imported, so you can add it as necessary or import it from a different source.

To import data from an XML Form File:

1. Save the desired file to your local computer or to an accessible network location.

2. Click **File > Import > Import XML Form File**

3. Select the XML file in the dialog that appears and press**Open**.

4. In the dialog that appears, choose which portions of the filing to import by checking or unchecking the options.

5. Press **OK** button to import the data.

Helpful Hints:

- When importing a CSV file without a heading row, make certain that your data is in the same order as in the Form 13F document. You can use an application like Microsoft Excel to re-order the columns in a CSV file.

- When importing a CSV file, inserting a blank row at the beginning of the file with the same number of columns as the 13F information table will cause the column data to be imported in order, even if a row contains column keywords. This can be helpful if your columns aren't importing in the correct order. You can delete any heading rows that get imported as data after the import.

- If editing CSV in text, remember that each column heading should be separated only by a comma and the heading row must appear on its own line. A heading row in CSV might look something like this: "Name,Title,CUSIP,Value,Shares/Prn Amount,Sh/Prn,Put/Call,Discretion,Managers,Sole,Shared,None".

- If your textual document has other data in it that should not be included in your information table, you can always edit the source document so that it contains only the information table. This can make it easier to edit the document for best import results.

- If you want to import a filing from the SEC's archive, you must first download the filing. On the archive, the form data and the information table are located in two separate XML files, so you will need to download both files and import each file individually if you want to import all of the data from that Form 13F submission. You can download a filing from the SEC's archive by right-clicking on the "primary_doc.xml" link and saving it to your computer. The same can be done for the information table by right-clicking on that XML file. Note that the primary document will always be called "primary_doc.xml" whereas the file will have differing names from filing to filing, depending on the software that was used to create the submission.