

# FR Y-14Q Technical Submission Instructions

## Contents

|                                                      |    |
|------------------------------------------------------|----|
| 1. FR Y-14 XML Data Submission Overview .....        | 3  |
| 1.1. File Format .....                               | 3  |
| 1.2. File Header.....                                | 4  |
| 1.3. Primary Keys .....                              | 4  |
| 1.4. Data Elements .....                             | 5  |
| 1.5. Submission Types .....                          | 5  |
| 1.6. Submission .....                                | 5  |
| 1.7. File Name.....                                  | 5  |
| 1.8. Common File Load Issues.....                    | 5  |
| 1.9. Version Conventions.....                        | 6  |
| 2. FR Y-14 Respondent Edit Report Overview .....     | 6  |
| 2.1. File Format.....                                | 6  |
| 2.2. File Header.....                                | 6  |
| 2.3. Primary Keys .....                              | 6  |
| 2.4. Primary Keys - Aggregate Edits .....            | 7  |
| 2.5. Common File Load Issues.....                    | 7  |
| 2.6. Submission .....                                | 7  |
| 2.7. Naming Conventions.....                         | 7  |
| 2.8. Pre-Submitting Respondent Edit Reports.....     | 7  |
| 3. FR Y-14 Edit Documentation .....                  | 8  |
| 3.1. Version .....                                   | 8  |
| 3.2. Edits and Data Dictionary Status .....          | 8  |
| 3.3. Edit Type .....                                 | 8  |
| 3.4. Quarter Modified Date.....                      | 9  |
| 3.5. Start Date .....                                | 10 |
| 3.6. End Date .....                                  | 11 |
| Appendix A: Transtype Details .....                  | 12 |
| Initial Data Submissions .....                       | 13 |
| Submissions that Fail to Load/File Load Issues ..... | 13 |

Revised Submissions ..... 13

Appendix B: XML Validation ..... 14

Excel XML Validation ..... 14

Appendix C: Submission Types ..... 24

## 1. FR Y-14 XML Data Submission Overview

This section outlines technical instructions for submitting FR Y-14 data. This document covers the file format and other technical specifications and is meant to supplement the Capital Assessments and Stress Testing information collection (Reporting Form FR Y-14) Instructions. Often, submissions that do not comply with the technical instructions cannot be loaded into the system and will require a resubmission.

### 1.1. File Format

Respondents must submit FR Y-14 data in Extensible Markup Language (XML). XML is a markup language that defines a set of rules for encoding documents in a common format that can be shared in a consistent way.

An accompanying XML Schema Definition (XSD) describes the elements of each XML submission. An XSD describes a set of rules to which an XML document must conform in order to be considered valid according to that schema. XSD describes the structure of an XML document.

The XSD items are defined in string format to allow for data types beyond those defined in the data dictionary. This is done to prevent restricting data types in the submission process. The data submitted should still comply with the data formats provided in the data dictionaries that are distributed with the technical instructions. Any data elements that do not comply with the Field Type and Attributes may need to be revised.

Master XSDs are provided which should be used for all current and historic submissions. Institutions should only populate the data items that are applicable for the report form instructions from the as-of date. For example, if the institution is submitting data historically for 2012 Q2 during the 2015 Q1 processing period, the institution should use the 2012 Q2 report form instructions in conjunction with the 2015 Q1 version of the XSD.

Master XSDs contain all data collection items for a given schedule since the transition to the Federal Reserve Statistics Function, including ended items. Institutions should use these XSDs going forward for all current and historic submissions. Institutions should only populate the data items that are applicable for the report form instructions from the as-of date. Any non-applicable items for a specific as-of date should be left null.

**For schedules submitted through Reporting Central:** Data files submitted through Reporting Central will be subject to upfront validations that were not run when submitting data files through Intralinks. Specifically, the following instructions should be followed:

1. UTF-8 is the preferred encoding for XML files. Files should **not** be submitted with a Byte Order Mark (BOM), and will be rejected by upfront validations if a BOM is detected.
2. Data files will be subject to a complete validation against the relevant schedule's XSD. Unless otherwise specified, any XML file that does not conform to the XSD will be rejected. This includes the proper sequencing of parent tags and the inclusion of the DATA\_ASOF\_TSTMP attribute.

## 1.2. File Header

XML file headers must include DATA\_ASOF\_TSTMP while LAST\_ASOF\_TSTMP is optional. Please see Appendix B: XML Validation for additional information.

## 1.3. Primary Keys

Primary keys are required to distinguish records as unique. Primary keys can be determined for each schedule by referring to the data dictionary. Primary keys are non-nullable fields and must be completed. We recommend that if an institution does not have data to report on a specified table, these items are left out of the submission rather than reporting “N/A” for primary keys. In the data dictionary, these fields are determined with “Yes” values in the “Primary Key” column. The data dictionary lists the format the primary keys must be in for files to successfully load. Common primary keys across schedules include:

- ID\_RSSD
- D\_DT (With the exception of Retail which has Reporting Month instead)
- TRANSTYPE

ID\_RSSD must be the unique identifying number assigned by the Federal Reserve.

D\_DT and DATA\_ASOF\_TSTMP must be provided in "Date\_Time" format 'YYYY-MM-DDThh:mm:ss' or 'YYYY-MM-DDThh:mm:ss.mmm'

- YYYY represents the year
- MM represents the month
- DD represents the last day of the reporting month
- T represents the start of the required time section
- hh represents the hour
- mm represents the minute
- ss represents the second
- mmm represents the millisecond

For example, the June 2013 reporting period would be represented as '2013-06-30T00:00:00' or '2013-06-30T00:00:00.000'. Note, the time portion of the D\_DT must be all zeros while DATA\_ASOF\_TSTMP can be a value other than 0 such as TXX:XX:XX or TXX:XX:XX.XXX where the X indicates a value other than 0.

There cannot be multiple D\_DTs in a single submission. A file will fail to load if there is more than one D\_DT in a given file.

TRANSTYPE must be provided in one of three ways; I, U, or D. See Appendix A: Transtype Details for additional information.

- “I” indicates an insert of a new data record.
- “U” indicates an update to an existing data record.
- “D” indicates a delete to an existing data record.

## 1.4. Data Elements

DATA\_ASOF\_TSTMP should be populated with the date and time the file was created in date time format 'YYYY-MM-DDThh:mm:ss' or 'YYYY-MM-DDThh:mm:ss.mmm', which is provided above. (This format also applies to LAST\_ASOF\_TSTMP, which is an optional attribute.)

Each schedule has an XSD that contains all data elements collected since being processed through the Federal Reserve Statistics Function. Respondents can utilize the most recent XSD for both historical and current submissions and submit applicable data items per the instructions of the submission date using the FR Y-14 instructions of the respective as of date.

Items should be reported as 0 instead of 0.000000. If an item is not applicable to your submission the field should be left null.

## 1.5. Submission Types

For schedules with submission type data elements, see Appendix C: Submission Types for valid entries for these fields. For valid submission types in reporting periods Q2 2022 and prior, see edit definitions document for acceptable submission types.

## 1.6. Submission

Firms will submit Y-14Q XML files through Reporting Central. For information on how to submit data through Reporting Central, please reference the Reporting Central User Guide.

If two files need to be loaded in a certain order, we recommend that the file that needs to be loaded first is uploaded to Reporting Central at least 30 minutes before the second file is submitted.

See the Reporting Central User Guide for more information on how files should be uploaded.

## 1.7. File Name

The Reporting Central User Guide should be used for XML file naming guidance.

Firms can optionally use the following naming convention for their XML data files:  
FRY14Q/A\_YYYYQQ\_Schedule\_IDRSSD\_CreationDate(YYYYMMDD).xml

## 1.8. Common File Load Issues

- Incorrectly formatted record headers
- Not using the most recent XSD provided
- Incorrect transtype provided
- DateTime fields incorrectly formatted
- Acceptable date range for any DateTime field is from 1735 to 9999
- Null or missing primary keys
- Duplicate records with identical primary keys
- Incorrect ID\_RSSD
- Incorrect D\_DT

## 1.9. Version Conventions

The technical instructions are published with a naming convention designed to identify changes between publications. The file names contain the version number. In addition, the header of each document contains the Collection Period and the version number. If technical instructions are republished within a quarter, only the documents that were modified will be updated from a “V1” to a “V2”. All documents that were not modified in the republication will remain “V1”.

- Examples:
  - File name for the first version of published technical instructions will end in “\_V1”.
  - File name for the second version of the published technical instruction for a document that has been modified will end in “\_V2”

## 2. FR Y-14 Respondent Edit Report Overview<sup>1</sup>

This section outlines technical instructions for how to provide FR Y-14 Respondent Edit Reports via Reporting Central. The document covers the file format and other technical specifications and is intended to supplement the Reporting Central technical guidance. Often, submissions that do not comply with the technical instructions cannot be loaded into the system and will require a resubmission.

### 2.1. File Format

If submitting in Reporting Central, respondents must submit each Respondent Edit Report via comma separated value (.CSV). When applicable, a Statistics Reserve Bank contact will send a password protected Respondent Edit Report in Excel (.xls/.xlsx) format. Respondents must enter responses and save the file as a CSV. To do this, select File > Save As > Save as Type and select “CSV (Comma delimited)” from the drop-down menu.

Files should use LF or CR/LF as a row delimiter. Respondent Edit Reports using just CR as a row delimiter will not be loaded.

### 2.2. File Header

The first line of the file should have a column header containing the column names, which must be separated by commas. Columns in the file must adhere to a specific predefined order outlined in the edit review report provided by the Reserve Banks.

### 2.3. Primary Keys

When you first open the password-protected Excel file, all primary key fields should be already formatted to “Text”. If you enter your responses all at one time and save the file in a CSV format, you will preserve the formatting for the proper fields. Preserving the format is critical to submitting a successful Respondent Edit Report that will load into our database.

---

<sup>1</sup> In the past, certain firms have chosen to provide supplemental information in connection with their submissions. An example of such a supplement is available in the provided technical instructions. If a respondent elects to provide supplemental information in connection with its submission, it may provide any information in any form that it chooses. The Board is not requesting that respondents submit supplemental information.

## 2.4. Primary Keys - Aggregate Edits

Starting in 2020 Q4, certain edits were designed to be aggregated to run across multiple records within an XML submission. These aggregated edits will only result in a single edit being triggered in the Respondent Edit Report rather than individual edits across the multiple records. If an aggregate edit triggers, the record on the Respondent Edit Report will contain the term "AGGREGATE" in the applicable primary key column(s). The "AGGREGATE" record will not correspond to a single record in the XML submission, but rather a grouping of records. The firm should provide a remark as they would with other edits. The firm should not modify the primary key columns in the Respondent Edit Report (i.e. a remark associated with an Aggregate edit should contain "AGGREGATE" in certain columns).

## 2.5. Common File Load Issues

If you intend to revise remarks several times before a submission, we recommend that conversion to CSV be done as the final step. Opening and resaving a CSV can undo previously set formatting which results in errors (i.e., the loss of leading zeroes or inadvertent scientific notation formatting) which will prevent the loading of those records to our database and require a resubmission. CSV files that contain line feeds or carriage returns in any column will also prevent the loading of remarks to the database and require a resubmission.

The proper format of the As-of date field is 'YYYY-MM-DD hh:mm:ss.mmm'. Note: The time stamp values must all be zeroes.

## 2.6. Submission

If submitting through Reporting Central, firms must submit CSV files. For information on how to submit data through Reporting Central, please reference the Reporting Central User Guide.

## 2.7. Naming Conventions

The CSV file should adhere to the following naming convention.

For All Schedules Submitted Quarterly (Except Retail):

FRY14Q/A\_YYYYQQ\_Schedule\_IDRSSD\_RespondentEditReport\_CreationDate(YYY  
YMMDD)\_NumberOfEditFailures.csv

For Schedules Submitted Monthly:

FRY14Q/A\_YYYYMM\_Schedule\_IDRSSD\_RespondentEditReport\_CreationDate(YYY  
YMMDD)\_NumberOfEditFailures.csv

For Retail:

FRY14Q/A\_YYYYQQ\_Schedule\_SubSchedule\_IDRSSD\_RespondentEditReport\_CreationDate(YYY  
YMMDD)\_NumberOfEditFailures.csv

## 2.8. Pre-Submitting Respondent Edit Reports

The provided Respondent Edit Report templates must be utilized for pre-submission Respondent Edit Reports (included in Technical Documentation package). All fields must be completed. Any unexplained edits or edit explanations requiring additional detail will be sent in the FR Y-14

Respondent Edit Reports distributed by the analysts. If the pre-submission Respondent Edit Report fails to load, all outstanding edits will be sent in the FR Y-14 Respondent Edit Reports distributed by the analysts once initial data are loaded.

### 3. FR Y-14 Edit Documentation

A list of all edit checks are provided in the edit documentation. To determine the changes for the current quarter, filter by edit declared final date to see the red-line changes.

#### 3.1. Version

Indicates the version for a given Edit Number. A new version is created when logic is revised; however, if a change does not affect the logic then a new version is not created. Possible values include 1, 2, 3, etc.

- Entirely new edits are identified by the Edit Number and have a default assignment of version 1
- Any changes made for subsequent quarters will be prior version number "+1"

#### 3.2. Edits and Data Dictionary Status

Indicates the status of a given edit and data dictionary item.

- Deleted
  - The edit or data dictionary item will no longer be applied in any form for current or historic data. Once a status has been changed to "Deleted" it is permanent.
    - "Deleted" for edits that will no longer be applied in any form
- No Change
  - The edit or data dictionary item has not changed substantively since the previous quarter.
- Added
  - The Edit Number or data dictionary item is new since the previous quarter.
    - "Added" for edits and items that are completely new
- Archived
  - The Edit Number remains the same, but the Version number is retired (does not change quarter over quarter), or the data dictionary item has ended. Once an item has been 'Archived' the status is permanent.
- Revised
  - The Edit Number remains the same, but the Version number may be new since the previous quarter if a logic change is made to the edit, or the data dictionary item has been updated.
    - "Revised" for edits that are a new version of an existing edit

#### 3.3. Edit Type

Indicates the type of edit check run on each data element.

- Syntax
  - Address the *data type* and are designed to ensure data is in the correct format. Institutions must correct these edit failures. The start and end dates for active Syntax edits are always 19000101 and 99991231, respectively.

- Will utilize the following formats: Numeric(digits,dec) and Varchar(#);
  - Indicate that the field must be numeric and specifies the number of digits and decimals permitted. For example:
    - Edit Error Message - Must be numeric & must be Numeric(16,6)
    - Edit Logic - Must be Numeric(16,6) or for ID\_RSSD, use “Must be Numeric(7,0)”
    - Edit Error Message - Must be numeric & must be Numeric(16,6)
    - Edit Logic - Must be Numeric(16,6) or for ID\_RSSD, use “Must be Numeric(7,0)”
- Validity
  - Address the *data accuracy* and include mathematical calculations, factual consistencies, and relational calculations that *must* pass the edit. Depending on instructions, business conditions, and requirements, the condition *must* be true.
  - Ex:
    - Edit Error Message - If provided, FIELD 1 must be greater than or equal to 0
    - Edit Logic - If <> NULL, FIELD1 >= 0
      - In some instances, you will see validity edits that say “must not be null”; review these items and revise, if appropriate. In instances where a null is the optimal field, provide an edit explanation instead of a revision.
- Quality
  - Addresses *data accuracy* but measures the reasonableness of the data that *should* pass the edit. There are valid conditions in which correctly reported data could trigger an edit resulting in a false positive. The edit responses provided for these false positive edits provide valuable information to the data end users at the Federal Reserve. For Example:
    - Edit Error Message - If provided, FIELD1 (Current Quarter) should be greater than or equal to FIELD2 (Previous Quarter) Edit Logic - If <> NULL, FIELD1 >= FIELD2
- Intraseries
  - Type of quality edit designed to monitor unusual or unexpected changes between report periods.
- Interseries
  - Type of quality edit that compares data for unexpected or unusual reported values between different report series.

### 3.4. Quarter Modified Date

Quarter modified date will be the collection quarter the edit was last modified.

- To determine the changes for the current quarter, filter by the quarter modified date to see the redlines of what changed.
- To see the applicable edits for a given quarter, the Status and/or Start and End Date columns can be used as filters. The quarter modified date is updated for all redline changes

### 3.5. Start Date

The start date is the date the edit will be effective. For technical reasons this may not always match the date the edit was last modified (i.e., 20070331).

### 3.6. End Date

The last effective quarter the edit would run. For technical reasons this may not always match the date the edit was last modified.

- Ex: 20130930 or 99991231 if the edit is currently running on the data.

## Appendix A: Transtype Details

Transtype is utilized to insert (I), update (U), or delete (D) records. Each record submitted is uniquely identified by its primary keys and must be marked with a Transtype value. These markers indicate what action should be taken to systematically upload data to the database. Correct use of these markers are important for successfully loading data.

- “I” should be used to insert records with a unique set of primary keys that does not already exist in the database.
- “U” should be used to update records with a unique set of primary keys that already exist in the database. The “U” Transtype updates the entire record, therefore, even if one data item changed, all other items must remain in the record for the record to be updated successfully. Not including unchanged data items in the records will NULL out those columns.
  - If a Transtype “U” record is included for a set of primary keys that do not exist in the database, a file load failure will occur.
- “D” should be used to remove records with a unique set of primary keys that already exist in the database.

Submissions may contain combinations of Transtype “I”, “U”, and “D” for different records; however, a submitted file cannot contain different Transtypes for records that contain the same set of primary keys.

Submissions of Transtype of “U” or updates are encouraged when possible rather than a delete (“D”) and subsequent insert (“I”). In the circumstances when a primary key needs to be changed, Transtype “D” must be used to remove the incorrect set of primary keys before inserting the new record (“I” in a subsequent file).

Partial data files are accepted for the following schedules:

- CIL
- CRE
- CIRR
- CLBS
- Retail
- OpsRisk
- RCI
- Counterparty

Full data files are necessary for the following schedules:

- Supplemental
- PPNR
- Securities
- FVO
- Balances
- RC
- Trading

When submitting data, the following tables are to be excluded from their respective schedules if there is no data to be transmitted:

- RC schedule: Planned Actions table
- Securities: Hedging table
- RCI schedule: Redemptions and Issuances tables
- Trading: all tables

### Initial Data Submissions

The first submission of a reporting period should include all new records, and therefore Transtype indicators of “I” for each unique set of primary keys are expected.

### Submissions that Fail to Load/File Load Issues

If an initial submission failed to load (i.e. no records loaded to database) a revised submission should utilize a Transtype “I” for all records (each unique set of primary keys).

### Revised Submissions

If an additional record with a unique set of primary keys is to be added after an initial submission, the record should use Transtype “I”.

Any resubmission with a change to a data value from a previously provided value that was successfully loaded should use Transtype “U”.

Transtype “D” can be used to remove a previously submitted record from the database.

In most instances, it is recommended to utilize Transtype “U” to modify data values already in the database; however, in order to change a primary key, Transtype “U” cannot be used. Instead, Transtype “D” is used when there is a syntax edit failure on a primary key. In these scenarios a Transtype “D” should be used to remove the incorrect set of primary keys before inserting the new record of Transtype “I”.

## Appendix B: XML Validation

XML validation is the process of checking a document written in XML to confirm that it is both well formed and valid. A well formed document follows the basic syntactic rules of XML, which are the same for all XML documents. A valid document respects the rules dictated by the XSD. The order of elements in the XML must match the sequence of elements within the XSD.

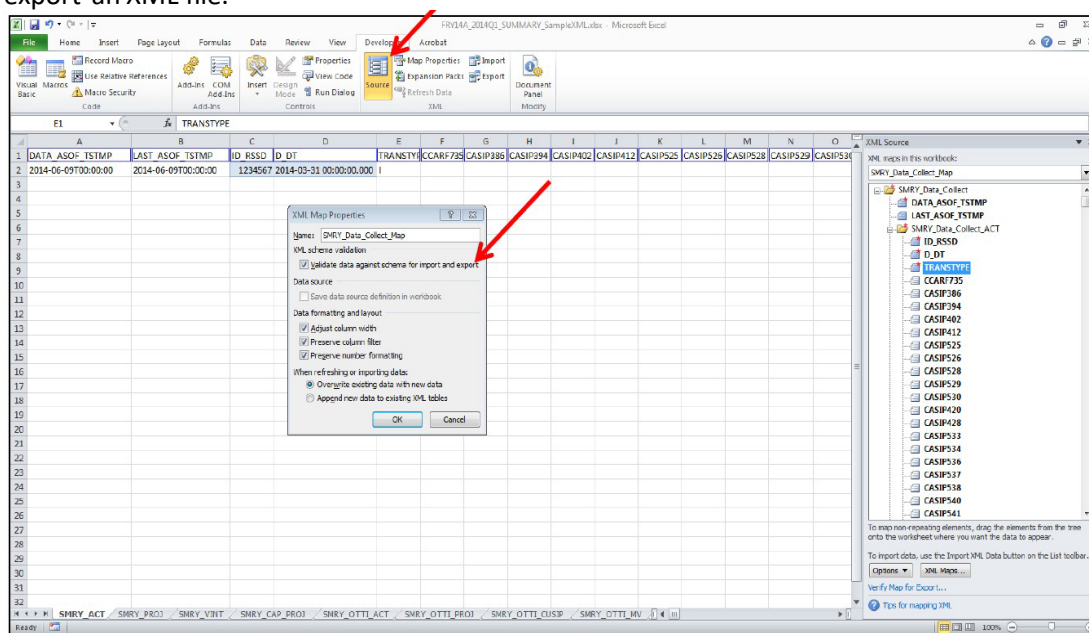
There are various free tools available that will validate XML documents against given XSDs.

- XML Notepad 2007 (<https://microsoft.github.io/XMLNotepad/>) provides a simple intuitive user interface for browsing and editing XML documents.
- Notepad++ (<https://notepad-plus-plus.org/>) plugin that offers XML validation against an XSD.
- Xerces C++ (<https://xerces.apache.org/xerces-c/>) is a validating XML parser written in a portable subset of C++. Xerces C++ makes it easy to read and write XML data.
- Microsoft Excel offers a built in function to validate XML data against an XSD to ensure that any XML data you import to or export from one or more cells in a mapped range in a worksheet conforms to the XSD in the XML Source task pane.

### Excel XML Validation

1. On the Developer menu, point to XML, and then click XML Map Properties to display.
2. In the XML Map Properties dialog box, select Validate data against schema for import and export.

Please see the screenshot below for an example of a graphic display of how to validate and export an XML file.



### XML File Creation

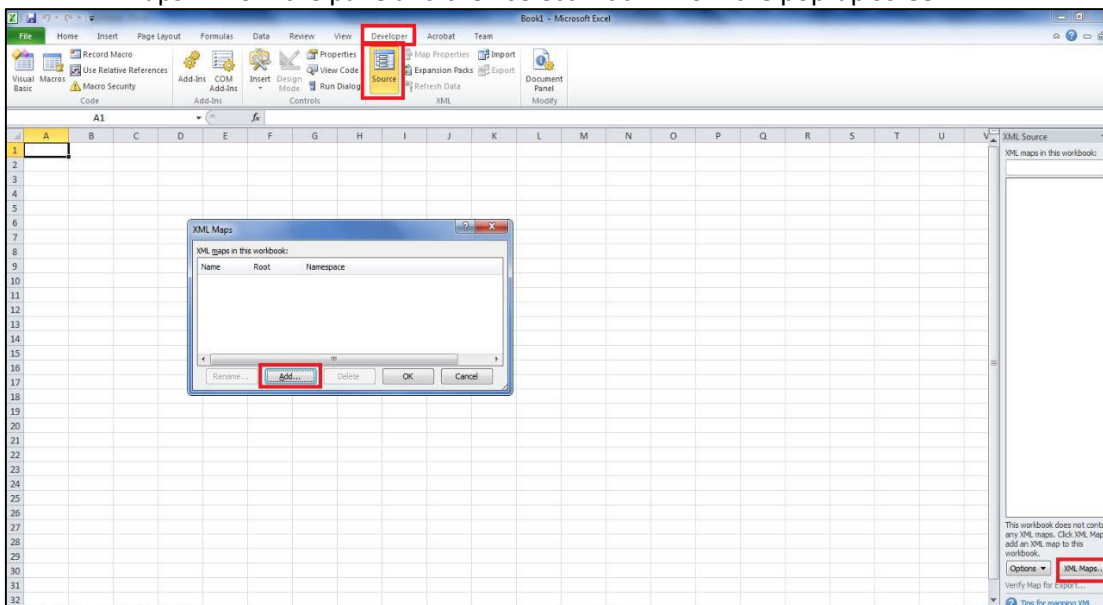
The following two examples provide instructions on how to create an XML file. The first example provides step by step instructions on how to create an XML file to submit files that contain a single table of records. The example provided demonstrates how to properly map a PPNR file; however, these instructions can be replicated to map any of the single table files collected in the FR Y-14 Q schedules.

The second example provides step by step instructions on how to create an XML file to submit files that contain multiple tables. The example provided demonstrates how to properly map a Regulatory Capital Instruments file but it can be replicated to map any of the multiple table files collected in the FR Y-14 Q schedules.

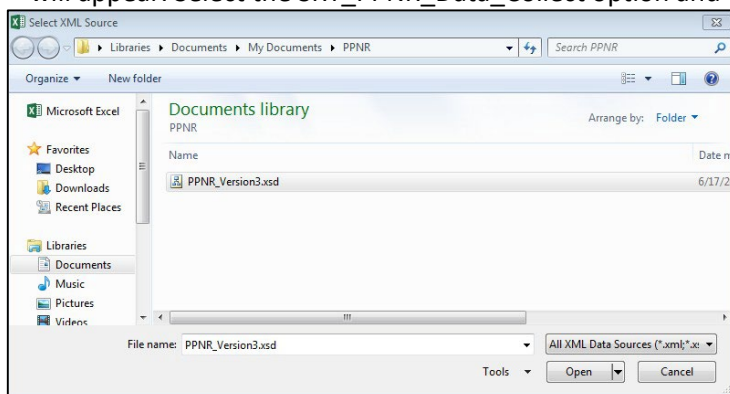
### Example 1: Single Table XML

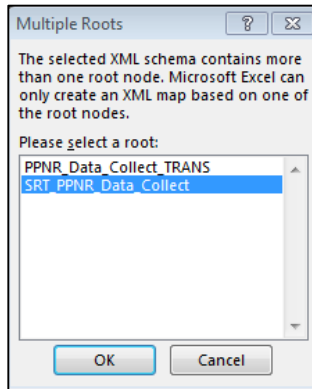
The following process is an example of how an XML file can be created. Details for the reported values and the MDRMs can be found in the attached data dictionary documentation. This documentation will identify the reported value and further prescribe the data type and format that is expected for the reported values. To successfully map an XSD, follow the steps below using PPNR\_Version3.xsd as an example:

1. Save the PPNR\_Version3.xsd to a local drive that can easily be accessed.
2. Open a new Excel document, select the 'Developer' tab in the toolbar at the top, and locate the 'Source' icon. Once selected, a pane on the right most portion of the screen will appear. Select 'XMLMaps...' from the pane and then select 'Add...' from the pop-up screen.

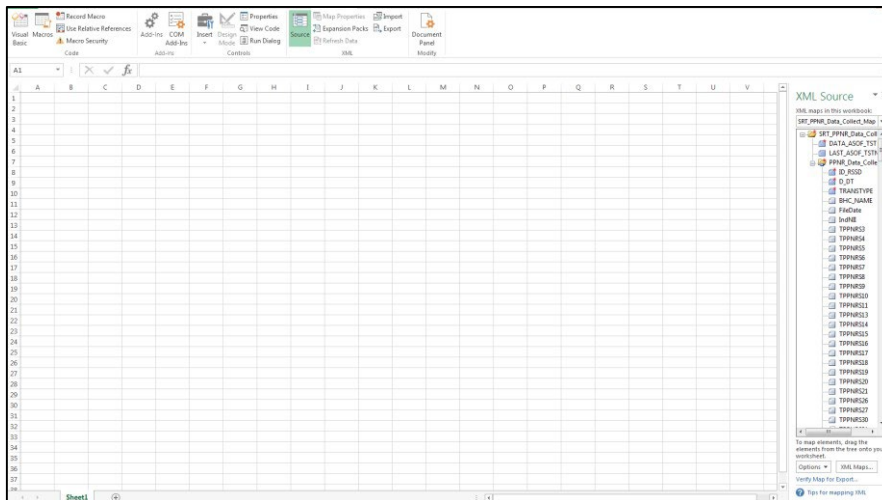
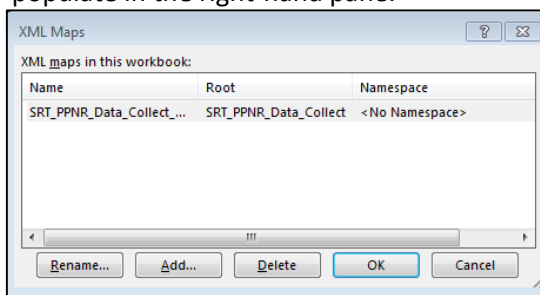


3. Next, locate and select the PPNR\_Version3.xsd and click 'Open'. The 'Multiple Roots' dialog box will appear. Select the SRT\_PPNR\_Data\_Collect option and then click 'OK'.

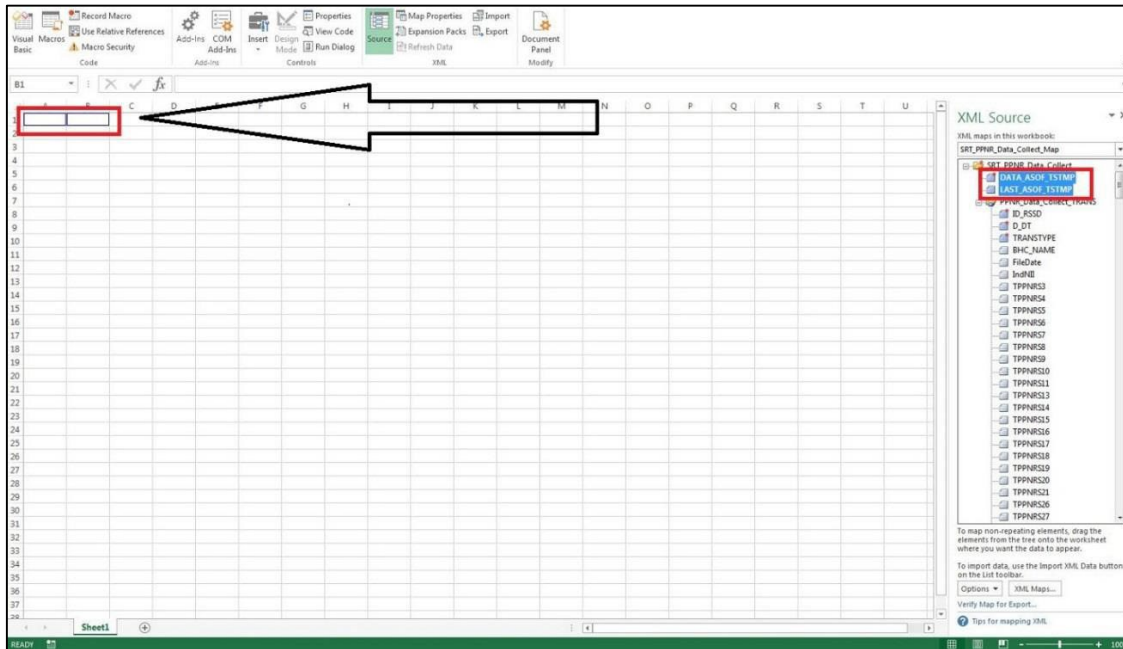




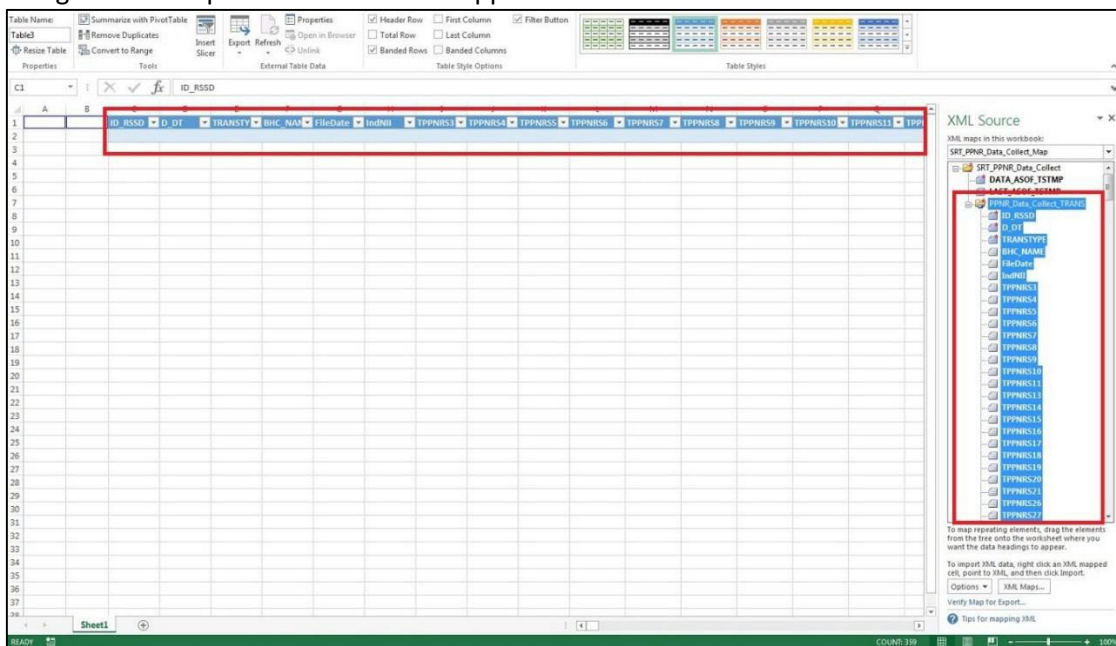
4. Then select 'OK' on the 'XML Maps' dialog box. After selecting 'OK', the data elements will populate in the right-hand pane.



5. First, map the DATA\_ASOF\_TSTMP and LAST\_ASOF\_TSTMP tags. While pressing the 'CTRL' key, select those two items with the mouse then click and drag the cursor to cell A1. Cells A1 and B1 will then be highlighted indicating successful mapping of these two items.

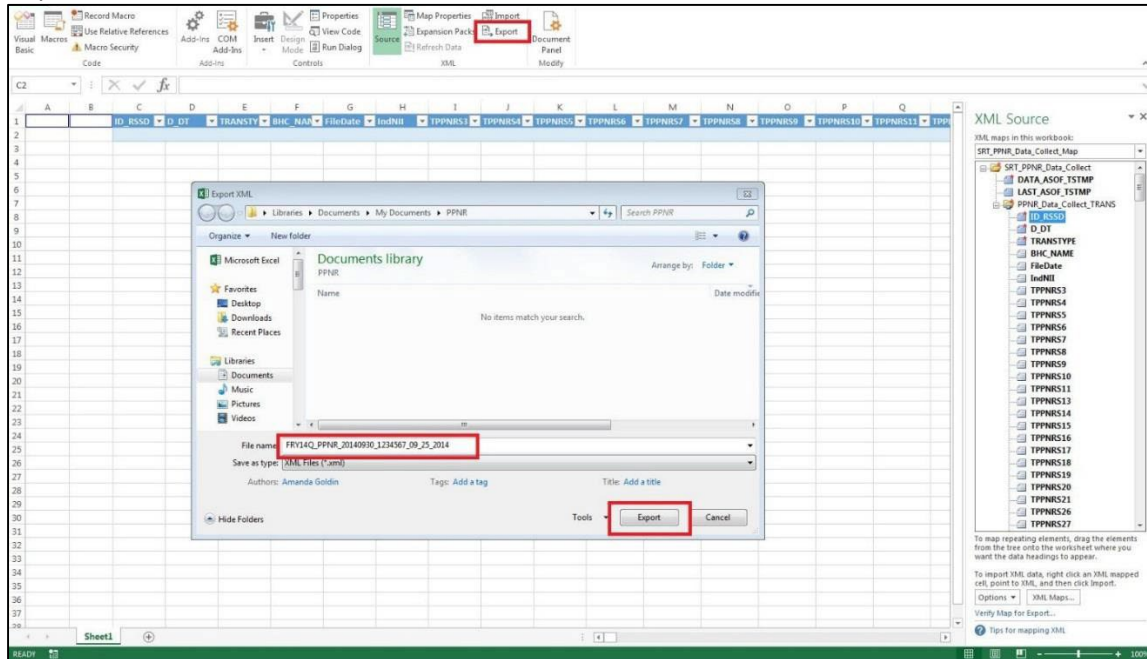


6. We will next map the items collected on the table. The items for PPNR will be mapped using the PPNR\_Data\_Collect\_TRANS icon in the right-hand pane. Select the PPNR\_Data\_Collect\_TRANS icon, which will highlight the corresponding items. Click and drag the heading to cell C1. The image below depicts how this should appear.



7. Now, all of the requested items have been mapped. Complete the data fields as prescribed by the information in this document and in accordance with the data dictionary document provided (note: all data will be completed below the header). Previously explained in instruction number 5,

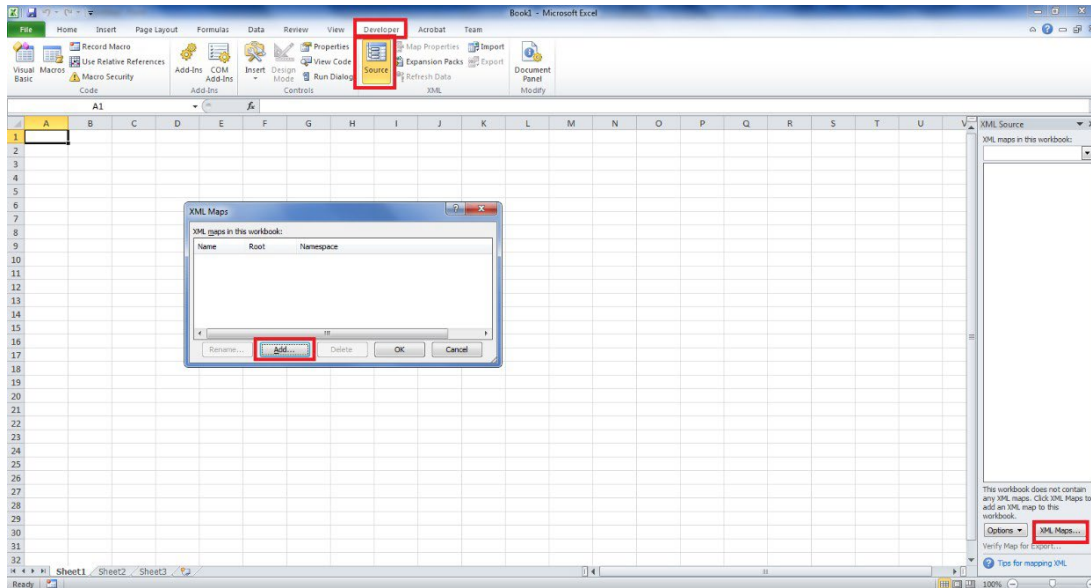
DATA\_ASOF\_TSTMP and LAST\_ASOF\_TSTMP should be input directly into cells A1 and B1. Once all data have been input, export into the XML format required for submission. First select 'Export' from the 'Developer' tab in the toolbar at the top. Then name the file according to the format provided in the document (i.e., FRY14Q\_PPNR\_20140930\_1234567\_09\_25\_2014.xml) and select 'Export'.



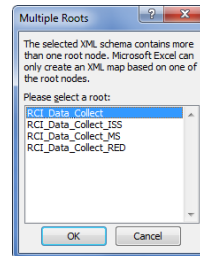
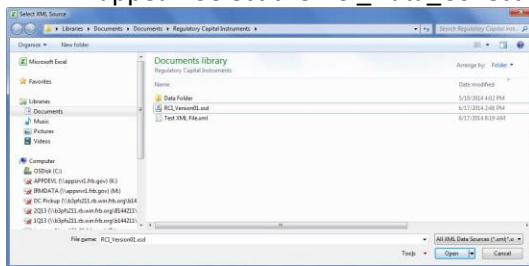
## Example 2: Multiple Table XML

The following process is an example of how an XML file can be created. Details for the reported values and the MDRMs can be found in the attached data dictionary documentation. This documentation will identify the reported value and further prescribe the data type and format that is expected for the reported values. To map an XSD, follow the steps below using RCI\_Version01.xsd as an example:

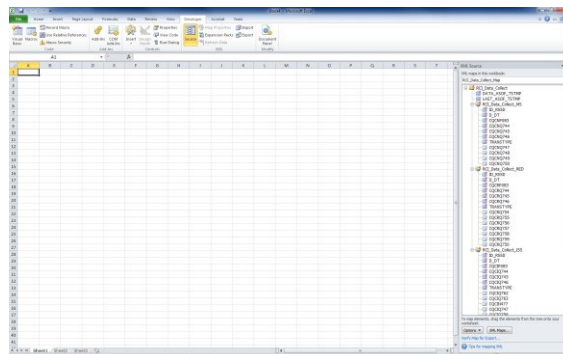
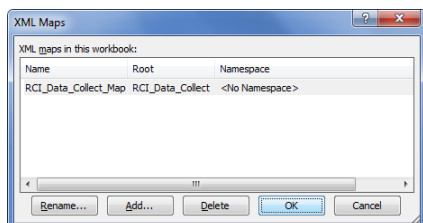
1. Save the RCI\_Version01.xsd to a local drive that can easily be accessed.
2. Open a new Excel document, select the 'Developer' tab in the toolbar at the top, and locate the 'Source' icon. Once selected a pane on the right most portion of the screen will appear. Select 'XMLMaps...' from the pane and then select 'Add...' from the pop-up screen.



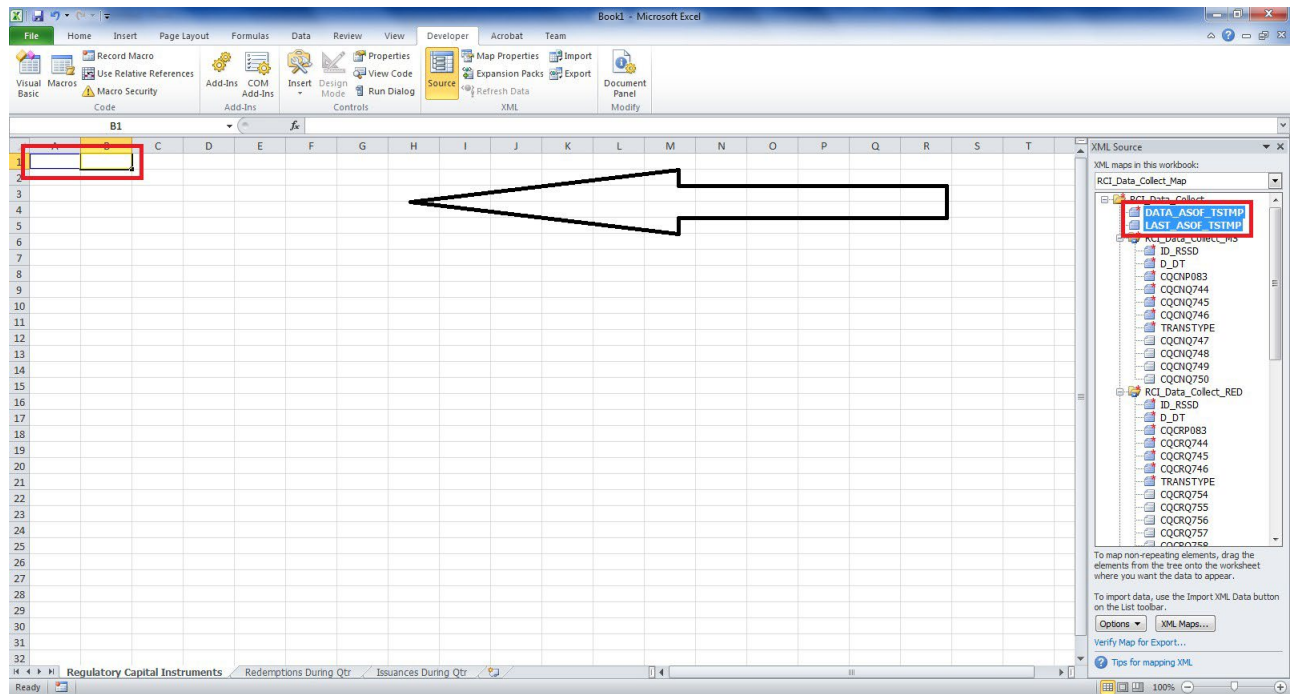
- Next, locate and select the RCI\_Version01.xsd and click 'Open'. The 'Multiple Roots' dialog box will appear. Select the RCI\_Data\_Collect option and then click 'OK'.



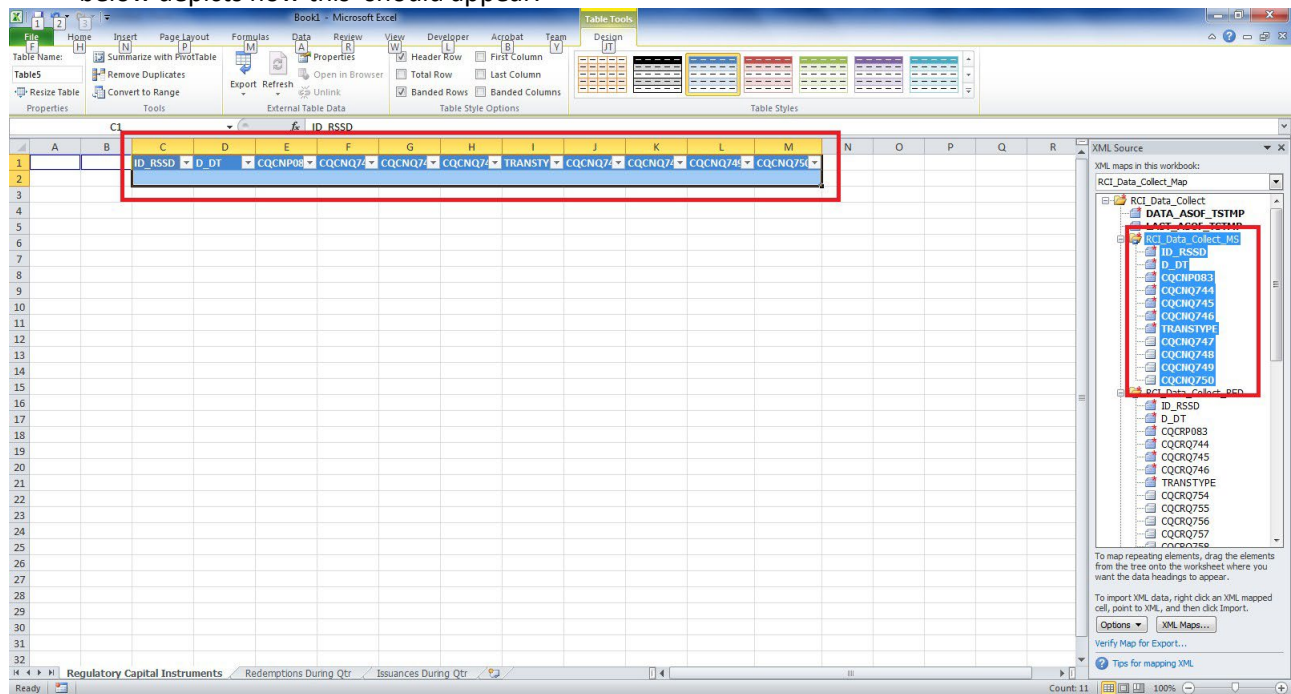
- Then select 'OK' on the 'XML Maps' dialog box. After selecting 'OK', the data elements will populate in the right-hand pane. Each table must be mapped to a separate tab. For reference, label three tabs according to the three sets of data being collected ('Regulatory Capital Instruments at QTR End', 'Redemptions During Qtr', and 'Issuances During Qtr')



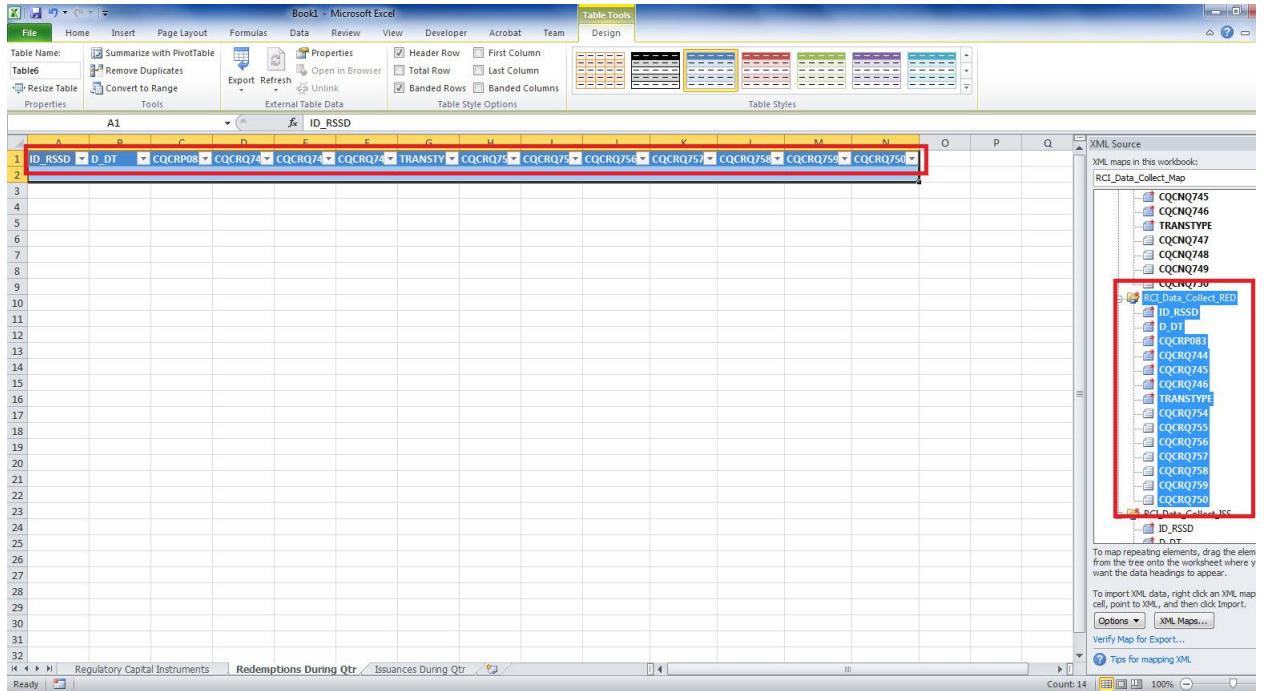
- First map the DATA\_ASOF\_TSTMP and LAST\_ASOF\_TSTMP tags. While pressing the 'CTRL' key select those two items with the mouse then click and drag the cursor to cell A1. Cells A1 and B1 will then be highlighted indicating successful mapping of these two items.



6. We will next map the items collected on each of the tables. The first set of items for the Regulatory Capital Instruments at QTR End tab will be mapped using the RCI\_Data\_Collect\_MS icon in the righthand pane. Select the RCI\_Data\_Collect\_MS which will highlight the corresponding items. Click and drag the heading to cell C1. The image below depicts how this should appear.

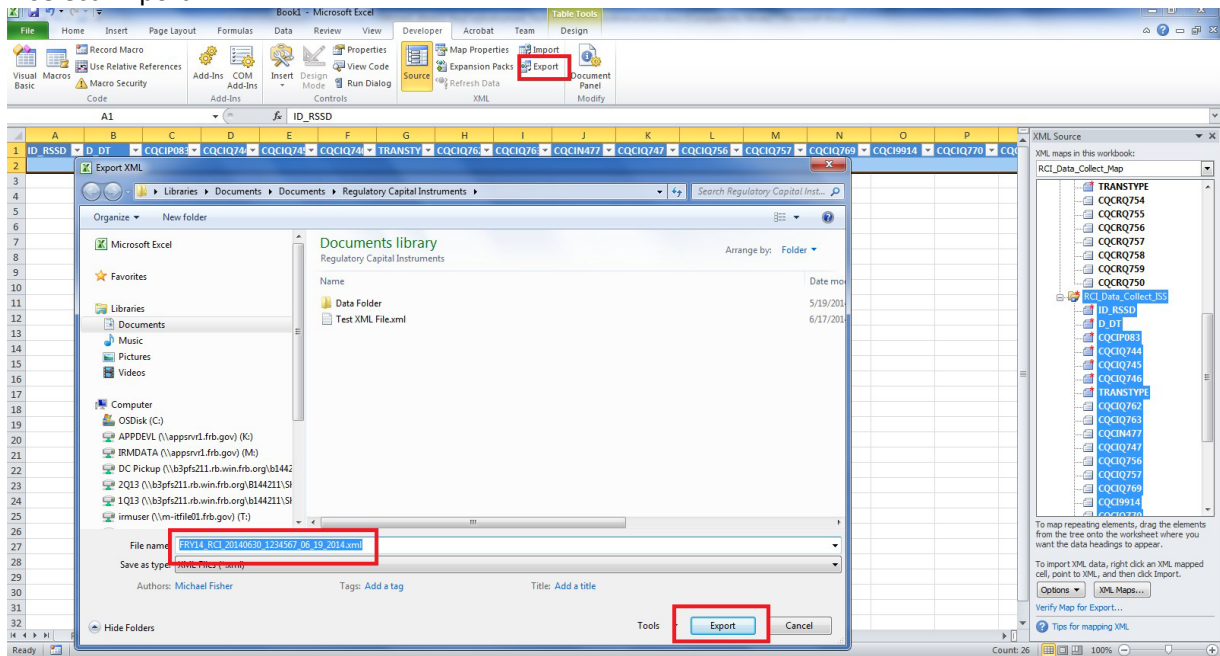


7. The second set of items for Redemptions During Qtr tab will be mapped using the RCI\_Data\_Collect\_RED icon in the right-hand pane. Select the corresponding Excel tab and then select the RCI\_Data\_Collect\_RED which will highlight the corresponding items. Click and drag the heading to cell A1. The image below depicts how this should appear (DATA\_ASOF\_TSTMP and LAST\_ASOF\_TSTMP tags do not need to be mapped for this tab).



- 
- The screenshot displays the Microsoft Excel interface with the 'Table Tools' ribbon active. A table named 'ID\_RSDD' is selected, with its structure visible in the 'Table Style Options' group. The table's columns are labeled with codes: ID\_RSDD, D\_DT, CQCIQ083, CQCIQ744, CQCIQ745, CQCIQ746, TRANSPTY, CQCIQ762, CQCIQ763, CQCIQ767, CQCIQ769, CQCIQ770, CQCIQ771, CQCIQ772, CQCIQ773, CQCIQ774, CQCIQ775, CQCIQ776, CQCIQ777, CQCIQ778, CQCIQ779, CQCIQ780, CQCIQ781, CQCIQ782, CQCIQ783, CQCIQ784, CQCIQ785, CQCIQ786, CQCIQ787, CQCIQ788, CQCIQ789, CQCIQ790, CQCIQ791, CQCIQ792, CQCIQ793, CQCIQ794, CQCIQ795, CQCIQ796, CQCIQ797, CQCIQ798, CQCIQ799, CQCIQ800, CQCIQ801, CQCIQ802, CQCIQ803, CQCIQ804, CQCIQ805, CQCIQ806, CQCIQ807, CQCIQ808, CQCIQ809, CQCIQ810, CQCIQ811, CQCIQ812, CQCIQ813, CQCIQ814, CQCIQ815, CQCIQ816, CQCIQ817, CQCIQ818, CQCIQ819, CQCIQ820, CQCIQ821, CQCIQ822, CQCIQ823, CQCIQ824, CQCIQ825, CQCIQ826, CQCIQ827, CQCIQ828, CQCIQ829, CQCIQ830, CQCIQ831, CQCIQ832, CQCIQ833, CQCIQ834, CQCIQ835, CQCIQ836, CQCIQ837, CQCIQ838, CQCIQ839, CQCIQ840, CQCIQ841, CQCIQ842, CQCIQ843, CQCIQ844, CQCIQ845, CQCIQ846, CQCIQ847, CQCIQ848, CQCIQ849, CQCIQ850, CQCIQ851, CQCIQ852, CQCIQ853, CQCIQ854, CQCIQ855, CQCIQ856, CQCIQ857, CQCIQ858, CQCIQ859, CQCIQ860, CQCIQ861, CQCIQ862, CQCIQ863, CQCIQ864, CQCIQ865, CQCIQ866, CQCIQ867, CQCIQ868, CQCIQ869, CQCIQ870, CQCIQ871, CQCIQ872, CQCIQ873, CQCIQ874, CQCIQ875, CQCIQ876, CQCIQ877, CQCIQ878, CQCIQ879, CQCIQ880, CQCIQ881, CQCIQ882, CQCIQ883, CQCIQ884, CQCIQ885, CQCIQ886, CQCIQ887, CQCIQ888, CQCIQ889, CQCIQ890, CQCIQ891, CQCIQ892, CQCIQ893, CQCIQ894, CQCIQ895, CQCIQ896, CQCIQ897, CQCIQ898, CQCIQ899, CQCIQ900, CQCIQ901, CQCIQ902, CQCIQ903, CQCIQ904, CQCIQ905, CQCIQ906, CQCIQ907, CQCIQ908, CQCIQ909, CQCIQ910, CQCIQ911, CQCIQ912, CQCIQ913, CQCIQ914, CQCIQ915, CQCIQ916, CQCIQ917, CQCIQ918, CQCIQ919, CQCIQ920, CQCIQ921, CQCIQ922, CQCIQ923, CQCIQ924, CQCIQ925, CQCIQ926, CQCIQ927, CQCIQ928, CQCIQ929, CQCIQ930, CQCIQ931, CQCIQ932, CQCIQ933, CQCIQ934, CQCIQ935, CQCIQ936, CQCIQ937, CQCIQ938, CQCIQ939, CQCIQ940, CQCIQ941, CQCIQ942, CQCIQ943, CQCIQ944, CQCIQ945, CQCIQ946, CQCIQ947, CQCIQ948, CQCIQ949, CQCIQ950, CQCIQ951, CQCIQ952, CQCIQ953, CQCIQ954, CQCIQ955, CQCIQ956, CQCIQ957, CQCIQ958, CQCIQ959, CQCIQ960, CQCIQ961, CQCIQ962, CQCIQ963, CQCIQ964, CQCIQ965, CQCIQ966, CQCIQ967, CQCIQ968, CQCIQ969, CQCIQ970, CQCIQ971, CQCIQ972, CQCIQ973, CQCIQ974, CQCIQ975, CQCIQ976, CQCIQ977, CQCIQ978, CQCIQ979, CQCIQ980, CQCIQ981, CQCIQ982, CQCIQ983, CQCIQ984, CQCIQ985, CQCIQ986, CQCIQ987, CQCIQ988, CQCIQ989, CQCIQ990, CQCIQ991, CQCIQ992, CQCIQ993, CQCIQ994, CQCIQ995, CQCIQ996, CQCIQ997, CQCIQ998, CQCIQ999, CQCIQ1000, CQCIQ1001, CQCIQ1002, CQCIQ1003, CQCIQ1004, CQCIQ1005, CQCIQ1006, CQCIQ1007, CQCIQ1008, CQCIQ1009, CQCIQ1010, CQCIQ1011, CQCIQ1012, CQCIQ1013, CQCIQ1014, CQCIQ1015, CQCIQ1016, CQCIQ1017, CQCIQ1018, CQCIQ1019, CQCIQ1020, CQCIQ1021, CQCIQ1022, CQCIQ1023, CQCIQ1024, CQCIQ1025, CQCIQ1026, CQCIQ1027, CQCIQ1028, CQCIQ1029, CQCIQ1030, CQCIQ1031, CQCIQ1032, CQCIQ1033, CQCIQ1034, CQCIQ1035, CQCIQ1036, CQCIQ1037, CQCIQ1038, CQCIQ1039, CQCIQ1040, CQCIQ1041, CQCIQ1042, CQCIQ1043, CQCIQ1044, CQCIQ1045, CQCIQ1046, CQCIQ1047, CQCIQ1048, CQCIQ1049, CQCIQ1050, CQCIQ1051, CQCIQ1052, CQCIQ1053, CQCIQ1054, CQCIQ1055, CQCIQ1056, CQCIQ1057, CQCIQ1058, CQCIQ1059, CQCIQ1060, CQCIQ1061, CQCIQ1062, CQCIQ1063, CQCIQ1064, CQCIQ1065, CQCIQ1066, CQCIQ1067, CQCIQ1068, CQCIQ1069, CQCIQ1070, CQCIQ1071, CQCIQ1072, CQCIQ1073, CQCIQ1074, CQCIQ1075, CQCIQ1076, CQCIQ1077, CQCIQ1078, CQCIQ1079, CQCIQ1080, CQCIQ1081, CQCIQ1082, CQCIQ1083, CQCIQ1084, CQCIQ1085, CQCIQ1086, CQCIQ1087, CQCIQ1088, CQCIQ1089, CQCIQ1090, CQCIQ1091, CQCIQ1092, CQCIQ1093, CQCIQ1094, CQCIQ1095, CQCIQ1096, CQCIQ1097, CQCIQ1098, CQCIQ1099, CQCIQ1100, CQCIQ1101, CQCIQ1102, CQCIQ1103, CQCIQ1104, CQCIQ1105, CQCIQ1106, CQCIQ1107, CQCIQ1108, CQCIQ1109, CQCIQ1110, CQCIQ1111, CQCIQ1112, CQCIQ1113, CQCIQ1114, CQCIQ1115, CQCIQ1116, CQCIQ1117, CQCIQ1118, CQCIQ1119, CQCIQ1120, CQCIQ1121, CQCIQ1122, CQCIQ1123, CQCIQ1124, CQCIQ1125, CQCIQ1126, CQCIQ1127, CQCIQ1128, CQCIQ1129, CQCIQ1130, CQCIQ1131, CQCIQ1132, CQCIQ1133, CQCIQ1134, CQCIQ1135, CQCIQ1136, CQCIQ1137, CQCIQ1138, CQCIQ1139, CQCIQ1140, CQCIQ1141, CQCIQ1142, CQCIQ1143, CQCIQ1144, CQCIQ1145, CQCIQ1146, CQCIQ1147, CQCIQ1148, CQCIQ1149, CQCIQ1150, CQCIQ1151, CQCIQ1152, CQCIQ1153, CQCIQ1154, CQCIQ1155, CQCIQ1156, CQCIQ1157, CQCIQ1158, CQCIQ1159, CQCIQ1160, CQCIQ1161, CQCIQ1162, CQCIQ1163, CQCIQ1164, CQCIQ1165, CQCIQ1166, CQCIQ1167, CQCIQ1168, CQCIQ1169, CQCIQ1170, CQCIQ1171, CQCIQ1172, CQCIQ1173, CQCIQ1174, CQCIQ1175, CQCIQ1176, CQCIQ1177, CQCIQ1178, CQCIQ1179, CQCIQ1180, CQCIQ1181, CQCIQ1182, CQCIQ1183, CQCIQ1184, CQCIQ1185, CQCIQ1186, CQCIQ1187, CQCIQ1188, CQCIQ1189, CQCIQ1190, CQCIQ1191, CQCIQ1192, CQCIQ1193, CQCIQ1194, CQCIQ1195, CQCIQ1196, CQCIQ1197, CQCIQ1198, CQCIQ1199, CQCIQ1200, CQCIQ1201, CQCIQ1202, CQCIQ1203, CQCIQ1204, CQCIQ1205, CQCIQ1206, CQCIQ1207, CQCIQ1208, CQCIQ1209, CQCIQ1210, CQCIQ1211, CQCIQ1212, CQCIQ1213, CQCIQ1214, CQCIQ1215, CQCIQ1216, CQCIQ1217, CQCIQ1218, CQCIQ1219, CQCIQ1220, CQCIQ1221, CQCIQ1222, CQCIQ1223, CQCIQ1224, CQCIQ1225, CQCIQ1

9. Now, all of the requested items have been mapped. Complete the data fields as prescribed by the information in this document and in accordance with the data dictionary document provided (note: all data will be completed below the header). Previously explained in instruction number 5, DATA\_ASOF\_TSTMP and LAST\_ASOF\_TSTMP should be input directly into cells A1 and B1. Once all data have been input, export into the XML format required for submission. First select 'Export' from the 'Developer' tab in the toolbar at the top. Then name the file according to the format provided in the document (i.e., FRY14Q\_RCI\_20140630\_1234567\_07\_11\_2014.xml) and select 'Export'.



10. Save the RCI\_Version01.xsd to a local drive that can easily be accessed.

#### Notes:

- Excel changes date formats into Julian Date; to ensure the date is in the correct format listed in the technical instructions, all date fields should be formatted as text.
- If a schedule has multiple tables and an institution does not have data for one of the tables do not provide any values for the primary keys.
- These instructions work for the current excel version of Office 2013 as of September 30, 2014. Any software updates to Microsoft could alter these instructions.

## Appendix C: Submission Types

| Series | Schedule | Subschedule | Technical_Field_Name | Current Submission Types                         |
|--------|----------|-------------|----------------------|--------------------------------------------------|
| FRY14Q | CPC      | AGG_RTS_COL | CACVH346             | CCAR/Stressed<br>Regular/Unstressed              |
|        |          | CRED_QLTY   |                      |                                                  |
|        |          | DRV_MTM     |                      |                                                  |
|        |          | DRV_SFT     |                      |                                                  |
|        |          | EE_RNK      |                      |                                                  |
|        |          | RNK         |                      |                                                  |
|        |          | SFT_AGG     |                      |                                                  |
|        |          | SFT_MTM     |                      |                                                  |
|        |          | SENS_AGG    |                      |                                                  |
|        |          | SENS_RANK   |                      |                                                  |
|        |          |             | CACVH346             | Regular/Unstressed                               |
|        | TRDNG    | FVO         | CTRDH346             | FVO Hedges                                       |
|        |          | AGNCS       | CTRDH346             | AL Hedges<br>CVA Hedges<br>FVO Hedges<br>Trading |
|        |          | CMDTY       |                      |                                                  |
|        |          | CMDTY_SVG   |                      |                                                  |
|        |          | CRED_CORR   |                      |                                                  |
|        |          | EQ_BG       |                      |                                                  |
|        |          | EQ_SVG      |                      |                                                  |
|        |          | FX_SPOT     |                      |                                                  |
|        |          | FX_VEGA     |                      |                                                  |
|        |          | IDR_CC      |                      |                                                  |
|        |          | IDR_CC_BI   |                      |                                                  |
|        |          | IDR_CC_BP   |                      |                                                  |
|        |          | IDR_CC_BS   |                      |                                                  |
|        |          | IDR_JTD     |                      |                                                  |
|        |          | M_ARS_CC    |                      |                                                  |
|        |          | OTH_EQ      |                      |                                                  |
|        |          | OTH_RTS     |                      |                                                  |
|        |          | PE_OFVA     |                      |                                                  |
|        |          | RTS_DV01    |                      |                                                  |
|        |          | RTS_VEGA    |                      |                                                  |
|        |          | SEC_PROD    |                      |                                                  |
|        |          | SOV_CRED    |                      |                                                  |