Issue Management System Bulk Upload User Guide

Version 1.4

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Introduction

If you have multiple securities within the same sub-product (CORP/ELN, ABS, CMO, ABSX, AGCY, UST, or CHRC) to upload, this can be accomplished in one submission by using the file upload function in the new Issue Management System.

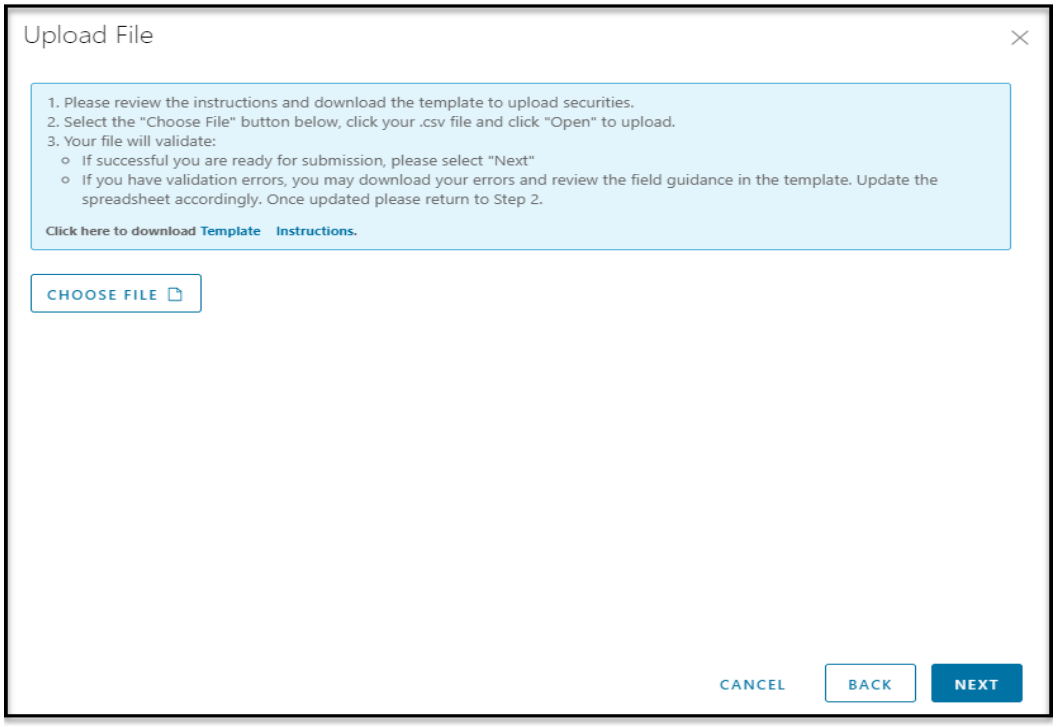
Instructions

The FINRA Issue Management system supports bulk uploads of the same product.

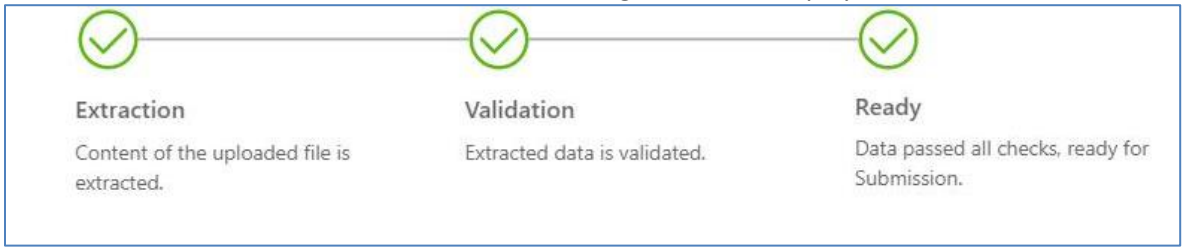
Click the + ADD button located at the top right of the Filings window. The **FINRA New Issue** wizard opens. The wizard is a three-screen process.

1. **Firm Information**
   - Enter or verify Contact data. The Contact Name, Phone and Email will default to contact details associated with your login ID but may be manually overwritten.
   - On the **Product Type** field, click the dropdown arrow to select a product from the list. Based on the product selected, other questions may display.
   - Once all required fields are completed, click the **Upload File** button.

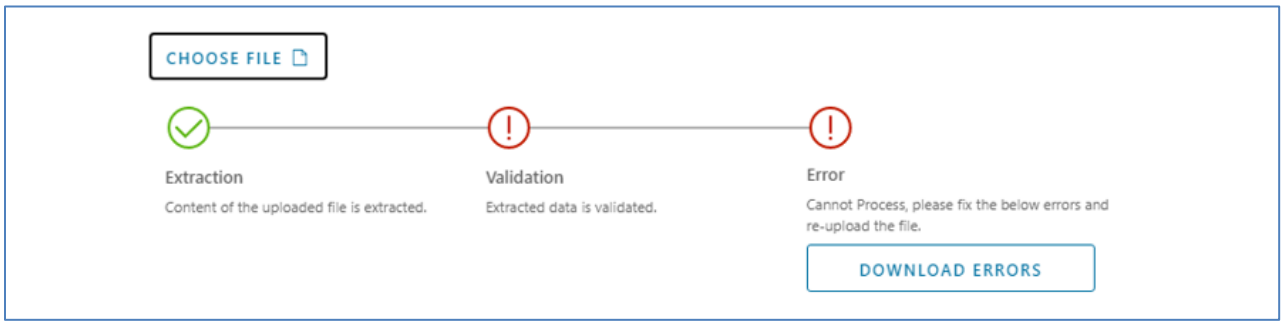
2. **Upload File**



- Click on the **Template** link.
- The file will open in Microsoft Excel or other default editor as an xls or xlsx document (it may appear be minimized on your desktop.)
- Line 5 of the template will contain sample data. This must be deleted prior to submission.
- Begin entering data in cell A5. Enter one security per row. See tables in the Formatting section below for additional product-specific guidance on formatting and acceptable values.
- Once all securities have been added (template allows up to 1000 securities per submission), the file must be saved as a CSV. Please note, a CSV file removes all formatting and tabs.
    - select **File** and **Save as**
    - Choose the location on your network or local drive where you wish to save the file
    - Rename the file and choose file type .csv
    - Click **Save**
- You **must exit** Microsoft Excel or similar editor in order to proceed, or the file will not upload properly.
- Click the **Choose File** button.
- Select and open your file from the saved location.
- Your file will be immediately validated
    - If the file meets validations the following screen will display.



    - If the file does not meet validations the following screen will display.



- If an error is received during validation,
  - Click DOWNLOAD ERRORS to download an Excel "fileupload_errors" file that provides the row number, validation, column name for each error on the csv.
  - Review the field guidance below and make sure all required fields are populated and all fields are formatted correctly.
  - Update your saved CSV spreadsheet.
  - Upload the file again.
- Once the upload is validated successfully and indicates Ready, click **Next.**

Note: The uploaded file must always be a CSV.

3. **Comments/Attachments**
   - Optional- Click in the **Comments:** field to type any additional information.
   - Optional- Click the **Choose File** to add an attachment.
   - Click **Submit**. A confirmation dialog box presents a ***"Submitted Successfully!"*** message. The issues display on the main Filing Screen with a status of Submitted.

Note: If 20 issues are uploaded, 20 new individual submissions will display on the Main Filings screen. To see the status of all entries in a single filing, click on **Filing ID**, this will load a **Print Summary** and provide details of how the submissions were processed.

Formatting

Fields for Uploading a Corporate Security including ELN

Field	Description	Required	Instructions/Validations
cusip_id	CUSIP	Required	Must be exactly 9 characters
isin_id	ISIN	Optional	Must be exactly 12 characters
nstrt_type_cd	Security Type	Required	Values: CBND = Corporate Debt Security OTH = Other VBND = Convertible Debt Security ENT = Equity Linked Note ILS = Index Linked Security *case sensitive
othr_nstrt_type_tx	Other Security Type Description	Conditional	Required ONLY if Security Type = OTH (Free Text). Otherwise, leave blank.

sry_type_cd	Bond Type	Required	Values: SR = Senior Unsecured SUB = Subordinated Unsecured SEC = Secured SRSUB = Senior Subordinated Unsecured JRSUB = Junior Unsecured or Junior Subordinated Unsecured UN = Unsecured OTH = Other SRSEC = Senior Secured *case sensitive
othr_sry_type_tx	Other Bond Type Description	Conditional	Required only if Bond Type = OTH (Free Text). Otherwise, leave blank.
issr_nm	Issuer Name	Required	Free Text
issue_dt	Issue Date	Conditional	Required if Reason For Filing = 6760 MM/DD/YYYY Use Pricing Date when Issue Date is not known.
issue_tm_tx	Pricing Time	Optional	HH:MM
first_trd_dt	First Trade/Execution Date	Optional	MM/DD/YYYY If different than Issue/Pricing Date
exctn_tm_tx	Time of First Execution	Optional	HH:MM
first_stlmt_dt	First Settlement Date	Optional	MM/DD/YYYY
rule_144a_fl	144A Eligible Indicator	Required	Values: Y = Yes N = No *case sensitive
cnvrb_fl	Convertible Indicator	Required	Values: Y = Yes N = No *case sensitive
cpn_type_cd	Coupon Type	Required	Values: FXPV = Fixed CNGT = Contingent TBPD = To Be Priced FRFF = Fixed to Floating FROT = Float VRGR = Step Up/Down OTH = Other FXZC = Zero

			*case sensitive
othr_cpn_type_tx	Other Coupon Type Description	Conditional	Required ONLY if Coupon Type = OTH (Free Text). Otherwise, leave blank.
cpn_rt	Coupon	Conditional	Required if Coupon Type = Fixed. Otherwise, optional. Numeric Max 2 digits after decimal
first_cpn_pymnt_dt	First Coupon Payment Date	Optional	MM/DD/YYYY
cpn_freq_cd	Coupon Frequency	Optional	Values: OTH = Other 1 = Annual 2 = Semi-annually PAM = Pays-at-Maturity NONE = None 12 = Monthly 4 = Quarterly VAR = Variable *case sensitive
othr_cpn_freq_tx	Other Coupon Frequency Description	Optional	Required ONLY if Coupon Frequency = OTH. Otherwise, leave blank.
mtrty_vs_prptl_cd	Maturity Date or Perpetual Security	Required	Values: M = Maturity P = Perpetual *case sensitive
mtrty_dt	Maturity Date	Conditional	Required ONLY if Maturity/Perpetual = Maturity (MM/DD/YYYY). Otherwise, leave blank.
call_sched_fl	Call Indicator	Required	Values: Y = Yes N = No *case sensitive
first_call_dt	Next Call Date	Conditional	Required ONLY if Call Indicator = Y (MM/DD/YYYY). Otherwise, leave blank.
first_call_pr	Next Call Price	Conditional	Required ONLY if Call Indicator = Y (USD). Otherwise, leave blank. Max 6 digits after decimal

mdys_crrnt_rtng_cd	Moodys Rating	Optional	**Values:** A1 Ba3 A2 Baa1 A3 Baa2 Aa1 Baa3 Aa2 Ca Aa3 Caa1 Aaa Caa2 B1 Caa3 B2 C B3 D Ba1 NR Ba2 *case sensitive
snp_crrnt_rtng_cd	S&P Rating	Optional	**Values:** A BB+ A- BBB A+ BBB- AA BBB+ AA- C AA+ CC AAA CCC B CCC- B- CCC+ B+ D BB NR BB *case sensitive -

Fields for Uploading an Agency Security

Field	Description	Required	Instructions/Validations
cusip_id	CUSIP	Required	Must be exactly 9 characters
isin_id	ISIN	Optional	Must be exactly 12 characters
sry_type_cd	Bond Type	Required	Values: OTH = Other SEC = Secured SR = Senior Unsecured SRSEC = Senior Secured SUB = Subordinated Unsecured UN = Unsecured *case sensitive
othr_sry_type_tx	Other Bond Type Description	Conditional	Required ONLY if Bond Type = OTH (Free Text). Otherwise, leave blank.

nstrt_type_cd	Security Type	Required	Values: BND = Bond C2 = Certificate of Participation CTF = Certificate DEB = Debenture NT = Note *case sensitive
othr_nstrt_type_tx	Other Security Type Description	Conditional	Required ONLY if Security Type = OTH (Free Text). Otherwise, leave blank.
agncy_cd	Agency Name	Required	Free Text
cpn_type_cd	Coupon Type	Required	Values: FRPV = Float FXPV = Fixed FXZC = Zero OTH = Other TBD = To Be Determined TBPD = To Be Priced VRGR = Step Up/Down *case sensitive
othr_cpn_type_tx	Other Coupon Type	Conditional	Required ONLY if Coupon Type = OTH (Free Text). Otherwise, leave blank.
cpn_rt	Coupon	Optional	Numeric Max 2 digits after decimal
first_cpn_pymnt_dt	First Coupon Payment Date	Optional	MM/DD/YYYY
cpn_freq_cd	Coupon Frequency	Optional	Values: 4 = Quarterly 2 = Semi = Annually 12 = Monthly NONE = None OTH = Other PAM = Pays = at = Maturity VAR = Variable *case sensitive
othr_cpn_freq_tx	Other Coupon Frequency Description	Conditional	Required ONLY if Coupon Frequency = OTH (Free Text). Otherwise, leave blank.
call_sched_fl	Call Indicator	Required	Values: Y = Yes N = No *case sensitive
next_call_dt	Next Call Date	Conditional	Required ONLY if Call Indicator = Y (MM/DD/YYYY). Otherwise, leave blank.
next_call_pr	Next Call Price	Conditional	Required ONLY if Call Indicator = Y (USD). Otherwise, leave blank.

issue_dt	Issue Date	Conditional	Required if Reason For Filing = 6760 MM/DD/YYYY Use Pricing Date when Issue Date is not known.
issue_tm_tx	Pricing Time	Optional	HH:MM
first_trd_dt	First Trade/ Execution Date	Optional	MM/DD/YYYY If different than Issue Date
exctn_tm_tx	Time of First Execution	Optional	HH:MM
first_stlmt_dt	First Settlement Date	Optional	MM/DD/YYYY
mtrty_vs_prptl_cd	Maturity Date or Perpetual Security	Required	Values: M = Maturity P = Perpetual *case sensitive
mtrty_dt	Maturity Date	Conditional	Required ONLY if Maturity/Perpetual = Maturity (MM/DD/YYYY). Otherwise, leave blank.
rule_144a_fl	144A Eligible Indicator	Required	Values: Y = Yes N = No *case sensitive
reg_s_fl	Regulation S Indicator	Optional	Values: Y = Yes N = No *case sensitive

Fields for Uploading a Church Bond

Field	Description	Required	Instructions/Validations
cusip_id	CUSIP	Conditional	CUSIP or Coupon Required Must be exactly 9 characters
isin_id	ISIN	Optional	Must be exactly 12 characters
sry_type_cd	Bond Type	Required	Values: 1STMTG = First Mortgage 2NDMTG = Second Mortgage OTH = Other UN = Unsecured *case sensitive
othr_sry_type_tx	Other Bond Type Description	Conditional	Required ONLY if Bond Type = OTH (Free Text). Otherwise, leave blank.

nstrt_type_cd	Security Type	Required	Values: BND = Bond CH = Church Bond NT = Note OTH = Other *case sensitive
othr_nstrt_type_tx	Other Security Type Description	Conditional	Required ONLY if Security Type = OTH (Free Text). Otherwise, leave blank.
issr_nm	Issuer Name	Required	Free Text
cpn_type_cd	Coupon Type	Required	Values: FRPV = Float FXPV = Fixed FXZC = Zero OTH = Other TBD = To Be Determined TBPD = To Be Priced VRGR = Step Up/Down *case sensitive
othr_cpn_type_tx	Other Coupon Type Description	Conditional	Required ONLY if Coupon Type = OTH (Free Text). Otherwise, leave blank.
cpn_rt	Coupon	Conditional	Coupon or CUSIP Required. Numeric Max 2 digits after decimal
first_cpn_pymnt_dt	First Coupon Payment Date	Optional	MM/DD/YYYY
cpn_freq_cd	Coupon Frequency	Optional	Values: 2 = Semi-Annually 4 = Quarterly 12 = Monthly NONE = None OTH = Other PAM = Pays-at-Maturity VAR = Variable *case sensitive
othr_cpn_freq_tx	Other Coupon Frequency Description	Conditional	Required ONLY if Coupon Frequency = OTH (Free Text). Otherwise, leave blank.
call_sched_fl	Call Indicator	Required	Values: Y = Yes N = No *case sensitive
next_call_dt	Next Call Date	Conditional	Required ONLY if Call Indicator = Y (MM/DD/YYYY). Otherwise, leave blank.

next_call_pr	Next Call Price	Conditional	Required ONLY if Call Indicator = Y (Numeric). Otherwise, leave blank.
issue_dt	Issue Date	Conditional	Required if Reason For Filing = 6760 MM/DD/YYYY Use Pricing Date when Issue Date is not known.
issue_tm_tx	Pricing Time	Optional	HH:MM
first_trd_dt	First Trade/Execution Date	Optional	MM/DD/YYYY If different than Pricing/Issue Date
exctn_tm_tx	Time of First Execution	Optional	HH:MM
first_stlmt_dt	First Settlement Date	Optional	MM/DD/YYYY
mtrty_vs_prptl_cd	Maturity Date or Perpetual Security	Required	Values: M = Maturity P = Perpetual *case sensitive
mtrty_dt	Maturity Date	Conditional	Required ONLY if Maturity/Perpetual = Maturity (MM/DD/YYYY). Otherwise, leave blank.

Fields for Uploading a CMO Security

Field	Description	Required	Instructions/Validations
cusip_id	CUSIP	Required	Must be exactly 9 characters
isin_id	ISIN	Optional	Must be exactly 12 characters
issue_dt	Issuance Date	Required	MM/DD/YYYY Next business day after prospectus/supplement final offering document's print date and CUSIP is publicly available.
first_stlmt_dt	First Settlement Date	Required	MM/DD/YYYY
issr_nm	Issuer Name	Required	Free Text
deal_srs_tx	Deal ID	Required	Free Text
deal_nm	Deal Description	Required	Free Text
trnch_id	Tranche Description	Optional	Free Text
cpn_rt	Coupon	Optional	Numeric Max 2 digits after decimal

scrty_ds	Tranche Description	Required	Free Text
mtrty_dt	Maturity Date	Required	MM/DD/YYYY
rule_144a_fl	144A Eligible Indicator	Required	Values: Y = Yes N = No *case sensitive
reg_s_fl	Regulation S Indicator	Optional	Values: Y = Yes N = No *case sensitive

Fields for Uploading an ABS/ABSX Security

Field	Description	Required	Instructions/Validations
cusip_id	CUSIP	Required	Must be exactly 9 characters
isin_id	ISIN	Optional	Must be exactly 12 characters

ABSY_BOAT	ABS Security Type	Required	Values: ABSY_ = Asset Backed Securities ABSY_AFLP = Auto Floorplan/Wholesale Loans ABSY_AIRL = Aircraft/Airline Lease ABSY_ALEA = Auto Lease Loans ABSY_AUTO = Auto/Installment Loans ABSY_BIKE = Motorcycle Lease ABSY_BOAT = Marine Loans ABSY_BUSL = ABS Business Loans ABSY_CARD = Credit Card Receivables ABSY_CNSL = Consumer Loans ABSY_CTSR = Catastrophe ABS ABSY_DPR = Diversified Payment Rights ABSY_EQIP = Equipment Backed Loan ABSY_EXIM = Export/Import Bank Loan ABSY_LOTT = Lottery ticket ABS ABSY_MANU = Manufactured Housing Loan ABSY_MHSG = Military Housing Securitizations ABSY_NIM = Net Interest Margin Securities ABSY_OTHR = Asset Backed Tranches ABSY_PNSN = Pension Securitization ABSY_PSNL = Personal Loan ABS ABSY_RECR = Recreational Vehicle Loan ABSY_RENT = Rent ABS ABSY_RINS = Reinsurance ABS ABSY_RVMG = Reverse Mortgage ABSY_STUD = Student Loan ABSY_TMSH = Timeshare ABS ABSY_TXLN = Tax Lien ABSY_UTIL = Utility Stranded Cost Securitizations CDO_CBO = Collateralized Bond Obligation CDO_CDO = Collateralized Debt Obligation CDO_CLO = Collateralized Loan Obligation CMBS_CMBS = Commercial Mortgage-Backed Security OTH_OTH = Other SBA_SBA = Small Business Administration *case sensitive
othr_sub_ctgry_ky_tx	Other ABS Security Type Description	Conditional	Required ONLY if ABS Security Type = OTH (Free Text). Otherwise, leave blank.
issue_dt	ABS Pricing Date	Conditional	Required if Reason For Filing = 6760 MM/DD/YYYY
issue_tm_tx	Pricing Time	Optional	HH:MM
exctn_tm_tx	Time of First Execution	Optional	HH:MM
issr_nm	Issuer Name	Required	Free Text

deal_srs_tx	Deal ID	Required	Free Text
deal_nm	Deal Description	Required	Free Text
trnch_id	Tranche ID	Optional	Free Text
cpn_rt	Coupon	Optional	Numeric Max 2 digits after decimal
scrty_ds	Tranche Description	Required	Free Text
mtrty_dt	Maturity Date	Required	MM/DD/YYYY
rule_144a_fl	144A Eligible Indicator	Required	Values: Y- Yes N – No *case sensitive
reg_s_fl	Regulation S Indicator	Optional	Values: Y- Yes N - No *case sensitive

Fields for Uploading an MBS Security

Field	Description	Required	Instructions/Validations
cusip_id	CUSIP	Required	Must be exactly 9 characters
isin_id	ISIN	Optional	Must be exactly 12 characters
agncy_cd	Agency or GSE?	Required	Values: 1-Ginnie Mae 1 2-Ginnie Mae 2 3-Fannie Mae 4-Freddie Mac 5-US SBA
umbs_fl	Is the security UMBS?	Conditional	Required ONLY if Agency = Fannie Mae or Freddie Mac. Otherwise, leave blank. Values: Y-Yes N-No *case sensitive
pr_fl	Is this a Serial Note(Puerto Rico)?	Conditional	Required ONLY if Agency = Ginnie Mae 1. Otherwise, leave blank. Values: Y-Yes N-No

			*case sensitive
prpty_type_cd	Mortgage Product	Conditional	Required for all AGCY or GSE values except US SBA. Leave blank if AGCY or GSE value = US SBA. Values: C-Co-op S-Single Family M-Multi-Family H-Home Improvement Loans *case sensitive
issue_dt	Date	Conditional	Required if Reason For Filing = 6760 MM/DD/YYYY
cpn_type_cd	Coupon Type	Required	Values: A = ARM FIX = FIX *case sensitive
amrtn_type_cd	Amortization Type	Conditional	Required ONLY if Coupon Type = FIX. Otherwise, leave blank. Values: G-Graduated-Payment Mortgages B-Balloon Mortgages T-Tiered-Payment Mortgages R-Fixed Reverse Mortgages L-Level-Payment Mortgages H-Growing-Equity Mortgages W-Bi Weekly Mortgages D-Discount Mortgages Y-Buy Down Mortgages *case sensitive
orgnl_term_lm	Original Term	Required	Numeric Expressed in Months
scrty_ds	Issue Description	Required	Free Text
cpn_rt	Coupon	Required	Numeric Max 2 digits after decimal
mtrty_dt	Maturity Date	Required	MM/DD/YYYY
pool_nb	Pool Number	Optional	Free Text - max digits 6
wac_rt	Weighted Average Coupon (WAC)	Optional	Numeric not greater than 100
wam_lm	Weighted Average Maturity (WAM)	Optional	Numeric not greater than 600

wala_lm	Weighted Average Loan Age (WALA)	Optional	Numeric not greater than 600
updtd_wghtd_avg_loan_am	Average Loan Size	Optional	Numeric not greater than 1000000
orgnl_wghtd_avg_ltv_rt	Loan to Value (LTV)	Optional	Numeric not greater than 300

Fields for Uploading a Treasury Security

Field	Description	Required	Instructions/Validations
cusip_id	CUSIP	Required	Must be exactly 9 characters
isin_id	ISIN	Optional	Must be exactly 12 characters
debt_type_cd	Debt Type	Required	Values: FRNote - Floating Rate Note GovtBond - Bond (30 year) GovtNote - Note STRIPInt -Stripped - Interest Payment STRIPrin - Stripped - Principal Payment TIPS - TIPS TIPSInt - TIPS - Interest Strip Issue TIPSPrin - TIPS - Principal Strip Issue USTBill – Bill *case sensitive
cpn_type_cd	Coupon Type	Required	Values: FLT - Float FIX - Fixed OTH - Other STR - Strip DSC - Discount/Zero *case sensitive
othr_cpn_type_tx	Other Coupon Code Description	Conditional	Required ONLY if Coupon Type= OTH. Otherwise, leave blank.
cpn_rt	Coupon	Optional	Numeric
mtrty_dt	Maturity Date	Required	MM/DD/YYYY

Fields for Uploading a Foreign Sovereign

Field	Description	Required	Instructions/Validations
cusip_id	CUSIP	Required	Must be exactly 9 characters
isin_id	ISIN	Optional	Must be exactly 12 characters

bsym_id	FIGI	Conditional	Must provide either CUSIP or ISIN or FIGI
nstrt_type_cd	Security Type	Required	Case Sensitive **Values:** BND-Bond C2-Certificate of Participation CTF-Certificate DEB-Debenture NT-Note OTH-Other
othr_nstrt_type_tx		Conditional	
sry_type_cd	Bond Type	Required	Case Sensitive **Values:** SR-Senior Unsecured SUB-Subordinated Unsecured SEC-Secured SRSUB-Senior Subordinated Unsecured JRSUB-Junior Unsecured or Junior Subordinated Unsecured UN-Unsecured OTH-Other SRSEC-Senior Secured
othr_sry_type_tx	Other Bond Type	Conditional	Required only if Bond Type = OTH, otherwise leave blank Free Text
issr_nm	Issuer Name	Required	Free Text
issue_dt	Issuer Date	Conditional	***Required if Reason For Filing = 6760*** MM/DD/YYYY *Use Pricing Date when Issue Date is not known.*
issue_tm_tx	Pricing Time	Optional	HH:MM
first_trd_dt	First Trade/Execution Date	Optional	MM/DD/YYYY *If different than Issue/Pricing Date*
exctn_tm_tx	Time of First Execution	Optional	HH:MM
first_stlmt_dt	First Settlement Date	Optional	MM/DD/YYYY
rule_144a_fl	144A Eligible Indicator	Required	Case Sensitive **Values:** Y-Yes N-No

reg_s_fl	Regulation S Indicator	Optional	Case Sensitive **Values:** Y-Yes N-No
cnvrb_fl	Convertible Indicator	Required	**Values:** Y-Yes N-No
cpn_type_cd	Coupon Type	Required	Case Sensitive **Values:** FXPV-Fixed CNGT-Contingent TBPD-To Be Priced FRFF-Fixed to Floating FROT-Float VRGR-Step Up/Down OTH-Other FXZC-Zero
othr_cpn_type_tx	Other Coupon Type	Condition	Required ONLY if Coupon Type = OTH, otherwise leave blank
cpn_rt	Coupon	Condition	Required if Coupon Type = Fixed Numeric Max 2 digits after decimal
first_cpn_pymnt_dt	First Coupon Payment Date	Optional	MM/DD/YYYY
cpn_freq_cd	Coupon Frequency	Optional	Case Sensitive **Values:** OTH-Other 1-Annual 2-Semi-Annually PAM-Pays-at-Maturity NONE-None 12-Monthly 4-Quarterly VAR-Variable
othr_cpn_freq_tx	Other Coupon Frequency Description	Conditional	Required ONLY if Coupon Frequency = OTH, otherwise leave blank Free Text
mtrty_vs_prptl_cd	Maturity Date or Perpetual Security	Required	Case Sensitive **Values:** M - Maturity P - Perpetual
mtrty_dt	Maturity Date	Conditional	Required ONLY if Maturity/Perpetual = Maturity, otherwise leave blank MM/DD/YYYY

call_sched_fl	Call Indicator	Required	Case Sensitive **Values:** Y-Yes N-No
next_call_dt	Next Call Date	Conditional	Required ONLY if Call Indicator = Y, otherwise leave blank MM/DD/YYYY
next_call_pr	Next Call Price	Conditional	Required ONLY if Call Indicator = Y, otherwise leave blank USD Max 6 digit after decimal
mdys_crrnt_rtng_cd	Moodys Rating	Optional	Case Sensitive **Values:** A1 Ba3 A2 Baa1 A3 Baa2 Aa1 Baa3 Aa2 Ca Aa3 Caa1 Aaa Caa2 B1 Caa3 B2 C B3 D Ba1 NR Ba2
snp_crrnt_rtng_cd	S&P Rating	Optional	Case Sensitive **Values:** A BB+ A- BBB A+ BBB- AA BBB+ AA- C AA+ CC AAA CCC B CCC- B- CCC+ B+ D BB NR BB-

Document Revision Log

Version	Modification Date	Description of Change
1.2	7-17-2020	First published version.
1.3	10-7-2020	Modification to amortization type field for MBS securities.`
1.4	8-28-2023	Modification to include Fields for Uploading a Foreign Sovereign