
Using the IMPORT Feature to Import Stock, Bond, Mutual Fund, Interest, Dividends, Royalties and Rent Information into a Personal Financial Statement Report

CONTENTS

	Page
Overview.....	1
Stock Import.....	3
Bond Import	4
Mutual Fund Import	5
Interest, Dividends, Royalties, and Rents Import	6
Quantity of Shares Range Codes Table	7
Net Gain or Loss Amount Range Codes Table.....	7
Family Member ID Codes Table.....	7

Overview

This document describes the filing format used for importing stock, bond, and mutual fund information into a Personal Financial Statement report using the Texas Ethics Commission PFS filing application.

FILE LAYOUT FOR IMPORTING STOCKS, BONDS, MUTUAL FUNDS, INTEREST, DIVIDENDS, ROYALTIES, AND RENTS

Your import file must meet these requirements:

- Files should be in comma-separated value format and the filename **should end with a ".csv" extension.**
- All records are comma-separated value (CSV) format records.
- Trailing commas **must** be present for each field regardless of whether data is present.
- Double quotes (") may not be embedded in the data.
- Fields may be surrounded by double-quote characters.
- Any fields which contain embedded commas should always be surrounded by double-quotes.
- Double quotes cannot surround the first field.
- Some data must match entries in code tables. These code tables are described below.

It is highly recommended that you double-check imported records to make sure all information was successfully imported and then manually add anything that is missing.

NOTES ABOUT FIELD TYPES

It is important to prevent any fields from containing "leading spaces" (e.g., " Text information" has a leading space before the word Text). The filing application does not remove the leading spaces from the text. Fields with leading spaces can affect how the text appears in your tables in the filing application and how the text renders on the report.

Whereas any field may be surrounded by double-quote characters, it is very important that any fields that actually contain an embedded comma (such as a Stock description) are surrounded by double-quotes.

The total number of characters in a field cannot exceed the length defined for that field.

DATA FIELD LAYOUT FOR IMPORTING STOCKS, BONDS, MUTUAL FUNDS, INTEREST, DIVIDENDS, ROYALTIES, AND RENTS

The first column is a list of codes indicating whether a field is required for reporting purposes.

Rx	Required field; TEC rejects filing if absent
Cx	Conditionally required field; TEC may reject filing when absent; e.g., address fields are required if publicCorpFlag=N in the data file for Interest, Dividends, Royalties, and Rents Income.
Co	Conditionally optional; e.g., additional familyMemberID numbers.

Stock Data Import

Stock Data Record

#	R (x) C (x)	Field Name	Value Type	Max Len	Description
01	Rx	recordType	String	30	Record Type (identifies this record) Value: stockInfo
02	Rx	stockDescr	String	100	Stock description
03	Rx	sharesQtyRangeCd	String	30	Number of shares held or acquired range code. This field cannot be blank. Value: see "Quantity of Shares Range Codes" table below.
04	Rx	soldFlag	String	1	Indicates if the stock was sold. Value: Y, N
05	Rx	saleOutcomeCd	String	30	Indicates if the sale resulted in a gain or a loss. Value: GAIN, LOSS. Leave this field blank if there was no sale.
06	Rx	pfsAmountRangeCd	String	30	Range encompassing the Gain or Loss amount. Leave this field blank if there was no sale. Value: see "Net Gain or Loss Amount Range Table" below.
07	Rx	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.
08	Co	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.
09	Co	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.
10	Co	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.

Enter all family member IDs that held or acquired the stock entry.

Content of Sample File: [Stocks.csv](#)

```
#recordType,stockDescr,sharesQtyRangeCd,soldFlag,saleOutcomeCd,pfsAmountRangeCd,familyMemberID,familyMemberID,familyMemberID...
stockInfo,ABC Corp,LT1000,Y,LOSS,LT25000,1001,1002
stockInfo,DEF Inc.,LT5000,Y,GAIN,LT5000,1001
stockInfo,XYZ,LT500,N,,1001
```

Bond Data Import

Bond Data Record

#	R (x) C (x)	Field Name	Value Type	Max Len	Description
01	Rx	recordType	String	30	Record Type (identifies this record) Value: bondNote
02	Rx	instrumentDescr	String	100	Bond description
03	Rx	soldFlag	String	1	Indicates if the bond was sold. Value: Y, N
04	Rx	saleOutcomeCd	String	30	Indicates if the sale resulted in a gain or a loss. Value: GAIN, LOSS. Leave this field blank if there was no sale.
05	Rx	pfsAmountRangeCd	String	30	Range encompassing the Gain or Loss amount. Leave this field blank if there was no sale. Value: see "Net Gain or Loss Amount Range Table" below.
06	Rx	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.
07	Co	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.
08	Co	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.
09	Co	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.

Enter all family member IDs that held or acquired the bond entry.

Content of Sample File: [Bonds.csv](#)

```
#recordType,instrumentDescr,soldFlag,saleOutcomeCd,gainlossAmountRangeCd,familyMemberID,familyMemberID,familyMemberID...
```

```
bondNote,TX City Municipal Water Bond,Y,GAIN,LT25000,1001,1002
```

```
bondNote,TX City Utilities Bond,Y,LOSS,LT5000,1001
```

```
bondNote,CA City Railroad Bond,N,,1001
```

Mutual Fund Data Import

Mutual Fund Data Record

#	R (x) C (x)	Field Name	Value Type	Max Len	Description
01	Rx	recordType	String	30	Record Type (identifies this record) Value: mutualFund
02	Rx	fundDescr	String	100	Mutual fund description
03	Rx	sharesQtyRangeCd	String	30	Number of shares held or acquired range code. This field cannot be blank. (see "Quantity of Shares Range Codes" table below
04	Rx	soldFlag	String	1	Indicate if the stock was sold. Value: Y, N
05	Rx	saleOutcomeCd	String	30	Indicate if the sale resulted in a gain or a loss. Value: GAIN, LOSS. Leave this field blank if there was no sale.
06	Rx	pfsAmountRangeCd	String	30	Range encompassing the Gain or Loss amount. Leave this field blank if there was no sale. Value: see "Net Gain or Loss Amount Range Table" below.
07	Rx	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.
08	Co	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.
09	Co	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.
10	Co	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.

Enter all family member IDs that held or acquired the mutual fund entry.

Content of Sample File: [MutualFunds.csv](#)

```
#recordType,fundDescr,SharesQtyRangeCd,soldFlag,saleOutcomeCd,pfsAmountRangeCd,familyMemberID,familyMemberID,familyMemberID...
mutualFund,ABC Fund,LT5000,Y,GAIN,LT25000,1001,1002
mutualFund,DEF Fund,LT500,Y,LOSS,LT25000,1001
mutualFund,XYZ Fund,LT5000,N,,,1001
```

Interest, Dividends, Royalties, and Rents Income Data Import

Interest, Dividends, Royalties, and Rents Record

#	R (x) C (x)	Field Name	Value Type	Max Len	Description
01	Rx	recordType	String	30	Record Type (identifies this record) Value: interestDividend
02	Rx	nameOfSource	String	50	Source of income exceeding \$500 description
03	Cx	addr1	String	50	Source street address - line 1 <i>Note:</i> Required if publicCorpFlag field 10 is N.
04	Co	addr2	String	50	Source street address - line 2
05	Cx	city	String	30	Source street address – city <i>Note:</i> Required if publicCorpFlag field 10 is N.
06	Cx	country	String	30	Source street address - country (e.g., USA, UMI, MEX, CAN) <i>Note:</i> Required if publicCorpFlag field 10 is N.
07	Cx	stateCd	String	2	Source street address - state code (e.g. TX, CA) - for country=USA/UMI only <i>Note:</i> Required if publicCorpFlag field 10 is N.
08	Cx	postalCd	String	20	Source street address - postal code - for USA addresses only <i>Note:</i> Required if publicCorpFlag field 10 is N.
09	Rx	pfsAmountRangeCd	String	10	Range encompassing the income amount: one of LT5000, LT10000, LT25000, GTE25000.
10	Rx	publicCorpFlag	String	1	Indicate if the source of income is a publicly held corporation. Value: Y, N <i>Note:</i> If the source of income is a publicly held corporation, address fields 03 through 08 should be left blank. If the source of income is not a publicly held corporation, address fields 03 through 08 are required; however address field 04 is optional.
11	Rx	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.
12	Co	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.
13	Co	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.
14	Co	familyMemberID	String	4	Family Member ID as entered in the Family Member table for this report. Value: see "Family Member ID Codes", below.

Enter all family member IDs who received more than \$500 income from this source.

Content of Sample File: [InterestDividends.csv](#)

```
#recordType,nameOfSource,addr1,addr2,city,country,stateCd,postalCd,pfsAmtRangeCd,publicCorpFlag,familyMemberId,familyMemberID,familyMemberID,familyMemberID,familyMemberID...
interestDividend,P66,,,,,,,,,LT5000,Y,1001,,
interestDividend,John Q. Renter,123 Main,,Austin,USA,TX,12345,LT25000,N,1001,1002,,
interestDividend,Google,,,,,,,,,LT5000,Y,1001,1002,,
interestDividend,Wells Fargo,,,,,,,,,LT5000,Y,1001,1002,,
interestDividend,ABC Credit Union,123 Commerce,,Austin,USA,TX,12345,LT5000,N,1001,1002,,
interestDividend,Apple Records,,,,,,,,,LT5000,Y,1002,,
```

Quantity of Shares Range Codes

Quantity of Shares Range	Code
Less than 100	LT100
100 to 499	LT500
500 to 999	LT1000
1,000 to 4,999	LT5000
5,000 to 9,999	LT10K
10,000 or more	GTE10K

Net Gain or Loss Amount Range Codes

Net Gain or Loss Amount Range	Code
Less than \$5,000	LT5000
\$5,000 - \$9,999	LT10000
\$10,000 - \$24,999	LT25000
\$25,000 or more	GTE25000

Family Member ID Codes

The family member ID number assigned to the Filer is always 1001. ID numbers assigned to additional family members are assigned in the order the member was entered. The family member ID never changes once that member has been entered into a report. If you delete a family member, all the other family members retain their original ID number.

The Family Member ID Table is displayed when you select “Upload Data” on an in-progress report from your “Manage My Reports” page.

Family Member Id Table		
Name	Relation	Family Member ID
Dana Spouse	SPOUSE	1002
Johnny Kidz	DEPENDENT	1003
Suzie Kidz	DEPENDENT	1004

Family Member ID Codes Table

Family Member	Code
Filer	1001
Family Member 2	1002
Family Member 3	1003
Family Member 4	1004