

RIXML Standards Suite v3.0 Enumeration List Review Project

Enumeration review set 2: Information about people and organizations, including contact information and audience type

Context:

If you have not already done so, please review the [overview](#) of the RIXML v3.0 Enumeration List Review Project.

To understand the context for the enumeration lists being reviewed in this document, please read the following sections of the [Draft Release Notes and Data Dictionary](#) document:

- Overview (pages 7-10)
- Title and summary information (pages 24-26)
- Person/authorship information (pages 27-37)
- Component (page 66)
- Title Attribute group (page 85)

Both of these documents are available on the RIXML website. Note that the page numbers referenced above are based on the draft version dated December 18, 2024; minor changes may occur in updated versions.

Enumerations to review / review priority:

Enumeration list	Review importance
Indicating the intended audience	
AudienceTypeEnum	HIGH
Contact information	
ContactInfoPurposeEnum	HIGH
ContactInfoNatureEnum	LOW
PhoneLocationEnum	LOW
PhoneTypeEnum	LOW
Person/author and group information	
RoleEnum	HIGH
Organization (publishing firm) information	
OrganizationTypeEnum	HIGH
OrganizationNameTypeEnum	MEDIUM
[POTENTIAL] OrganizationIDTypeEnum	TBD

Details about how and where the above enumerations are used, along with specific questions for your consideration, appear below.

Details about each list:

Category 1: indicating the intended audience for a title, subtitle, etc.:

List:	AudienceTypeEnum	Review importance: HIGH
Where used:	titleAttributeGroup.audienceType The titleAttributeGroup is used in the following: Title.audienceType SubTitle.audienceType Abstract.audienceType Synopsis.audienceType ComponentSourceLine.audienceType	Full documentation details: Tag description pages 24-26, 66, 85 Enumeration list page 87
Summary:	<p>The AudienceTypeEnum enumeration is used in the title, subtitle, synopsis, and abstract tag sets. It is also available for use describing the intended audience of a component (sub-section) of a research item. It is an optional tag, intended to be used in cases where a publisher is providing more than one title (or subtitle, etc.) and wants to indicate the intended audience for that particular title. For example, if a redacted title is to be displayed for public audiences, and the “full” title will only be displayed for authorized audiences once confirmed by logging in, then the publisher may indicate one title’s AudienceType = Public and the other title’s AudienceType = Institutional.</p>	Enumeration values:
Notes:	<ul style="list-style-type: none"> in prior versions, AudienceType was used in the Entitlements tag set; v3.0 has streamlined entitlements and no longer uses AudienceType for entitlements. It is now only used for describing the intended audience for a particular title, subtitle, synopsis, or abstract. Because this list is used for an entirely different purpose in v3.0 than in prior versions, we want to review the list thoroughly to ensure that it meets the needs of describing the audience for a title, subtitle, abstract, synopsis, or component. 	Institutional PrivateClient Corporate Government Educational Retail Press Prospect Trading Salesforce Shareholder BuySide Public QualifiedInstitutionalBuyer CorrespondentBroker SellSide Client InvitationOnly PublisherDefined
Questions:	<ul style="list-style-type: none"> Based on the purpose described above, are there terms missing in the list? 	

Category 2: contact information

List:	ContactInfoPurposeEnum	Review importance: HIGH
Where used:	ContactInfo.purpose	Full documentation details: Tag description page 28 Enumeration list page 96
Summary: The ContactInfo.purpose is an optional attribute, mainly provided for event-related records, interaction records, audio/video files, etc. rather than for traditional research content. In the Research standard, this tag would be omitted for research content that does not include event-related information.	Enumeration values: Participation Replay Operator QuestionAnswer Registration	
Notes: <ul style="list-style-type: none">This enumeration is used to indicate what purpose the phone number and/or email address serves, for example the dial-in number for a call (Participation), the email address to send a registration request (Registration), etc.		
Questions: <ul style="list-style-type: none">Are any other values needed to describe the purpose of contact information included in event-related Research items or for interaction records?For research content, our current recommendation is to omit the ContactInfo.purpose attribute and instead use the RoleEnum (see below), since the ContactInfo tag set is used to provide contact information for the person, group, and/or firm who is authoring/publishing the research item. Is there any use case where indicating the purpose for contact information for a research item would be needed or helpful?Likewise, the contact information provided in the roster updates and coverage updates standards seems straightforward. Would adding the ContactInfo.purpose ever be needed for those?		

List:	ContactInfoNatureEnum	Review importance: LOW
Where used:	ContactInfo.nature	Full documentation details: Tag description page 28 Enumeration list page 86
Summary: The ContactInfoNatureEnum is straightforward: it indicates whether the contact information provided is personal or business.	Enumeration values: Personal Business	
Questions: <ul style="list-style-type: none">Are there any other options?		

List:	PhoneLocationEnum	Review importance: LOW
Where used:	Phone.location	Full documentation details: Tag description page 29 Enumeration list page 97
Summary: The Phone.location tag allows publishers to indicate whether a phone number is an office, home, or mobile number.	Enumeration values: Office Home Mobile	
Questions: <ul style="list-style-type: none">Are any other options needed?		

List:	PhoneTypeEnum	Review importance: LOW
Where used:	Phone.type	Full documentation details: Tag description page 29 Enumeration list page 86
Summary:	The Phone tag set requires a publisher to indicate the type of phone number being provided via the Phone.type tag, and optionally to provide the location via the Phone.location tag.	Enumeration values: Voice Text VoiceAndText * Fax Pager **
Notes:	<ul style="list-style-type: none"> Also used in Interactions, although the only options are fax, voice, pager. 	* New **Deprecated
Questions: <ul style="list-style-type: none"> Any reason not to remove <i>Pager</i>? Would 'TextMessaging' be more clear than 'Text'? Are any other options needed? 		

Category 3: person/author and group information

List:	RoleEnum	Review importance: HIGH
Where used:	PersonGroup.role PersonGroupMember.role	Full documentation details: Tag description page 18 and 54 Enumeration list page 100
Summary:	For authorship, this list is used to indicate the role that a group or a person plays <u>regarding authorship of the item</u> (not their role in the company). It is also be used to identify a person or group's role in an event.	Enumeration values: Author Publisher Host Sponsor Coordinator Attendee Participant Speaker SalesContact IRContact PublisherDefined
Notes:	<ul style="list-style-type: none"> The Interactions standard also uses this list with no additions, deletions, or changes. 	
Questions: <ul style="list-style-type: none"> Based on the above information, are there any other roles a person, group, or firm might have for a research item, event, interaction, roster update, or coverage update? 		

Category 4: organization (publishing firm) information

List: OrganizationTypeEnum		Review importance: HIGH
Where used: Organization.type EventDetails.EventSponsor	Full documentation details: Tag description page 36 (and 78) Enumeration list page 92	
Summary: The Organization tag set includes a required “type” attribute that uses the OrganizationTypeEnum; as such, this tag and enumeration list are used in multiple places across all of the Standards in v3.0.		Enumeration values: SellSideFirm BuySideFirm Corporation IndustryAssociation AcademicInstitution Government RatingAgency MarketResearchFirm IndependentResearchProvider Consultancy Regulatory MarketingAgency WealthManager PublisherDefined
Notes: <ul style="list-style-type: none">• The Organization element, including the <i>type</i> attribute, is used in the Research standard at the top level to describe the organization(s) publishing an item; nested within is also the information about the individuals and/or teams who are the author(s) of the research item.• It is also used in the Event tag set to indicate the type of firm sponsoring an event.• In the Roster Updates Standard, the Organization tag set is used to describe the entity publishing the roster update.• In the Coverage Updates Standard, the Organization tag set is used to describe the covering entity (that is, the firm issuing the coverage update, and for whom the individuals in the list work).• In the Interactions standard, the Organization tag set is used to describe the host firm(s) and participant(s) in an interaction.		
Questions: <ul style="list-style-type: none">• Does this list include all types of firms in all places the Organization tag set is used?• PROPOSED ADDITION: a member firm has recommended adding the following: BusinessUnit. This would be used when a firm distributes content from multiple business units in the same feed externally or wants to display/filter/sort by business unit for their own research delivery platforms. Adding BusinessUnit would allow the publisher to include the organization information about both the parent company and the individual business unit.• Does the above list include all relevant options for third-party experts who may participate in or host an event or interaction, or who act as a guest author/co-author, etc. for a research item? The list does have several terms that may apply (Consultancy, Regulatory, AcademicInstitution, IndustryAssociation, etc.), but are any broad categories missing? Please review the AudienceTypeEnum list that we reviewed previously, as some of the values in that list may be appropriate in this list as well.		

List:	OrganizationNameTypeEnum	Review importance: MEDIUM
Where used:	OrganizationName.nameType IssuerName.issuerNameType	Full documentation details: Tag description page 37 (and 53) Enumeration list page 97
Summary:	The OrganizationNameTypeEnum list has been combined with the IssuerNameTypeEnum list for v3.0; in the past, these were separate but nearly identical lists.	Enumeration values: Legal Local Display Trading * Parent *New in the IssuerNameTypeEnum
Notes:	<ul style="list-style-type: none"> In prior versions, <i>Trading</i> was in the OrganizationNameTypeEnum, but not in the IssuerNameTypeEnum. We have merged them in v3.0 as these two lists are nearly identical. 	
Questions:	<ul style="list-style-type: none"> Are there any considerations/concerns regarding combining the OrganizationNameTypeEnum and the IssuerNameTypeEnum lists as described above? 	

List:	POTENTIAL NEW ENUMERATION	Review importance: TBD
Where used:	Could potentially be used in the following: OrganizationID.idType	Full documentation details: Tag description page Enumeration list page
Summary:	The optional idType attribute in the OrganizationID tag set is currently a free-text field, allowing the publisher to provide the organization ID(s) required by content aggregators, etc.	Enumeration values: None currently
Notes:	<ul style="list-style-type: none"> The documentation states, “Indicates the type of ID used. Examples: CUSIP, VendorCode.” 	
Questions:	<ul style="list-style-type: none"> QUESTION: should this OrganizationID.idType attribute be constrained by an enumeration list, with a PublisherDefined option? We would like to discuss the pros and cons. This list would likely contain several values in common with the IssuerSecurityIDTypeEnum list that we will be discussing in a separate review document; we will revisit this question at that time as well. 	

List:	[NOT CURRENTLY USED IN RESEARCH STANDARD]	Review importance: TBD	
OrganizationCategory AND StandardizedRoleEnum			
Where used:	[CURRENTLY ONLY USED IN INTERACTIONS]		
Summary: In the Interactions standard, there is an OrganizationCategory tag set that indicates whether each individual participating in an interaction is acting as a consumer, a provider, an outside expert, or a corporate representative. There is also a StandardizedRole tag set that allows the publisher to indicate a standardized role for any or all participants in the interaction. In some cases this information may be used to determine the “value” of the interaction. The list below breaks the full list into categories to indicate which roles are appropriate for each participant type. Note that some roles are valid in more than one participant type; these appear in each of the appropriate lists below.			
Valid for CONSUMER participants	Valid for CORPORATE participants	Valid for THIRD-PARTY participants	Valid for PROVIDER participants
BrokerLiason Compliance ConsumerAnalyst ConsumerClientManagement ConsumerCoordinator ConsumerIT ConsumerSales DirectorOfResearch PorfolioManager PublisherDefined	BoardMember BoardSecretary BusinessDevelopment CEO CFO Chairman CIO-Information CIO-Investment CMO COO CRO CSO CTO Director Executive ExecVicePresident Founder GeneralCounsel HeadOfBusiness InvestorRelations ManagingDirector ManagingPartner Partner President RegionalHead SeniorVicePresident Treasurer ViceChairman VicePresident PublisherDefined	DataScientist GovernmentExpert IndustryExpert MacroStrategist MedicalExpert Regulator PublisherDefined	AnalystEquity AnalystFixedIncome AnalystFX BusinessDevelopment Compliance COO DirectorOfResearch InvestmentBanker MacroStrategist ProviderClientManagement ProviderCoordinator ProviderIT ProviderManagement ProviderSales SpecialistSales PublisherDefined
Questions: <ul style="list-style-type: none">• The StandardizedRole tag, which currently exists only in the Interactions standard, is somewhat similar to the JobRole tag that has long existed in the PersonDetails tag set as a free-text field; the difference is that the StandardizedRole is intended to provide consistent terminology across firms while the JobRole allows the publisher to indicate the role using their firm’s terminology.• We would like to update the Organization tag set to include this functionality so that it will be available for Interactions v3.0; we will determine whether or not to recommend its usage in some/all of our other standards based on member firm input.• For firms that use the Research Standard to convey Event information, is the above information needed/helpful (note that the rest of the event-related tags will be reviewed separately)?			