

COMPLIANCE WORKING RECORD

Regulatory return data validator

FICTIONAL evidence sample. Requires tailoring.

Document control

Field	Value
Document type	Evidence workpaper
Document reference	CASE-FICTIONAL
Jurisdiction	United States
Version	2026-10-09.regulatory-training.1
Status	FICTIONAL sample. Requires tailoring.
Classification	Private
Prepared by	Fictional reviewer
Prepared on	October 9, 2026
Sources reviewed	October 9, 2026
Generated	October 9, 2026

Document control and frozen case

Validate a specifically supported SEC Form 13F 2.0 information table and produce full schema-ordered XML with exact count and dollar-value reconciliation.

Field	Value
Case reference	CASE-FICTIONAL
Organization	Fictional organization
Subject	Fictional bounded review
Responsible reviewer	Fictional reviewer
Preparation date	October 9, 2026

Field	Value
Scope	Fictional customer-approved workflow. Replace every example before real use.
Customer policy	POLICY-FICTIONAL
Customer policy version	fictional-v1
Declared approver	Fictional policy owner
Declared approval date	October 2, 2026
Decision boundary	No substantive decision or external filing made.

Named method and supported scope

Check current information-table field types and enumeration values, optional fields and required sequence. Sum integer dollar values with BigInt, compare declared totals and preserve every field error. Emit XML only with zero structural and summary errors.

Supports 1 to 100 information-table entries only. Does not validate a complete Form 13F cover, securities-list eligibility, CUSIP checksum, pricing or portal acceptance. Other forms and versions require a separate implementation.

All original evidence, approved rules, recipient events and factual verification remain customer declarations. File hashes establish retained byte identity only.

The tool does not decide credibility, legal applicability, publication, competence, participation, signature, delivery, regulator acceptance or submission.

Prepared results preserve complete accepted records. Recovery never creates payment, source authentication, fresh consent or approval authority.

Complete result counts

Measure	Value
Information-table entries	1
Schema or summary error count	0
Exact total value USD	1234567

Complete supported information table

The pack includes the complete schema-ordered information-table.xml. The following exact XML is a local preparation artifact, not an EDGAR filing.

```
<?xml version="1.0" encoding="UTF-8"?>
<informationTable
xmlns="http://www.sec.gov/edgar/document/thirteenf/informationtable"><infoTable><nameOfIssuer>FICTIONAL
ISSUER</nameOfIssuer><titleOfClass>FICTIONAL COMMON</titleOfClass><cusip>000000000</cusip><value>1
234567</value><shrsOrPrnAmt><sshPrnamt>100</sshPrnamt><sshPrnamtType>SH</sshPrnamtType></shrsOrPrnA
mt><investmentDiscretion>SOLE</investmentDiscretion><votingAuthority><Sole>100</Sole><Shared>0</Shared><
None>0</None></votingAuthority></infoTable></informationTable>
```

1. Original evidence source (S1)

State. Customer verification linked

Customer-declared source identity and verification. Original contents are not extracted or independently authenticated.

Field	Value
Original file ID	F1
Locator	Fictional section one
Source date	October 1, 2026
Custodian	Fictional customer custodian
Description	Fictional source declaration. Does not establish real source evidence.
Customer verification	Customer verified
Verified by	Fictional customer reviewer
Verified on	October 2, 2026
Exact evidence source references	S1

2. Original byte manifest (F1)

State. Indexed

Complete attachment export requires these exact original bytes.

Field	Value
Filename	FICTIONAL-regulatory-training-evidence.txt
Media type	text/plain
Bytes	206
SHA-256	5caf71f8ad946bcc893f678cedea5f9390a5d12eb1f3e5f2e2c5b0789f93d574
Exact evidence source references	S1

3. Frozen customer policy (POLICY-FICTIONAL)

State. Documented

Exact customer-approved policy retained. Applicability and authority remain customer declarations.

Field	Value
Version	fictional-v1
Approver	Fictional policy owner
Approval date	October 2, 2026
Exact evidence source references	S1

4. Form 13F information-table entry (HOLD1)

State. Supported field structure

Current SEC 2.0 information-table data schema only. Securities-list eligibility, valuations, authority and complete filing are not verified.

Field	Value
reference	HOLD1
nameOfIssuer	FICTIONAL ISSUER

Field	Value
titleOfClass	FICTIONAL COMMON
cusip	000000000
figi	
value	1234567
sshPrnamt	100
sshPrnamtType	SH
putCall	
investmentDiscretion	SOLE
otherManager	
Sole	100
Shared	0
None	0
sourceIds	["S1"]
Original source status	Documented
Gaps	
Exact evidence source references	S1

5. Form 13F summary reconciliation (CASE-FICTIONAL)

State. Supported information table prepared

Exact values are dollars under the current schema. No thousands conversion, CUSIP checksum, official securities-list lookup or EDGAR acceptance claim.

Field	Value
Supported form	SEC Form 13F Information Table
Schema version	2.0
Declared count	1

Field	Value
Actual count	1
Declared dollar value	1234567
Exact total dollar value	1234567
Count agrees	true
Value agrees	true
Reporting period end	September 30, 2026
Quarter end not after preparation	true
Exact evidence source references	None supplied

Complete accepted task inputs

The following exact accepted fields preserve every supplied task record, including orphan records and contradictions. They are customer annotations, not independently extracted or authenticated evidence.

Field	Value
form	SEC Form 13F Information Table
schemaVersion	2.0
reportPeriodEnd	September 30, 2026
declaredEntryCount	1
declaredTotalValue	1234567
holdings 1. reference	HOLD1
holdings 1. nameOfIssuer	FICTIONAL ISSUER
holdings 1. titleOfClass	FICTIONAL COMMON
holdings 1. cusip	000000000
holdings 1. figi	
holdings 1. value	1234567

Field	Value
holdings 1. sshPrnamt	100
holdings 1. sshPrnamtType	SH
holdings 1. putCall	
holdings 1. investmentDiscretion	SOLE
holdings 1. otherManager	
holdings 1. Sole	100
holdings 1. Shared	0
holdings 1. None	0
holdings 1. sourceIds	S1

Recovery and original attachment boundary

The complete local ZIP includes every original file listed in the retained manifest. A structured JSON or cloud record alone preserves the descriptor and annotation, not the original file bytes. Attach matching bytes before producing a complete original-attachment pack.

Customer recovery restores neither source authentication, approval authority nor paid export access. Payment ownership is checked before each commercial export.

Official sources

Source	Provision	Date	Link
Securities and Exchange Commission: EDGAR Form 13F XML Technical Specification. Version 2.0	The current September 14, 2026 package contains eis_13FDocument.xsd for the information table. This method validates its supported fields, sequence and exact totals only, not complete filing headers, valuation, reportability or EDGAR acceptance.	October 9, 2026	https://www.sec.gov/files/edgar/filer-information/specifications/edgar-form-13f-xml-technical-specification-2-0.zip