

Order Handling Data Technical Specification (DRAFT)

July 29, 2016

This draft Order Handling Data Technical Specification is being posted for public review in connection with Commission consideration of potential regulatory changes. Commission staff encourages the public to participate in the public review of this draft Technical Specification, which provides the technical specifications that broker-dealers would use to provide the retail and institutional customers with data on order handling, and provide the public with data on aggregate order handling. The availability for public comment of this draft Technical Specification does not indicate Commission approval of any potential regulatory changes reflected in this draft Technical Specification. Please provide comments on the draft Order Handling Data Technical Specification via email to StructuredData@sec.gov and include “Draft Order Handling Data Technical Specification” in the “General Subject Matter” section no later than September 26, 2016.

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1 OVERVIEW

1.1 Goal

This document provides the technical specification for how broker-dealers would provide reports required under proposed 17 CFR 242.606(a)(1), 242.606(b)(1), 242.606(b)(3), and 242.606(c).

The Technical Specification defines syntax of data elements, their contents, element arrangements, validation methods and dissemination methods for both Retail Order Routing and Institutional Order Handling Reports.

This Technical Specification has been created for the limited purpose of providing a technical audience with the specifications for conforming order handling data to the order handling data schema. This specification does not provide interpretative guidance for any rule.

1.2 Definitions

Retail Order Routing Reports: Collectively, the Retail Order Routing Public Report and Retail Order Routing Customer Report.

Retail Order Routing Public Report: The quarterly report required by 606(a), in XML format.

Retail Order Routing Customer Report: The report required by 606(b)(1), in XML format.

Institutional Order Handling Reports: Collectively, the Institutional Order Handling Customer Report and Institutional Order Handling Public Report.

Institutional Order Handling Customer Report: The report required by 606(b)(3), in XML format.

Institutional Order Handling Public Report: The quarterly report required by 606(c), in XML format.

Retail Order: As defined per proposed 600(b)(19).

Institutional Order: As defined per proposed 600(b)(31).

XML Schema: A World Wide Web Consortium (W3C) recommendation that specifies how to formally describe the elements in an Extensible Markup Language (XML) document. This description can be used to verify that each item of content in a document adheres to the description of the element in which the content is to be placed.

Schema for Order Handling Reports: The most recent XML 1.0 Schema posted on the SEC web site.

Valid File: An XML file representing any one of the four order reports that is valid with respect to the Schema for Order Handling Reports.

Report Renderer: The most recent JavaScript program to validate a file and transform the Valid File to PDF; this JavaScript program may be executed in any convenient JavaScript processor, and in particular, the program can run from a web page where any user may select a file for their browser to privately check its validity and perform the transformation.

PDF File: A PDF formatted file as produced by the Report Renderer.

1.3 Dissemination

The broker-dealer shall disseminate reports to customers upon request and to the public each quarter as both Valid Files and PDF Files.

1.3.1 Public Reports

Broker-dealers shall display Public Reports on their web site at a permanent URL that is readily accessible. The URL shall provide the following links, also readily accessible:

- 1) Permanent links to the most current quarterly Retail Order Routing Public Report:
 - a) A Valid File;
 - b) A PDF File as produced by the Report Renderer processing the Valid File;
 - c) The same data in any other formats at the broker-dealer's option.
- 2) Permanent links to the most current quarterly Institutional Order Handling Public Report:
 - a) A Valid File;
 - b) A PDF File as produced by the Report Renderer processing the Valid Report;
 - c) The same data in any other formats at the broker-dealer's option.
- 3) Permanent links to three years' worth of reports (that is, up to 11 additional sets of links):
 - a) Each Valid File (valid as of its original date of posting);
 - b) Each PDF file as produced by the Report Renderer (as of its original date of posting);
 - c) The same data in any other formats at the broker-dealer's option.

1.3.2 Customer Reports

Broker-dealers shall disclose to its customer on request:

- 1) To Customers placing Retail Orders:²
 - a) A Valid Report that is a Retail Order Routing Customer Report for the preceding six months of activity;
 - b) A PDF File as produced by the Report Renderer processing the Valid Report;
 - c) The same data in any other formats at the broker-dealer's option.
- 2) To Customers placing Institutional Orders:³
 - a) A Valid Report that is an Institutional Order Handling Customer Report for the preceding six months of activity;
 - b) A PDF File as produced by the Report Renderer processing the Valid Report;
 - c) The same data in any other formats at the broker-dealer's option.

1.4 Concept Definition Tables

The headers of a concept definition table are as follows:

Ref. provides the citation to the relevant section within proposed 17 CFR 242.606.

Concept is the brief title for the data element.

D denotes the depth of nesting within the XML report that the element occurs.

denotes the number of occurrences allowed for a given element. "1" indicates the element is required; "1..n" indicates that at least 1 and at least n occurrences are allowed, with "*" indicating an unlimited number of occurrences.

¹ No historic reports would be required pursuant to proposed 17 CFR 242.606.

² See proposed 17 CFR 242.600(b)(19).

³ See proposed 17 CFR 242.600(b)(31).

Element is the abbreviation used in the schema and in schema-valid instance files. For example, “Shares Routed” is a concept, while `routed` is the element name.

Definition: When the concept is defined in the proposed rule that definition is provided here. Simple elements may be described as numbers, text, time stamps, etc., but some elements are composed of other elements.

1.5 Abbreviations Used Within Element Names

Elements that are numeric amounts have a suffix in its name to indicate the unit of measure and the valid range of values, e.g., `orderPct`. The suffixes used in the schema are as follows:

- **Shr:** Shares, 0 or more.
- **Ord:** Orders, 0 or more.
- **Pct:** A percentage value between 0 and 100 inclusive, to two decimal places. Example: "99.44" means 99.44%. Where a percentage is not meaningful because its denominator would be zero, use the empty text string "".
- **Cph:** Cents per Hundred shares, positive or negative, to four decimal places. Example: "1.5000" means one and a half cents per hundred shares.
- **Usd:** US Dollars, positive or negative.
- **Msec:** Milliseconds, 0 or more, rounded to the nearest whole number. Example: 21.5 milliseconds is reported as "22" meaning 22 milliseconds, that is, 0.022 seconds.

1.6 Reporting Data for Months in which there is no Activity

Monthly data for a venue or customer for which no orders were routed or executed shall be represented in the report the following way:

Year and month: Provide the year and month even when there was no activity.

Elements measured in USD, Shares, or Orders: Use only the value 0.

Elements measured in Pct, Cph, or Msec, or Flags: Do not omit the element; use only an empty element (for example, `<ndoMarketPct/>`). Values such as N/A or NA are invalid.

1.7 Validation

XML Schema validation will signal errors such as missing or misplaced elements, negative values where a positive value is required, values outside the expected range, and insufficient decimal digits of precision. XML Schema validation will also signal errors such as when a list of months contains repeated months.

2 RETAIL ORDER ROUTING PUBLIC REPORT DEFINITIONS

The retail order routing public report is disclosed to the public each calendar quarter and is broken down by calendar month. The XML root element is `retailOrderRoutingPublicReport`.

Ref.	Concept	D	#	Element	Definition
(a)(1)	Version	1	1	version	The version identifier of the schema.

Ref.	Concept	D	#	Element	Definition
(a)(1)	Broker-Dealer	1	1	bd	The name of the broker-dealer providing the order routing report, from one to 50 characters.
(a)(1)	Year	1	1	year	The calendar year in the range 2000 to 2099 for which the most recent month of order routing data is included.
(a)(1)	Quarter	1	1	qtr	The calendar quarter in the range 1 to 4 for which the most recent month of order routing data is included.
(a)(1)	Report timestamp	1	0..1	timestamp	The UTC date and time rounded to the nearest second for which the report data was generated, with half seconds rounded up.
(a)(1)	Retail Orders, All Venues, One Month	1	3	rMonthly	Retail order routing data for one month, for either stocks or options, aggregated across all execution venues.
(a)(1)	Year	2	1	year	Calendar year from 2000 to 2099 inclusive.
(a)(1)	Month	2	1	mon	Calendar month number from 1 to 12 inclusive.
(a)(1)	Retail Securities Orders	2	1	rSecurities	Retail routing data for three to six months at one venue, for the stocks section.
(a)(1)(i)	Non-directed Orders	3	1	ndoPct	The percentage of total retail orders (for this report section) that were non-directed orders.

Ref.	Concept	D	#	Element	Definition
(a)(1)(i)	Non-directed Market Orders	3	1	ndoMarketPct	The percentage of total non-directed retail orders (for this report section) that were market orders.
(a)(1)(i)	Non-directed Marketable Limit Orders	3	1	ndoMarketableLimitPct	The percentage of total non-directed retail orders (for this report section) that were marketable limit orders.
(a)(1)(i)	Non-directed Non-marketable Limit Orders	3	1	ndoNonmarketableLimitPct	The percentage of total non-directed retail orders (for this report section) that were non-marketable limit orders.
(a)(1)(i)	Non-directed Other Orders	3	1	ndoOtherPct	The percentage of total non-directed retail orders (for this report section) that were not market orders and were not limit orders.
(a)(1)(ii)	Venues	3	1	rVenues	Retail order routing data for all venues, not aggregated.
(a)(1)(ii)	Venue	4	0..*	rVenue	All retail order routing data for one venue.
(a)(1)(ii)	Venue Name	5	0..1	name	The venue to which retail orders were routed by the broker or dealer.
(a)(1)(ii)	Venue MIC Code	5	0..1	mic	ISO 10383 (MIC) code of the venue to which retail orders were routed by the broker or dealer. At least name or MIC, is required. Providing both name and MIC is acceptable.
(a)(1)(ii)	Retail Orders, One Month, One Venue	5	1	orderPct	The percentage of total non-directed orders for the section routed to the venue.

Ref.	Concept	D	#	Element	Definition
(a)(1)(ii)	Retail Market Orders, One Month, One Venue	5	1	marketPct	The percentage of total non-directed retail orders for the section routed to the venue that were market orders.
(a)(1)(ii)	Retail Marketable Limit Orders, One Month, One Venue	5	1	marketableLimitPct	The percentage of total non-directed retail orders for the section routed to the venue that were marketable limit orders.
(a)(1)(ii)	Retail Non-Marketable Limit Orders, One Month, One Venue	5	1	nonMarketableLimitPct	The percentage of total non-directed retail orders for the section routed to the venue that were non-marketable limit orders.
(a)(1)(ii)	Retail Other Orders, One Month, One Venue	5	1	otherPct	The percentage of total non-directed retail orders for the section routed to the venue that were not market orders and were not limit orders.
(a)(1)(iii)	Net Payment Received for Market Orders, Net USD	5	1	netPmtPaidRecvMarketOrdersUsd	The net aggregate amount (in dollars) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed market orders.

Ref.	Concept	D	#	Element	Definition
(a)(1)(iii)	Net Payment Received for Market Orders, Net Cents Per Hundred Shares	5	1	netPmtPaidRecvMarketOrdersCph	The net aggregate amount (in cents per hundred shares) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed market orders.
(a)(1)(iii)	Net Payment Received for Marketable Limit Orders, Net USD	5	1	netPmtPaidRecvMarketableLimitOrdersUsd	The net aggregate amount (in dollars) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed marketable limit orders.
(a)(1)(iii)	Net Payment Received for Marketable Limit Orders, Net Cents Per Hundred Shares	5	1	netPmtPaidRecvMarketableLimitOrdersCph	The net aggregate amount (in cents per hundred shares) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed marketable limit orders.

Ref.	Concept	D	#	Element	Definition
(a)(1)(iii)	Net Payment Received for Non-Marketable Limit Orders, Net USD	5	1	netPmtPaidRecvNonMarketableLimitOrdersUsd	The net aggregate amount (in dollars) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed non-marketable limit orders.
(a)(1)(iii)	Net Payment Received for Non-Marketable Limit Orders, Net Cents Per Hundred Shares	5	1	netPmtPaidRecvNonMarketableLimitOrdersCph	The net aggregate amount (in cents per hundred shares) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed non-marketable limit orders.
(a)(1)(iii)	Net Payment Received for Other Orders, Net USD	5	1	netPmtPaidRecvOtherOrdersUsd	The net aggregate amount (in dollars) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed other orders.

Ref.	Concept	D	#	Element	Definition
(a)(1)(iii)	Net Payment Received for Other Orders, Net Cents Per Hundred Shares	5	1	netPmtPaidRecvOtherOrdersCph	The net aggregate amount (in cents per hundred shares) of any transaction rebates received of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed other orders.
(a)(1)(iv)	Material Aspects Discussion	5	1	materialAspects	A discussion of the material aspects of the broker's or dealer's relationship with each venue identified pursuant to Rule 606(a)(1)(ii).
(a)(1)(ii)	Retail Options Contract Orders	2	1	rOptions	Retail order routing data for three to six months at one venue, for the option contracts section.
(a)(1)(i)	Non-directed Orders	3	1	ndoPct	<i>Same as above.</i>
(a)(1)(i)	Non-directed Market Orders	3	1	ndoMarketPct	<i>Same as above.</i>
(a)(1)(i)	Non-directed Marketable Limit Orders	3	1	ndoMarketableLimitPct	<i>Same as above.</i>
(a)(1)(i)	Non-directed Non-marketable Limit Orders	3	1	ndoNonmarketableLimitPct	<i>Same as above.</i>
(a)(1)(i)	Non-directed Other Orders	3	1	ndoOtherPct	<i>Same as above.</i>
(a)(1)(ii)	Venues	3	1	rVenues	<i>Same as above.</i>
(a)(1)(ii)	Venue	4	0..*	rVenue	<i>Same as above.</i>
(a)(1)(ii)	Venue Name	5	0..1	name	<i>Same as above.</i>
(a)(1)(ii)	Venue MIC Code	5	0..1	mic	<i>Same as above.</i>

Ref.	Concept	D	#	Element	Definition
(a)(1)(ii)	Retail Orders, One Month, One Venue	5	1	orderPct	<i>Same as above.</i>
(a)(1)(ii)	Retail Market Orders, One Month, One Venue	5	1	marketPct	<i>Same as above.</i>
(a)(1)(ii)	Retail Marketable Limit Orders, One Month, One Venue	5	1	marketableLimitPct	<i>Same as above.</i>
(a)(1)(ii)	Retail Non-Marketable Limit Orders, One Month, One Venue	5	1	nonMarketableLimitPct	<i>Same as above.</i>
(a)(1)(ii)	Retail Other Orders, One Month, One Venue	5	1	otherPct	<i>Same as above.</i>
(a)(1)(iii)	Net Payment Received for Market Orders, Net USD	5	1	netPmtPaidRecvMarketOrdersUsd	The net aggregate amount (in dollars) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed market orders.

Ref.	Concept	D	#	Element	Definition
(a)(1)(iii)	Net Payment Received for Market Orders, Net Cents Per Hundred Shares	5	1	netPmtPaidRecvMarketOrdersCph	The net aggregate amount (in cents per hundred shares) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed market orders.
(a)(1)(iii)	Net Payment Received for Marketable Limit Orders, Net USD	5	1	netPmtPaidRecvMarketableLimitOrdersUsd	The net aggregate amount (in dollars) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed marketable limit orders.
(a)(1)(iii)	Net Payment Received for Marketable Limit Orders, Net Cents Per Hundred Shares	5	1	netPmtPaidRecvMarketableLimitOrdersCph	The net aggregate amount (in cents per hundred shares) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed marketable limit orders.

Ref.	Concept	D	#	Element	Definition
(a)(1)(iii)	Net Payment Received for Non-Marketable Limit Orders, Net USD	5	1	netPmtPaidRecvNonMarketableLimitOrders Usd	The net aggregate amount (in dollars) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed non-marketable limit orders.
(a)(1)(iii)	Net Payment Received for Non-Marketable Limit Orders, Net Cents Per Hundred Shares	5	1	netPmtPaidRecvNonMarketableLimitOrders Cph	The net aggregate amount (in cents per hundred shares) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed non-marketable limit orders.
(a)(1)(iii)	Net Payment Received for Other Orders, Net USD	5	1	netPmtPaidRecvOtherOrdersUsd	The net aggregate amount (in dollars) of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed other orders.

Ref.	Concept	D	#	Element	Definition
(a)(1)(iii)	Net Payment Received for Other Orders, Net Cents Per Hundred Shares	5	1	netPmtPaidRecvOtherOrdersCph	The net aggregate amount (in cents per hundred shares) of any transaction rebates received of any payment for order flow received, payment from any profit-sharing relationship received, transaction fees paid, and transaction rebates received for non-directed other orders.
(a)(1)(iv)	Material Aspects Discussion	5	1	materialAspects	<i>Same as above.</i>

3 RETAIL ORDER ROUTING CUSTOMER REPORT DEFINITIONS

The retail order routing report on order execution times is for one customer for the six months prior to the request. Retail order routing on a per-customer basis is reported in XML document type `retailOrderRoutingCustomerReport`.

Ref.	Concept	D	#	Element	Definition
(b)(1)	Version	1	1	version	The version identifier of the schema.
(b)(1)	Customer	1	1	customer	The name of the customer receiving the report, up to 50 characters.
(b)(1)	Broker-Dealer	1	1	bd	The name of the broker-dealer providing the report, up to 50 characters.
(b)(1)	Report timestamp	1	0..1	timestamp	The date and time rounded to the nearest second at which the report was generated, with half seconds rounded up.
(b)(1)	Start Date	1	1	startDate	Precise start date for the report.
(b)(1)	End Date	1	1	endDate	Precise end date for the report.
(b)(1)	Order	1	0..*	order	For each retail order, the identity of the venue(s) to which the customer's retail orders were routed for execution, whether the order was a directed or non-directed order, and the time of the transactions, if any, that resulted from such orders.
(b)(1)	Order ID	2	1	orderId	Identifier for a customer order. Each order identifier must be unique within one retail customer order routing report.
(b)(1)	Directed or Non-directed	2	1	directed	Y or N indicating whether the retail order was directed.

Ref.	Concept	D	#	Element	Definition
(b)(1)	Transaction	2	0..*	transaction	Transactions executing the retail order, if any.
(b)(1)	Venue Name	3	0..1	name	Name of the venue to which retail orders were routed by the broker or dealer.
(b)(1)	Venue MIC Code	3	0..1	mic	ISO 10383 (MIC) code of the venue to which retail orders were routed by the broker or dealer. At least name or MIC. Providing both name and MIC is acceptable.
(b)(1)	Date of Execution	3	1	date	The UTC date of transaction execution.
(b)(1)	Time of Execution	3	1	time	The UTC date and time of transaction execution, if any, that resulted from the order, rounded to the nearest second, with half seconds rounded up.

4 INSTITUTIONAL ORDER HANDLING CUSTOMER REPORT DEFINITIONS

Institutional order handling reports are provided on a per-customer basis for the six months prior to the request, broken down by calendar month. Institutional order handling per-customer is reported in XML document type `institutionalOrderHandlingCustomerReport`.

Ref.	Concept	D	#	Element	Definition
(b)(3)	Version	1	1	version	The version identifier of the schema.
(b)(3)	Customer	1	1	customer	The name of the customer receiving the order handling report, up to 50 characters.
(b)(3)	Broker-Dealer	1	1	bd	The name of the broker-dealer providing the order handling report, up to 50 characters.
(b)(3)	Report Timestamp	1	0..1	timestamp	The date and time rounded to the nearest second at which the report was generated, with half seconds rounded up.
(b)(3)	Start Date	1	1	startDate	Precise start date for the report.
(b)(3)	End Date	1	1	endDate	Precise end date for the report.
(b)(3)	Institutional Orders, All Venues, One Month	1	3..7	iMonthly	Aggregated institutional order handling data for one month across all execution venues.
(b)(3)	Year	2	1	year	Calendar year from 2000 to 2099 inclusive.
(b)(3)	Month	2	1	mon	The calendar month in the range 1 to 12.

Ref.	Concept	D	#	Element	Definition
(b)(3)	Shares Sent	2	1	sentShr	The number of shares of institutional orders sent to the broker or dealer by the customer during the relevant period.
(b)(3)	Shares Executed as Principal	2	1	executedAsPrincipalShr	The number of shares executed by the broker or dealer as principal for its own account.
(b)(3)	Orders Exposed by Actionable IOI	2	1	ioiExposedOrd	The number of institutional orders exposed by the broker or dealer through an actionable indication of interest (IOI).
(b)(3)	Venue	3	0..*	iVenue	Institutional order handling data in one execution venue.
(b)(3)	Venue Name	3	0..1	venueName	The venue to which retail orders were routed by the broker or dealer.
(b)(3)	Venue MIC Code	3	0..1	mic	ISO 10383 (MIC) code of the venue to which retail orders were routed by the broker or dealer. At least name or MIC is required. Providing both name and MIC is acceptable.
(b)(3)	Flag for Orders Exposed by Actionable IOI	3	1	ioiExposedFlag	Flag (the single character "X") indicating whether institutional orders were exposed to the venue by the broker or dealer through an actionable indication of interest (IOI).
(b)(3)(i)(A)	Shares Routed	3	1	routed	The number of shares routed.
(b)(3)(i)(A)	Total Shares	4	1	totShr	Total shares
(b)(3)(i)(A)	Passive Strategy Shares	4	1	pasShr	Shares broken down by a passive strategy
(b)(3)(i)(A)	Neutral Strategy Shares	4	1	neuShr	Shares broken down by a neutral strategy
(b)(3)(i)(A)	Aggressive Strategy Shares	4	1	aggShr	Shares broken down by an aggressive strategy
(b)(3)(i)(B)	Shares Marked IOC	3	1	iocRouted	Shares routed marked immediate or cancel (IOC).
(b)(3)(i)(B)	Total Shares	4	1	totShr	<i>Same as above.</i>

Ref.	Concept	D	#	Element	Definition
(b)(3)(i)(B)	Passive Strategy Shares	4	1	pasShr	<i>Same as above.</i>
(b)(3)(i)(B)	Neutral Strategy Shares	4	1	neuShr	<i>Same as above.</i>
(b)(3)(i)(B)	Aggressive Strategy Shares	4	1	aggShr	<i>Same as above.</i>
(b)(3)(i)(C)	Shares Further Routable	3	1	furtherRoutable	Shares routed that were further routable.
(b)(3)(i)(C)	Total Shares	4	1	totShr	<i>Same as above.</i>
(b)(3)(i)(C)	Passive Strategy Shares	4	1	pasShr	<i>Same as above.</i>
(b)(3)(i)(C)	Neutral Strategy Shares	4	1	neuShr	<i>Same as above.</i>
(b)(3)(i)(C)	Aggressive Strategy Shares	4	1	aggShr	<i>Same as above.</i>
(b)(3)(i)(D)	Average Order Size	3	1	orderSize	Average order size (in shares) routed.
(b)(3)(i)(D)	Average Shares	4	1	avgShr	Average shares.
(b)(3)(i)(D)	Passive Strategy Shares	4	1	pasShr	<i>Same as above.</i>
(b)(3)(i)(D)	Neutral Strategy Shares	4	1	neuShr	<i>Same as above.</i>
(b)(3)(i)(D)	Aggressive Strategy Shares	4	1	aggShr	<i>Same as above.</i>
(b)(3)(ii)(A)	Shares Executed	3	1	executed	Number of shares executed (for each of total, passive, neutral and aggressive strategies).
(b)(3)(ii)(A)	Total Shares	4	1	totShr	<i>Same as above.</i>
(b)(3)(ii)(A)	Passive Strategy Shares	4	1	pasShr	<i>Same as above.</i>
(b)(3)(ii)(A)	Neutral Strategy Shares	4	1	neuShr	<i>Same as above.</i>

Ref.	Concept	D	#	Element	Definition
(b)(3)(ii)(A)	Aggressive Strategy Shares	4	1	aggShr	<i>Same as above.</i>
(b)(3)(ii)(B)	Fill Rate	3	1	filled	Fill rate.
(b)(3)(ii)(B)	Total Percentage	4	1	totPct	Total Percentage.
(b)(3)(ii)(B)	Passive Strategy Percentage	4	1	pasPct	Percentage broken down by a passive strategy.
(b)(3)(ii)(B)	Neutral Strategy Percentage	4	1	neuPct	Percentage broken down by a neutral strategy.
(b)(3)(ii)(B)	Aggressive Strategy Percentage	4	1	aggPct	Percentage broken down by an aggressive strategy.
(b)(3)(ii)(C)	Average Fill Size	3	1	fillSize	Average size of filled orders.
(b)(3)(ii)(C)	Average Shares	4	1	avgShr	<i>Same as above.</i>
(b)(3)(ii)(C)	Passive Strategy Shares	4	1	pasShr	<i>Same as above.</i>
(b)(3)(ii)(C)	Neutral Strategy Shares	4	1	neuShr	<i>Same as above.</i>
(b)(3)(ii)(C)	Aggressive Strategy Shares	4	1	aggShr	<i>Same as above.</i>
(b)(3)(ii)(D)	Average Net Fee or Rebate in Cents per hundred shares	3	1	netFeeOrRebate	Average net execution fee (positive value) or rebate (negative value).
(b)(3)(ii)(D)	Average Cents Per Hundred Shares	4	1	avgCph	Average cents per hundred shares.
(b)(3)(ii)(D)	Passive Strategy Cents Per Hundred Shares	4	1	pasCph	Cents per hundred shares broken down by a passive strategy.

Ref.	Concept	D	#	Element	Definition
(b)(3)(ii)(D)	Neutral Strategy Cents Per Hundred Shares	4	1	neuCph	Cents per hundred shares broken down by a neutral strategy.
(b)(3)(ii)(D)	Aggressive Strategy Cents Per Hundred Shares	4	1	aggCph	Cents per hundred shares broken down by an aggressive strategy.
(b)(3)(ii)(E)	Executed at Midpoint, in Shares	3	1	midpointShares	Number of shares executed at the midpoint.
(b)(3)(ii)(E)	Total Shares	4	1	totShr	<i>Same as above.</i>
(b)(3)(ii)(E)	Passive Strategy Shares	4	1	pasShr	<i>Same as above.</i>
(b)(3)(ii)(E)	Neutral Strategy Shares	4	1	neuShr	<i>Same as above.</i>
(b)(3)(ii)(E)	Aggressive Strategy Shares	4	1	aggShr	<i>Same as above.</i>
(b)(3)(ii)(F)	Executed at Midpoint, in Percent	3	1	midpointPercent	Percentage of shares executed at the midpoint.
(b)(3)(ii)(F)	Total Percentage	4	1	totPct	<i>Same as above.</i>
(b)(3)(ii)(F)	Passive Strategy Percentage	4	1	pasPct	<i>Same as above.</i>
(b)(3)(ii)(F)	Neutral Strategy Percentage	4	1	neuPct	<i>Same as above.</i>
(b)(3)(ii)(F)	Aggressive Strategy Percentage	4	1	aggPct	<i>Same as above.</i>
(b)(3)(ii)(G)	Executed on the Near side, in Shares	3	1	nearsideShares	Number of shares executed that were priced on the side of the spread more favorable to the institutional order.
(b)(3)(ii)(G)	Total Shares	4	1	totShr	<i>Same as above.</i>
(b)(3)(ii)(G)	Passive Strategy Shares	4	1	pasShr	<i>Same as above.</i>

Ref.	Concept	D	#	Element	Definition
(b)(3)(ii)(G)	Neutral Strategy Shares	4	1	neuShr	<i>Same as above.</i>
(b)(3)(ii)(G)	Aggressive Strategy Shares	4	1	aggShr	<i>Same as above.</i>
(b)(3)(ii)(H)	Executed on the Near side, in Percent	3	1	nearsidePercent	Percentage of shares executed that were priced at the side of the spread more favorable to the institutional order.
(b)(3)(ii)(H)	Total Percentage	4	1	totPct	<i>Same as above.</i>
(b)(3)(ii)(H)	Passive Strategy Percentage	4	1	pasPct	<i>Same as above.</i>
(b)(3)(ii)(H)	Neutral Strategy Percentage	4	1	neuPct	<i>Same as above.</i>
(b)(3)(ii)(H)	Aggressive Strategy Percentage	4	1	aggPct	<i>Same as above.</i>
(b)(3)(ii)(I)	Executed on the Far side, in Shares	3	1	farsideShares	Number of shares executed that were priced on the side of the spread less favorable to the institutional order.
(b)(3)(ii)(I)	Total Shares	4	1	totShr	<i>Same as above.</i>
(b)(3)(ii)(I)	Passive Strategy Shares	4	1	pasShr	<i>Same as above.</i>
(b)(3)(ii)(I)	Neutral Strategy Shares	4	1	neuShr	<i>Same as above.</i>
(b)(3)(ii)(I)	Aggressive Strategy Shares	4	1	aggShr	<i>Same as above.</i>
(b)(3)(ii)(J)	Executed on the Far side, in Percent	3	1	farsidePercent	Percentage of shares executed that were priced on the side of the spread less favorable to the institutional order.
(b)(3)(ii)(J)	Total Percentage	4	1	totPct	<i>Same as above.</i>
(b)(3)(ii)(J)	Passive Strategy Percentage	4	1	pasPct	<i>Same as above.</i>

Ref.	Concept	D	#	Element	Definition
(b)(3)(ii)(J)	Neutral Strategy Percentage	4	1	neuPct	<i>Same as above.</i>
(b)(3)(ii)(J)	Aggressive Strategy Percentage	4	1	aggPct	<i>Same as above.</i>
(b)(3)(iii)(A)	Orders Providing Liquidity, in Shares	3	1	providedLiquidityShares	Number of shares executed of orders providing liquidity.
(b)(3)(iii)(A)	Total Shares	4	1	totShr	<i>Same as above.</i>
(b)(3)(iii)(A)	Passive Strategy Shares	4	1	pasShr	<i>Same as above.</i>
(b)(3)(iii)(A)	Neutral Strategy Shares	4	1	neuShr	<i>Same as above.</i>
(b)(3)(iii)(A)	Aggressive Strategy Shares	4	1	aggShr	<i>Same as above.</i>
(b)(3)(iii)(B)	Orders Providing Liquidity, in Percent	3	1	providedLiquidityPercent	Percentage of shares executed of orders providing liquidity.
(b)(3)(iii)(B)	Total Percentage	4	1	totPct	<i>Same as above.</i>
(b)(3)(iii)(B)	Passive Strategy Percentage	4	1	pasPct	<i>Same as above.</i>
(b)(3)(iii)(B)	Neutral Strategy Percentage	4	1	neuPct	<i>Same as above.</i>
(b)(3)(iii)(B)	Aggressive Strategy Percentage	4	1	aggPct	<i>Same as above.</i>
(b)(3)(iii)(C)	Average Duration of Orders Providing Liquidity	3	1	orderDurationMsec	Average time between order entry and execution or cancellation, for orders providing liquidity (in milliseconds).
(b)(3)(iii)(C)	Average Milliseconds	4	1	avgMsec	Average milliseconds.
(b)(3)(iii)(C)	Passive Strategy Milliseconds	4	1	pasMsec	Milliseconds broken down by a passive strategy.

Ref.	Concept	D	#	Element	Definition
(b)(3)(iii)(C)	Neutral Strategy Milliseconds	4	1	neuMsec	Milliseconds broken down by a neutral strategy.
(b)(3)(iii)(C)	Aggressive Strategy Milliseconds	4	1	aggMsec	Milliseconds broken down by an aggressive strategy.
(b)(3)(iii)(D)	Net Fee or Rebate for Orders Providing Liquidity, in Cents per hundred shares	3	1	providedLiquidityNet	Average net execution fee (positive value) or rebate (negative value) for shares executed of orders providing liquidity (in cents per hundred shares to four decimal places).
(b)(3)(iii)(D)	Average Cents Per Hundred Shares	4	1	avgCph	<i>Same as above.</i>
(b)(3)(iii)(D)	Passive Strategy Cents Per Hundred Shares	4	1	pasCph	<i>Same as above.</i>
(b)(3)(iii)(D)	Neutral Strategy Cents Per Hundred Shares	4	1	neuCph	<i>Same as above.</i>
(b)(3)(iii)(D)	Aggressive Strategy Cents Per Hundred Shares	4	1	aggCph	<i>Same as above.</i>
(b)(3)(iv)(A)	Orders Removing Liquidity, in Shares	3	1	removedLiquidityShares	Number of shares executed of orders removing liquidity.
(b)(3)(iv)(A)	Total Shares	4	1	totShr	<i>Same as above.</i>
(b)(3)(iv)(A)	Passive Strategy Shares	4	1	pasShr	<i>Same as above.</i>
(b)(3)(iv)(A)	Neutral Strategy Shares	4	1	neuShr	<i>Same as above.</i>

Ref.	Concept	D	#	Element	Definition
(b)(3)(iv)(A)	Aggressive Strategy Shares	4	1	aggShr	<i>Same as above.</i>
(b)(3)(iv)(B)	Orders Removing Liquidity, in Percent	3	1	removedLiquidityPercent	Percentage of shares executed of orders removing liquidity.
(b)(3)(iv)(B)	Total Percentage	4	1	totPct	<i>Same as above.</i>
(b)(3)(iv)(B)	Passive Strategy Percentage	4	1	pasPct	<i>Same as above.</i>
(b)(3)(iv)(B)	Neutral Strategy Percentage	4	1	neuPct	<i>Same as above.</i>
(b)(3)(iv)(B)	Aggressive Strategy Percentage	4	1	aggPct	<i>Same as above.</i>
(b)(3)(iv)(C)	Net Fee or Rebate for Orders Providing Liquidity, in Cents per hundred shares	3	1	removedLiquidityNet	Average net execution fee (positive value) or rebate (negative value) for shares of orders removing liquidity (in cents per hundred shares to four decimal places).
(b)(3)(iv)(C)	Average Cents Per Hundred Shares	4	1	avgCph	<i>Same as above.</i>
(b)(3)(iv)(C)	Passive Strategy Cents Per Hundred Shares	4	1	pasCph	<i>Same as above.</i>
(b)(3)(iv)(C)	Neutral Strategy Cents Per Hundred Shares	4	1	neuCph	<i>Same as above.</i>
(b)(3)(iv)(C)	Aggressive Strategy Cents Per Hundred Shares	4	1	aggCph	<i>Same as above.</i>

5 INSTITUTIONAL ORDER HANDLING PUBLIC REPORT DEFINITIONS

Institutional order handling public reports are provided each quarter, broken down by calendar month. Institutional order handling public data is reported in document type `institutionalOrderHandlingPublicReport`. It is similar to `institutionalOrderHandlingCustomerReport`, except that there is no customer element and the report covers three calendar months, not six months that might not begin or end on a calendar month boundary.

Ref.	Concept	D	#	Element	Definition
(c)	Version	1	1	version	<i>Same as above.</i>
(c)	Broker-Dealer	1	1	bd	<i>Same as above.</i>
(c)	Year	1	1	year	<i>Same as above.</i>
(c)	Month	1	1	mon	<i>Same as above.</i>
(c)	Report Timestamp	1	0..1	timestamp	<i>Same as above.</i>
(c)	Handling Details, One Month, One Venue	1	3	iMonthly	<i>Same as above, for three calendar months.</i>

6 REFERENCES

XML Schema 1.0: www.w3.org/XML/Schema

ISO 10383: http://www.iso.org/iso/home/store/catalogue_ics/catalogue_detail_ics.htm?csnumber=61067

7 SCHEMA

The `xs:documentation` element for each is shown in a box only to facilitate review.

```
<?xml version="1.0" encoding="UTF-8"?>
<!--
This schema was created by staff of the U.S. Securities and Exchange Commission.
Data and content created by government employees within the scope of their employment
are not subject to domestic copyright protection. 17 U.S.C. 105.
-->
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified">
```

```
<!-- Retail Order Routing Public Report, rule 242.606 (b)(1). -->
```

```
<xs:element name="retailOrderRoutingPublicReport">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

A retail order routing public report encompassing data for one calendar quarter, supporting rule 242.606 (a)(1).

```
    </xs:documentation>
  </xs:annotation>
</xs:complexType>
<xs:sequence>
  <xs:element ref="version"/>
  <xs:element ref="bd"/>
  <xs:element ref="year"/>
  <xs:element ref="qtr"/>
```

```

    <xs:element ref="timestamp" minOccurs="0"/>
    <xs:element minOccurs="3" maxOccurs="3" ref="rMonthly"/>
  </xs:sequence>
</xs:complexType>
<xs:unique name="retailOrderRoutingReport_month">
  <xs:selector xpath="rMonthly"/>
  <xs:field xpath="mon"/>
</xs:unique>
</xs:element>

```

```

<xs:element name="rMonthly">
  <xs:annotation>

```

```

    <xs:documentation xml:lang="en">

```

```

One month of retail order routing data, for both the stocks or options sections, supporting
rule 242.606 (a)(1)(ii).

```

```

  </xs:documentation>
</xs:annotation>
</xs:complexType>

```

```

<xs:complexType>
  <xs:sequence>

```

```

    <xs:element ref="year"/>
    <xs:element ref="mon"/>
    <xs:element ref="rSecurities"/>
    <xs:element ref="rOptions"/>
  </xs:sequence>
</xs:complexType>
</xs:element>

```

```

<xs:complexType name="RetailOrderRoutingType">
  <xs:annotation>

```

```

    <xs:documentation xml:lang="en">

```

```

Retail order routing data for one month, for either stocks or options, aggregated across all
execution venues, supporting rule 242.606 (a)(1).

```

```

  </xs:documentation>
</xs:annotation>
<xs:sequence>

```

```

    <xs:element ref="ndoPct"/>
    <xs:element ref="ndoMarketPct"/>
    <xs:element ref="ndoMarketableLimitPct"/>
    <xs:element ref="ndoNonmarketableLimitPct"/>
    <xs:element ref="ndoOtherPct"/>
    <xs:element ref="rVenues"/>
  </xs:sequence>
</xs:complexType>

```

```

<xs:element name="ndoPct" type="PercentType">
  <xs:annotation>

```

```

    <xs:documentation xml:lang="en">

```

```

The percentage of total retail orders (for this report section) that were non-directed
orders, supporting rule 242.606 (a)(1)(i).

```

```

  </xs:documentation>
</xs:annotation>
</xs:element>

```

```

<xs:element name="ndoMarketPct" type="PercentType">
  <xs:annotation>

```

```

    <xs:documentation xml:lang="en">

```

```

The percentage of total non-directed retail orders (for this report section) that were market
orders, supporting rule 242.606 (a)(1)(i).

```

```

  </xs:documentation>
</xs:annotation>
</xs:element>

```

```
<xs:element name="ndoMarketableLimitPct" type="PercentType">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

```
The percentage of total non-directed retail orders (for this report section) that were
marketable limit orders, supporting rule 242.606 (a)(1)(i).
```

```
</xs:documentation>
  </xs:annotation>
</xs:element>
```

```
<xs:element name="ndoNonmarketableLimitPct" type="PercentType">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

```
The percentage of total non-directed retail orders (for this report section) that were non-
marketable limit orders, supporting rule 242.606 (a)(1)(i).
```

```
</xs:documentation>
  </xs:annotation>
</xs:element>
```

```
<xs:element name="ndoOtherPct" type="PercentType">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

```
The percentage of total non-directed retail orders (for this report section) that were not
market orders and were not limit orders, supporting rule 242.606 (a)(1)(i).
```

```
</xs:documentation>
  </xs:annotation>
</xs:element>
```

```
<xs:element name="rVenues">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

```
Retail order routing data for all venues, not aggregated, supporting rule 242.606 (a)(1)(ii).
```

```
</xs:documentation>
  </xs:annotation>
  <xs:complexType>
    <xs:sequence>
      <xs:element minOccurs="0" maxOccurs="unbounded" ref="rVenue"/>
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

```
<xs:element name="rVenue">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

```
All retail order routing data for one venue, supporting rule 242.606 (a)(1)(ii).
```

```
</xs:documentation>
  </xs:annotation>
  <xs:complexType>
    <xs:sequence>
      <xs:choice>
        <xs:sequence>
          <xs:element ref="name"/>
          <xs:element ref="mic" minOccurs="0"/>
        </xs:sequence>
        <xs:element ref="mic"/>
      </xs:choice>
      <xs:element ref="orderPct"/>
      <xs:element name="marketPct" type="PercentType">
        <xs:annotation>
          <xs:documentation xml:lang="en">
```

```
The percentage of total non-directed retail orders (for this report section) that were market
orders, supporting rule 242.606 (a)(1)(i).
```

```
</xs:documentation>
```

```

</xs:annotation>
</xs:element>

```

```

<xs:element name="marketableLimitPct" type="PercentType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The percentage of total non-directed retail orders (for this report section) that were marketable limit orders, supporting rule 242.606 (a)(1)(i)

```

</xs:documentation>
  </xs:annotation>
</xs:element>

```

```

<xs:element name="nonMarketableLimitPct" type="PercentType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The percentage of total non-directed retail orders (for this report section) that were non marketable limit orders, supporting rule 242.606 (a)(1)(i).

```

</xs:documentation>
  </xs:annotation>
</xs:element>

```

```

<xs:element name="otherPct" type="PercentType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The percentage of total non-directed retail orders (for this report section) that were not market orders and were not limit orders, supporting rule 242.606 (a)(1)(i).

```

</xs:documentation>
  </xs:annotation>
</xs:element>

```

```

<xs:element ref="netPmtPaidRecvMarketOrdersUsd" />
<xs:element ref="netPmtPaidRecvMarketOrdersCph" />
<xs:element ref="netPmtPaidRecvMarketableLimitOrdersUsd" />
<xs:element ref="netPmtPaidRecvMarketableLimitOrdersCph" />
<xs:element ref="netPmtPaidRecvNonMarketableLimitOrdersUsd" />
<xs:element ref="netPmtPaidRecvNonMarketableLimitOrdersCph" />
<xs:element ref="netPmtPaidRecvOtherOrdersUsd" />
<xs:element ref="netPmtPaidRecvOtherOrdersCph" />
<xs:element ref="materialAspects" />
</xs:sequence>
</xs:complexType>
</xs:element>

```

```

<xs:element name="materialAspects" type="xs:string">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

A discussion of the material aspects of the broker's or dealer's relationship with each venue, supporting rule 242.606 (a)(i)(iv).

```

</xs:documentation>
  </xs:annotation>
</xs:element>

```

```

<xs:element name="rSecurities" type="RetailOrderRoutingType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Retail routing data for one to three months at one venue, for the stocks section, supporting rule 242.606 (a)(1)(ii).

```

</xs:documentation>
</xs:annotation>
<xs:unique name="securitiesMonth">
  <xs:selector xpath="rMonthly" />
  <xs:field xpath="mon" />
</xs:unique>

```

```
</xs:element>
```

```
<xs:element name="rOptions" type="RetailOrderRoutingType">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

```
Retail routing data for one to three months at one venue, for the option contracts section,
supporting rule 242.606 (a)(1)(ii).
```

```
</xs:documentation>
</xs:annotation>
<xs:unique name="optionsMonth">
  <xs:selector xpath="rMonthly"/>
  <xs:field xpath="mon"/>
</xs:unique>
</xs:element>
```

```
<xs:element name="name" type="VenueNameType">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

```
The venue to which retail orders were routed by the broker or dealer, supporting rule 242.606
(a)(1)(ii).
```

```
</xs:documentation>
</xs:annotation>
</xs:element>
```

```
<xs:element name="orderPct" type="PercentType">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

```
The percentage of total non-directed orders for the section routed to the venue, supporting
rule 242.606 (a)(1)(ii).
```

```
</xs:documentation>
</xs:annotation>
</xs:element>
```

```
<xs:element name="netPmtPaidRecvMarketOrdersUsd" type="xs:decimal">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

```
The net aggregate amount for non-directed market orders (in dollars) of any (A) payment for
order flow received, (B) payment from any profit-sharing relationship received, (C)
transaction fees paid, and (D) transaction rebates received, supporting rule 242.606
(a)(1)(iii).
```

```
</xs:documentation>
</xs:annotation>
</xs:element>
```

```
<xs:element name="netPmtPaidRecvMarketOrdersCph" type="CphType">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

```
The net aggregate amount for non-directed market orders (in cents per hundred shares) of any
(A) payment for order flow received, (B) payment from any profit-sharing relationship
received, (C) transaction fees paid, and (D) transaction rebates received, supporting rule
242.606 (a)(1)(iii).
```

```
</xs:documentation>
</xs:annotation>
</xs:element>
```

```
<xs:element name="netPmtPaidRecvMarketableLimitOrdersUsd" type="xs:decimal">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

The net aggregate amount for non-directed marketable limit orders (in dollars) of any (A) payment for order flow received, (B) payment from any profit-sharing relationship received, (C) transaction fees paid, and (D) transaction rebates received, supporting rule 242.606 (a)(1)(iii).

```

</xs:documentation>
</xs:annotation>
</xs:element>

<xs:element name="netPmtPaidRecvMarketableLimitOrdersCph" type="CphType"
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The net aggregate amount for non-directed marketable limit orders (in cents per hundred shares) of any (A) payment for order flow received, (B) payment from any profit-sharing relationship received, (C) transaction fees paid, and (D) transaction rebates received, supporting rule 242.606 (a)(1)(iii)

```

</xs:documentation>
</xs:annotation>
</xs:element>

<xs:element name="netPmtPaidRecvNonMarketableLimitOrdersUsd" type="xs:decimal">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The net aggregate amount for non-directed non-marketable limit orders (in dollars) of any (A) payment for order flow received, (B) payment from any profit-sharing relationship received, (C) transaction fees paid, and (D) transaction rebates received, supporting rule 242.606 (a)(1)(iii).

```

</xs:documentation>
</xs:annotation>
</xs:element>

<xs:element name="netPmtPaidRecvNonMarketableLimitOrdersCph" type="CphType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The net aggregate amount for non-directed non-marketable limit orders (in cents per hundred shares) of any (A) payment for order flow received, (B) payment from any profit-sharing relationship received, (C) transaction fees paid, and (D) transaction rebates received, supporting rule 242.606 (a)(1)(iii).

```

</xs:documentation>
</xs:annotation>
</xs:element>

<xs:element name="netPmtPaidRecvOtherOrdersUsd" type="xs:decimal">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The net aggregate amount for non-directed other orders (in dollars) of any (A) payment for order flow received, (B) payment from any profit-sharing relationship received, (C) transaction fees paid, and (D) transaction rebates received, supporting rule 242.606 (a)(1)(iii).

```

</xs:documentation>
</xs:annotation>
</xs:element>

<xs:element name="netPmtPaidRecvOtherOrdersCph" type="CphType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The net aggregate amount for non-directed other orders (in cents per hundred shares) of any (A) payment for order flow received, (B) payment from any profit-sharing relationship received, (C) transaction fees paid, and (D) transaction rebates received, supporting rule 242.606 (a)(1)(iii).

```

</xs:documentation>
</xs:annotation>

```



```

</xs:simpleType>
</xs:element>

```

```

<xs:element name="orderId">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Nonempty identifier for a customer order. Each order identifier must be unique within one retail customer order routing report, supporting rule 242.606 (b)(1).

```

    </xs:documentation>
  </xs:annotation>
  <xs:simpleType>
    <xs:restriction base="xs:string">
      <xs:minLength value="1"/>
    </xs:restriction>
  </xs:simpleType>
</xs:element>

```

```

<xs:element name="transaction">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

A transaction executing a retail order, supporting rule 242.606 (b)(1).

```

    </xs:documentation>
  </xs:annotation>
  <xs:complexType>
    <xs:sequence>
      <xs:choice>
        <xs:sequence>
          <xs:element ref="venueName"/>
          <xs:element ref="mic" minOccurs="0"/>
        </xs:sequence>
        <xs:element ref="mic"/>
      </xs:choice>
      <xs:element ref="date"/>
      <xs:element ref="time"/>
    </xs:sequence>
  </xs:complexType>
</xs:element>

```

```

<xs:element name="date">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The UTC date of transaction execution, supporting rule 242.606 (b)(1).

```

    </xs:documentation>
  </xs:annotation>
  <xs:simpleType>
    <xs:restriction base="xs:date">
      <xs:pattern value="....-..-.."/>
    </xs:restriction>
  </xs:simpleType>
</xs:element>

```

```

<xs:element name="time">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The UTC time of transaction execution, rounded to the nearest second, with half seconds rounded up, supporting rule 242.606 (b)(1).

```

    </xs:documentation>
  </xs:annotation>
  <xs:simpleType>
    <xs:restriction base="xs:time">
      <xs:pattern value="...:..:.."/>
    </xs:restriction>

```

```
</xs:simpleType>
</xs:element>
```

```
<xs:element name="venueName" type="VenueNameType">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

The venue to which orders were routed or were exposed via Actionable IOI by the broker or dealer, supporting rule 242.606 (b)(1) and (b)(3).

```
</xs:documentation>
</xs:annotation>
</xs:element>
```

```
<xs:element name="mic">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

The ISO 10383 (MIC) code of the venue to facilitate aggregation of data across reports, supporting rule 242.606 (a)(1), (b)(1) and (b)(3).

```
</xs:documentation>
</xs:annotation>
<xs:simpleType>
  <xs:union memberTypes="MicType NmType"/>
</xs:simpleType>
</xs:element>
```

```
<!-- - - - - - -->
<!-- Institutional Order Handling Customer Report, rule 242.606 (b)(3) -->
<xs:element name="institutionalOrderHandlingCustomerReport">
```

```
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

Document root element for an institutional order handling report encompassing orders from one to six months, supporting rule 242.606 (b)(3).

```
</xs:documentation>
</xs:annotation>
<xs:complexType>
  <xs:sequence>
    <xs:element ref="version"/>
    <xs:element ref="customer"/>
    <xs:element ref="bd"/>
    <xs:element ref="timestamp" minOccurs="0"/>
    <xs:element ref="startDate"/>
    <xs:element ref="endDate"/>
    <xs:element ref="iMonthly" minOccurs="3" maxOccurs="7"/>
  </xs:sequence>
</xs:complexType>
</xs:element>
```

```
<xs:element name="iMonthly">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

One month of institutional order handling data, supporting rule 242.606 (b)(3).

```
</xs:documentation>
</xs:annotation>
<xs:complexType>
  <xs:sequence>
    <xs:element ref="year"/>
    <xs:element ref="mon"/>
    <xs:element ref="sentShr"/>
    <xs:element ref="executedAsPrincipalShr"/>
    <xs:element ref="ioiExposedOrd"/>
    <xs:element minOccurs="0" maxOccurs="unbounded" ref="iVenue"/>
  </xs:sequence>
</xs:complexType>
```

```
</xs:element>
```

```
<xs:element name="iVenue">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
Institutional order handling data in one execution venue, supporting rule 242.606 (b)(3).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
<xs:complexType>
```

```
<xs:sequence>
```

```
<xs:choice>
```

```
<xs:sequence>
```

```
<xs:element ref="venueName"/>
```

```
<xs:element ref="mic" minOccurs="0"/>
```

```
</xs:sequence>
```

```
<xs:element ref="mic"/>
```

```
</xs:choice>
```

```
<xs:element ref="ioiExposedFlag"/>
```

```
<xs:element name="routed" type="ShareTotal">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
The number of shares routed totaling across all strategies, supporting rule 242.606 (b)(3)(i)(A).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
</xs:element>
```

```
<xs:element name="iocRouted" type="ShareTotal">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
Shares routed marked immediate or cancel (IOC) totaling across all strategies, supporting rule 242.606 (b)(3)(i)(B).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
</xs:element>
```

```
<xs:element name="furtherRoutable" type="ShareTotal">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
Shares routed that were further routable totaling across all strategies, supporting rule 242.606 (b)(3)(i)(C).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
</xs:element>
```

```
<xs:element name="orderSize" type="ShareAverage">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
Average order size (in shares) routed averaging across all strategies, supporting rule 242.606 (b)(3)(i)(D).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
</xs:element>
```

```
<xs:element name="executed" type="ShareTotal">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
Number of shares executed totaling across all strategies, supporting rule 242.606 (b)(3)(ii)(A).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
</xs:element>
```

```
<xs:element name="filled" type="PercentTotal">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

Fill rate across all strategies, supporting rule 242.606 (b)(3)(ii)(B).

```

</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="fillSize" type="ShareAverage">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Average order fill size averaged across all strategies, supporting rule 242.606 (b)(3)(ii)(C).

```

</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="netFeeOrRebate" type="CentsPerHundredAverage">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Average net execution fee (positive value) or rebate (negative value), supporting rule 242.606 (b)(3)(ii)(D).

```

</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="midpointShares" type="ShareTotal">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Number of shares executed at the midpoint, supporting rule 242.606 (b)(3)(ii)(E).

```

</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="midpointPercent" type="PercentTotal">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Percentage of shares executed at the midpoint (equal to midpointExecutedShr / executedShr), supporting rule 242.606 (b)(3)(ii)(F).

```

</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="nearsideShares" type="ShareTotal">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Number of shares executed that were priced on the side of the spread more favorable to the institutional order, supporting rule 242.606 (b)(3)(ii)(G).

```

</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="nearsidePercent" type="PercentTotal">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Percentage of shares executed that were priced at the side of the spread more favorable to the institutional order (equal to nearsideExecuted / executed), supporting rule 242.606 (b)(3)(ii)(H).

```

</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="farsideShares" type="ShareTotal">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Number of shares executed that were priced on the side of the spread less favorable to the institutional order, supporting rule 242.606 (b)(3)(ii)(I).

```

</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="farsidePercent" type="PercentTotal">
  <xs:annotation>

```

```
<xs:documentation xml:lang="en">
```

```
Percentage of shares executed that were priced on the side of the spread less favorable to the institutional order, supporting rule 242.606 (b)(3)(ii)(J).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
</xs:element>
```

```
<xs:element name="providedLiquidityShares" type="ShareTotal">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
Number of shares executed of orders providing liquidity, supporting rule 242.606 (b)(3)(iii)(A).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
</xs:element>
```

```
<xs:element name="providedLiquidityPercent" type="PercentTotal">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
Percentage of shares executed of orders providing liquidity, supporting rule 242.606 (b)(3)(iii)(B).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
</xs:element>
```

```
<xs:element name="orderDurationMsec" type="MsecAverage">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
Average time between order entry and execution or cancellation, for orders providing liquidity (in milliseconds), supporting rule 242.606 (b)(3)(iii)(C).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
</xs:element>
```

```
<xs:element name="providedLiquidityNet" type="CentsPerHundredAverage">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
Average net execution fee (positive value) or rebate (negative value) for shares executed of orders providing liquidity (in cents per hundred shares to four decimal places), supporting rule 242.606 (b)(3)(iii)(D).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
</xs:element>
```

```
<xs:element name="removedLiquidityShares" type="ShareTotal">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
Number of shares executed of orders removing liquidity, supporting rule 242.606 (b)(3)(iv)(A).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
</xs:element>
```

```
<xs:element name="removedLiquidityPercent" type="PercentTotal">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
Percentage of shares executed of orders removing liquidity, supporting rule 242.606 (b)(3)(iv)(B).
```

```
</xs:documentation>
```

```
</xs:annotation>
```

```
</xs:element>
```

```
<xs:element name="removedLiquidityNet" type="CentsPerHundredAverage">
```

```
<xs:annotation>
```

```
<xs:documentation xml:lang="en">
```

```
Average net execution fee (positive value) or rebate (negative value) for shares of orders removing liquidity (in cents per hundred shares to four decimal places), supporting rule 242.606 (b)(3)(iv)(C).
```



```

    <xs:element ref="timestamp" minOccurs="0"/>
    <xs:element ref="iMonthly" minOccurs="3" maxOccurs="3"/>
  </xs:sequence>
</xs:complexType>
</xs:element>

```

```

<xs:element name="sentShr" type="ShrType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The number of shares of institutional orders sent to the broker or dealer by the customer during the relevant period, supporting rule 242.606 (b)(3).

```

    </xs:documentation>
  </xs:annotation>
</xs:element>

```

```

<xs:element name="executedAsPrincipalShr" type="ShrType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The number of shares executed by the broker or dealer as principal for its own account, supporting rule 242.606 (b)(3).

```

    </xs:documentation>
  </xs:annotation>
</xs:element>

```

```

<xs:element name="ioiExposedFlag" type="IoiExposedFlagType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Flag (the single character "X") indicating whether institutional orders were exposed to the venue by the broker or dealer through an actionable indication of interest, supporting rule 242.606 (b)(3).

```

    </xs:documentation>
  </xs:annotation>
</xs:element>

```

```

<xs:element name="ioiExposedOrd" type="OrdType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The number of institutional orders exposed by the broker or dealer through an actionable indication of interest, supporting rule 242.606 (b)(3).

```

    </xs:documentation>
  </xs:annotation>
</xs:element>

```

```

<!-- - - - - - -->
<!-- Simple type elements common to handling reports -->
<xs:element name="version">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The version identifier of the Order Handling Report schema, supporting rule 242.606.

```

    </xs:documentation>
  </xs:annotation>
  <xs:simpleType>
    <xs:restriction base="xs:string">
      <xs:enumeration value="Draft2"/>
    </xs:restriction>
  </xs:simpleType>
</xs:element>

```

```

<xs:element name="bd" type="BrokerDealerNameType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

The name of the broker-dealer providing the handling report, supporting rule 242.606.

```

    </xs:documentation>

```

```

    </xs:annotation>
  </xs:element>
  <xs:element name="customer" type="CustomerNameType">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

The name of the customer receiving the handling report, supporting rule 242.606.

```

      </xs:documentation>
    </xs:annotation>
  </xs:element>
  <xs:element name="year" type="YearType">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

The calendar year in which the most recent month of handling data is included, supporting rule 242.606.

```

      </xs:documentation>
    </xs:annotation>
  </xs:element>
  <xs:element name="qtr" type="QuarterType">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

The calendar quarter in which the most recent month of handling data is included, supporting rule 242.606.

```

      </xs:documentation>
    </xs:annotation>
  </xs:element>
  <xs:element name="mon" type="MonthType">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

Calendar month number from 1 to 12 inclusive, supporting rule 242.606.

```

      </xs:documentation>
    </xs:annotation>
  </xs:element>
  <xs:element name="startDate">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

The precise UTC start date for the six month report, supporting rule 242.606 (b).

```

      </xs:documentation>
    </xs:annotation>
    <xs:simpleType>
      <xs:restriction base="xs:date">
        <xs:pattern value="....-...-.."/>
      </xs:restriction>
    </xs:simpleType>
  </xs:element>
  <xs:element name="endDate">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

The precise UTC end date for the six month report, supporting rule 242.606 (b).

```

      </xs:documentation>
    </xs:annotation>
    <xs:simpleType>
      <xs:restriction base="xs:date">
        <xs:pattern value="....-...-.."/>
      </xs:restriction>
    </xs:simpleType>
  </xs:element>
  <xs:element name="timestamp">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

The UTC date and time rounded to the nearest second for which the report data was generated, with half seconds rounded up, supporting rule 242.606.

```

    </xs:documentation>
  </xs:annotation>
<xs:simpleType>
  <xs:restriction base="xs:dateTime">
    <xs:pattern value="....-...-..T...:..:..Z"/>
  </xs:restriction>
</xs:simpleType>
</xs:element>
<xs:simpleType name="BrokerDealerNameType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Name of the reporting broker-dealer of up to 50 characters with white space normalized.

```

    </xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:string">
    <xs:minLength value="1"/>
    <xs:maxLength value="50"/>
    <xs:whiteSpace value="collapse"/>
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="CustomerNameType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Name of the customer receiving the report of up to 50 characters with white space normalized, or empty if the report is the aggregate of all retail customers.

```

    </xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:string">
    <xs:minLength value="0"/>
    <xs:maxLength value="50"/>
    <xs:whiteSpace value="collapse"/>
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="VenueNameType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Name of an execution venue of up to 30 characters with white space normalized.

```

    </xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:string">
    <xs:minLength value="1"/>
    <xs:maxLength value="30"/>
    <xs:whiteSpace value="collapse"/>
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="QuarterType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

A calendar quarter for 1 to 4 inclusive.

```

    </xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:integer">
    <xs:minInclusive value="1"/>
    <xs:maxInclusive value="4"/>
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="MonthType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

A calendar month from 1 to 12 inclusive.

```

    </xs:documentation>
  </xs:annotation>

```

```

    <xs:restriction base="xs:integer">
      <xs:minInclusive value="1"/>
      <xs:maxInclusive value="12"/>
    </xs:restriction>
  </xs:simpleType>
  <xs:simpleType name="YearType">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

A calendar year from 2000 to 2099 inclusive.

```

      </xs:documentation>
    </xs:annotation>
    <xs:restriction base="xs:integer">
      <xs:minInclusive value="2000"/>
      <xs:maxInclusive value="2099"/>
    </xs:restriction>
  </xs:simpleType>
  <xs:simpleType name="NonnegativeDecimalType">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

A decimal number greater than or equal to zero.

```

      </xs:documentation>
    </xs:annotation>
    <xs:restriction base="xs:decimal">
      <xs:minInclusive value="0"/>
    </xs:restriction>
  </xs:simpleType>
  <xs:simpleType name="MicType">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

An ISO 10383 (MIC) exchange code consisting of exactly four uppercase letters.

```

      </xs:documentation>
    </xs:annotation>
    <xs:restriction base="xs:string">
      <xs:pattern value="[A-Z]{4}"/>
    </xs:restriction>
  </xs:simpleType>
  <xs:simpleType name="IoiExposedFlagType">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

The character "X" or empty string.

```

      </xs:documentation>
    </xs:annotation>
    <xs:restriction base="xs:string">
      <xs:enumeration value=""/>
      <xs:enumeration value="X"/>
    </xs:restriction>
  </xs:simpleType>
  <xs:simpleType name="OrdType">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

A nonnegative whole number representing a number of orders.

```

      </xs:documentation>
    </xs:annotation>
    <xs:restriction base="NonnegativeDecimalType">
      <xs:pattern value="[0-9][0-9]*/>
    </xs:restriction>
  </xs:simpleType>
  <xs:simpleType name="ShrType">
    <xs:annotation>
      <xs:documentation xml:lang="en">

```

A nonnegative number with at least three digits to the right of the decimal point representing a number of shares.

```

</xs:documentation>
</xs:annotation>
<xs:restriction base="NonnegativeDecimalType">
  <xs:pattern value="[0-9]*\.[0-9]{3}[0-9]*"/>
</xs:restriction>
</xs:simpleType>
<xs:simpleType name="Decimal4Type">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

A number with at least four digits to the right of the decimal point.

```

</xs:documentation>
</xs:annotation>
<xs:restriction base="xs:decimal">
  <xs:pattern value="-?[0-9]*\.[0-9]{4}[0-9]*"/>
</xs:restriction>
</xs:simpleType>
<xs:simpleType name="CphType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

A number with at least four digits to the right of the decimal point representing cents per hundred shares.

```

</xs:documentation>
</xs:annotation>
<xs:restriction base="Decimal4Type"/>
</xs:simpleType>
<xs:simpleType name="Decimal2Type">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

A number with at least two digits to the right of the decimal point.

```

</xs:documentation>
</xs:annotation>
<xs:restriction base="xs:decimal">
  <xs:pattern value="-?[0-9]*\.[0-9]{2}[0-9]*"/>
</xs:restriction>
</xs:simpleType>
<xs:simpleType name="PercentType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

A number between 0 and 100 inclusive with at least two digits to the right of the decimal point representing a percentage.

```

</xs:documentation>
</xs:annotation>
<xs:restriction base="Decimal2Type">
  <xs:minInclusive value="0.00"/>
  <xs:maxInclusive value="100.00"/>
</xs:restriction>
</xs:simpleType>
<xs:simpleType name="PercentOrNmType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Empty string or a number between 0 and 100 inclusive with at least two digits to the right of the decimal point representing a percentage.

```

</xs:documentation>
</xs:annotation>
<xs:union memberTypes="PercentType NmType"/>
</xs:simpleType>
<xs:simpleType name="NmType">
  <xs:annotation>
    <xs:documentation xml:lang="en">

```

Empty string indicating that a numeric value is not meaningful.

```
</xs:documentation>
</xs:annotation>
<xs:restriction base="xs:string">
  <xs:maxLength value="0"/>
</xs:restriction>
</xs:simpleType>
<xs:simpleType name="MsecType">
  <xs:annotation>
    <xs:documentation xml:lang="en">
```

A nonnegative integer representing milliseconds.

```
</xs:documentation>
</xs:annotation>
<xs:restriction base="xs:decimal">
  <xs:pattern value="[0-9][0-9]*/>
</xs:restriction>
</xs:simpleType>
</xs:schema>
```