



EDGAR® SBS Entity Forms XML Technical Specification

March 2025

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1 INTRODUCTION

1.1 Purpose

This document details the valid structure and content of the SBS Entity Forms Electronic Data Gathering, Analysis, and Retrieval (EDGAR) Extensible Markup Language (XML) submission types. The following table lists the submission types for the SBS Entity Forms.

Table 1-1: SBS Entity Forms Submission Types

| SUBMISSION TYPE | DESCRIPTION |
|-----------------|--|
| SBSE | Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants |
| SBSE/A | Amendment to an Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants |
| SBSE-A | Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered or Registering with the Commodity Futures Trading Commission as a Swap Dealer or Major Swap Participant |
| SBSE-A/A | Amendment to an Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered or Registering with the Commodity Futures Trading Commission as a Swap Dealer or Major Swap Participant |
| SBSE-BD | Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered Broker-dealers |
| SBSE-BD/A | Amendment to an Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered Broker-dealers |
| SBSE-C | Certifications for Registration of Security-based Swap Dealers and Major Security-based Swap Participants |
| SBSE-W | Request for Withdrawal from Registration as a Security-based Swap Dealer or Major Security-based Swap Participant |
| SBSE-CCO-RPT | Chief Compliance Officer's Annual Compliance Report of Security-Based Swap Dealer or Major Security-Based Swap Participant pursuant to Rule 15Fk-1 |
| SBSE-CCO-RPT/A | Amendment to Chief Compliance Officer's Annual Compliance Report of Security-Based Swap Dealer or Major Security-Based Swap Participant pursuant to Rule 15Fk-1 |

This specification provides the basis for creating the aforementioned submission types for the SBS Entity Forms XML submissions. Filers must use this technical specification to generate a SBS Entity Form XML submission that can be successfully parsed by the EDGAR system.

The SBS Entity Form submission file must conform to the EDGAR SBS Entity Form Submission Taxonomy. This taxonomy is comprised of a collection of XML Schema Definition (.xsd) files that define the structures of EDGAR SBS Entity Forms submissions.

The SBS Entity Forms XML submissions can be transmitted to the SEC via the EDGAR Filing (<https://www.edgarfiling.sec.gov/>) or the “Transmit XML Submission” option from the EDGAR OnlineForms website (<https://www.onlineforms.edgarfiling.sec.gov/>).

To access the EDGAR Filing and EDGAR OnlineForms websites, you must have a Central Index Key (CIK) and a current EDGAR password and CIK confirmation code (CCC).

If you do not have a CIK, password and/or CCC, please consult How Do I Understand and Utilize EDGAR CIKs, Passphrases and Access Codes on SEC.gov.

For further information about EDGAR Filing and EDGAR OnlineForms, specifically with respect to the transmission of filer-constructed submissions, refer to the “Filer Constructed XML Submission” section of the EDGAR Filer Manual, Volume II (EDGAR Filing).

1.2 Summary of Changes

On December 18, 2023, EDGAR Release 23.4 introduced the following changes:

The following tables are updated.

- 3.4 Mapping of Form SBSE Submission Schemas to Submission Type
- 3.5 Mapping of Form SBSE-A Submission schemas to Submission Types
- 3.6 Mapping of Form SBSE-BD Submission schemas to Submission Types.

2 EDGAR SCHEMA FILES

Table 2-1: SBS Entity Forms Schema Files

Table 2-1 describes the schema files that the EDGAR system uses to validate SBS Entity Forms submissions. These schemas are considered part of this specification and are distributed with this document.

Table 2-1: SBS Entity Forms Schema Files

| XML Schema File | Scope of File |
|----------------------------|--|
| eis_SBSE_Filer_X1.xsd | Defines the elements for a SBSE submission |
| eis_SBSE_DRP.xsd | Defines the elements for a SBSE-DRP submission |
| eis_SBSE_A_Filer_X1.xsd | Defines the elements for a SBSE-A submission |
| eis_SBSE_A_DRP.xsd | Defines the elements for a SBSE_A_DRP submission |
| eis_SBSE_BD_Filer.xsd | Defines the elements for a SBSE-BD submission |
| eis_SBSE_C_Filer.xsd | Defines the elements for a SBSE-C submission |
| eis_SBSE_W_Filer.xsd | Defines the elements for a SBSE-W submission |
| eis_SBSE_CCO_RPT_Filer.xsd | Defines the elements for a SBSE-CCO-RPT submission |
| eis_Common.xsd | Defines all the elements common for all SBSE submissions |
| eis_stateCodes.xsd | Defines the country and state codes for all SBSE submissions |

The schema files define the valid data elements for a SBS Entity Form submission, the hierarchy and sequencing of these elements, data types, valid values, maximum lengths, and number of occurrences, etc.

It is recommended that you download these files and use them for your own validation prior to filing a submission. This will greatly reduce the likelihood of receiving an EDGAR Suspend error. These schema files contain several annotations that describe the nature of the content of some of the elements.

EDGAR performs several validation checks that are not related to the schema files, so it is possible for a submission to meet all the schema constraints and still be **SUSPENDED** or **BLOCKED**. For instance, EDGAR verifies that each CIK/CCC pair is valid.

2.1 Schema Table Column Definitions

We assume the filer is familiar with the basics of the XML language, Namespaces, and the XML Schema Definition language. If not, you can find numerous references on the World Wide Web. One recommended website that provides several useful tutorials and examples is <http://www.w3schools.com/>.

The table below highlights the schema language features used most heavily in the EDGAR SBS Entity Form submission schema files. These are:

Table 2-2: Schema Language

| Indicator | Purpose |
|------------|---|
| <sequence> | Specifies that child elements must appear in a specific order. This indicator is used with each element hierarchy. Elements must always appear in the order shown in Section 3.4. |
| <choice> | Specifies that only one of the child elements can be present within the containing element. |

| | |
|-------------|--|
| <minOccurs> | Specifies the minimum number of times that an element can occur. |
| <maxOccurs> | Specifies the maximum number of times that an element can occur. |

3 XML SCHEMAS

This section summarizes the restrictions and constraints imposed on the content of the SBS Entity Forms submission types. These rules are enforced by the schema files and by EDGAR submission processing applications.

The schema files cannot enforce all the rules concerning data content, so it is possible for a submission to satisfy all the schema constraints and still be **SUSPENDED** or **BLOCKED** by EDGAR.

3.1 Schema Table Column Definitions

The following table defines the columns in the two schema summation tables provided in Sections 3.4:

Table 3-1: Column Definitions for the Tables in Section 3-4

| Column Name | Description |
|--------------------------|--|
| Level | Depth of element in the XML node hierarchy. |
| Order | Order in which elements must appear. |
| Data Type | See Table in Section 3.2 for a detailed description. |
| Element Name | Name of the XML element. This is case-sensitive. |
| Max Length | Maximum length for elements. EDGAR database stores up to this number of characters. "Unlimited" means no maximum length constraint for the element value. |
| Data Value Constraint | The paragraph that describes the data value constraint for the element. The values specified are case sensitive. |
| Max Occur | Maximum times a set of elements may be repeated. The maximum occurrence is 1, if not specified. |
| Applicability of Element | Indicates applicability of the element. m = Mandatory, o = Optional, NA = Does Not Apply. EDGAR uses this element for server-side processing. Do not provide a value for this element. |

3.2 Data Type Constraints

Each entry in the "Data Type" column of these tables will be one of these values:

| Data Type | Constraints |
|-----------|--|
| Boolean | Indicate a "true" value with the word "true". Indicate a "false" value with the word "false". A Boolean element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. |
| date | Must be of the format MM-DD-YYYY. A date element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. Do not include a date element at all if your goal is to not provide an optional date. |
| integer | Only valid characters are 0-9. Cannot contain commas, a minus sign, a dollar sign, or parentheses. An integer element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. |

| Data Type | Constraints | | | | | | | | | | |
|-----------|--|-----------|-----------------|---|---------------|---|---------------|---|----------------|---|-----------------|
| Decimal | Only valid characters are 0-9 and a period. Cannot contain commas, dollar sign, or parentheses. EDGAR stores two and four decimal places depending on the actual type. A decimal element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. Do not include a decimal element at all if your goal is to not provide an optional number. | | | | | | | | | | |
| String | <p>Should be no longer than the length shown in the tables in Section 3.4.</p> <p>EDGAR stores values in the <signatureName>, and <contactEmailAddress> elements exactly as provided. All other values are stored in the database as uppercase.</p> <p>You must use special escape sequences to represent these four characters:</p> <table data-bbox="584 602 1039 833"> <tr> <th>Character</th><th>Escape Sequence</th></tr> <tr> <td><</td><td>&lt; or &#60;</td></tr> <tr> <td>></td><td>&gt; or &#62;</td></tr> <tr> <td>&</td><td>&amp; or &#38;</td></tr> <tr> <td>"</td><td>&quot; or &#34;</td></tr> </table> | Character | Escape Sequence | < | < or < | > | > or > | & | & or & | " | " or " |
| Character | Escape Sequence | | | | | | | | | | |
| < | < or < | | | | | | | | | | |
| > | > or > | | | | | | | | | | |
| & | & or & | | | | | | | | | | |
| " | " or " | | | | | | | | | | |
| NV | These fields cannot have a value. They are parent element nodes that contain other XML elements. These elements need to be present for proper validation. | | | | | | | | | | |
| attr | Attribute property for an XML element. | | | | | | | | | | |

3.3 Applicability of Schema Elements

Each entry in the submission/document type column in Section 3.4 will have one of these values:

| Value | Description |
|-------|--|
| m | Mandatory. |
| m# | Conditional Mandatory. The element is mandatory if its parent element is included. The element cannot be included if its parent is not included. |
| m#1 | Conditional Mandatory. The element is mandatory if specific values are provided for other elements. |
| m#2 | This element is required for correct processing of the submission type. |
| O | Optional. |
| o# | Optional in the Schema. The value will be populated by EDGAR. Any value provided will be overwritten and a WARNING generated. |
| NA | Does not apply to the submission type. EDGAR uses this field for server-side processing. Do not provide a value for this element. |
| blank | Does not apply to submission type. |

3.4 Mapping of Form SBSE Submission Schemas to Submission Type

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|--------------------------|------------|----------------------------------|-----------|------|--------|
| 1 | 1 | NV | edgarSubmission | | | 1 | M | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | O | o |
| 2 | 2 | NV | headerData | | | 1 | M | m |
| 3 | 1 | NV | submissionType | | SUBMISSION TYPE | 1 | M | m |
| 3 | 2 | NV | filerInfo | | | 1 | M | m |
| 4 | 1 | NV | filer | | | 1 | M | m |
| 5 | 1 | NV | filerCredentials | | | 1 | M | m |
| 6 | 1 | String | filerCik | 10 | | 1 | M | m |
| 6 | 2 | String | filerCik | 8 | | 1 | M | m |
| 4 | 2 | NV | flags | | | 1 | M | m |
| 5 | 1 | Boolean | returnCopyFlag | | “true” or “false” | 1 | O | o |
| 5 | 2 | Boolean | overrideInternetFlag | | “true” or “false” | 1 | M | m |
| 4 | 3 | NV | contact | | | 1 | M | m |
| 5 | 1 | String | contactName | 30 | | 1 | M | m |
| 5 | 2 | String | contactPhoneNumber | 30 | | 1 | M | m |
| 5 | 3 | String | contactEmailAddress | 30 | | 1 | M | m |
| 4 | 4 | NV | notifications | | | 1 | M | m |
| 5 | 1 | String | notificationEmailAddress | 80 | | 3 | O | o |
| 4 | 5 | Boolean | liveTestFlag | | “LIVE” or “TEST” | 1 | M | m |
| 2 | 3 | NV | formData | | | 1 | M | m |
| 3 | 1 | NV | applicant | | | 1 | M | m |
| 4 | 1 | NV | applicantDataPageOne | | | 1 | M | m |
| 5 | 1 | String | fullApplicantName | 150 | | 1 | M | m |
| 5 | 2 | String | taxIdentificationNo | 10 | | 1 | M | m |
| 5 | 3 | String | applicantUic | 25 | | 1 | O | o |
| 5 | 4 | String | applicantCik | 10 | | 1 | M | m |
| 5 | 5 | String | businessName | 150 | | 1 | O | o |
| 5 | 6 | String | nameChangeType | | NAME CHANGE TYPE | 1 | O | o |
| 5 | 7 | String | changedName | 150 | | 1 | M | m |
| 5 | 8 | NV | mainAddress | | | 1 | M | m |
| 6 | 1 | String | street1 | | | 1 | M | m |
| 6 | 2 | String | street2 | | | 1 | O | o |
| 6 | 3 | String | city | | | 1 | M | m |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|--------------------------|------------|-------------------------------------|-----------|------|--------|
| 6 | 4 | String | stateOrCountry | | STATE/COUNTRY CODES | 1 | M | m |
| 6 | 5 | String | zipCode | | | 1 | M | m |
| 5 | 9 | NV | mailingAddress | | | 1 | M | m |
| 6 | 1 | String | street1 | 40 | | 1 | M | m |
| 6 | 2 | String | street2 | 40 | | 1 | O | o |
| 6 | 3 | String | city | 30 | | 1 | M | m |
| 6 | 4 | String | stateOrCountry | | STATE or COUNTRY | 1 | M | m |
| 6 | 5 | String | zipCode | 10 | | 1 | M | m |
| 5 | 10 | String | businessTelephoneNumber | 20 | | 1 | M | m |
| 5 | 11 | String | websiteUrl | 150 | | 1 | O | o |
| 5 | 12 | NV | contactEmployee | | | 1 | M | m |
| 6 | 1 | NV | contactEmployeeName | 30 | | 1 | M | m |
| 7 | 1 | String | prefix | 30 | | 1 | O | o |
| 7 | 2 | String | firstName | 40 | | 1 | m | m |
| 7 | 3 | String | middleName | 30 | | 1 | o | o |
| 7 | 4 | String | lastName | 30 | | 1 | m | m |
| 7 | 5 | String | suffix | 30 | | 1 | o | o |
| 6 | 2 | String | title | 60 | | 1 | m | m |
| 6 | 3 | String | phone | 20 | | 1 | m | m |
| 6 | 4 | String | emailAddress | 80 | | 1 | m | m |
| 5 | 13 | NV | chiefComplianceOfficer | | | 1 | m | m |
| 6 | 1 | String | officerName | 30 | | 1 | m | m |
| 7 | 1 | String | prefix | 30 | | 1 | o | o |
| 7 | 2 | String | firstName | 40 | | 1 | m | m |
| 7 | 3 | String | middleName | 30 | | 1 | o | o |
| 7 | 4 | String | lastName | 30 | | 1 | m | m |
| 7 | 5 | String | suffix | 30 | | 1 | o | o |
| 6 | 2 | String | title | 60 | | 1 | m | m |
| 6 | 3 | String | phone | 20 | | 1 | m | m |
| 6 | 4 | String | emailAddress | 80 | | 1 | m | m |
| 4 | 2 | NV | applicantDataPageTwo | | | 1 | m | m |
| 5 | 1 | String | applicantName | 50 | | 1 | m | m |
| 5 | 2 | integer | isSwapDealer | | YES_NO_TYPE | 1 | m | m |
| 5 | 3 | integer | isSwapParticipant | | YES_NO_TYPE | 1 | m | m |
| 5 | 4 | NV | swapOptions | | | 1 | m | m |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|----------------------------|------------|--|-----------|------|--------|
| 6 | 1 | String | swapOption | | SWAP_OPTION_TYPE | 1 | m#1 | m#1 |
| 5 | 5 | integer | isCommissionDetermine | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 5 | 6 | integer | isSelfDetermine | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 5 | 7 | String | foreignFinancialRegulatory | 250 | | 1 | m# | m# |
| 5 | 8 | String | description3C | 1000 | | 1 | m# | m# |
| 5 | 9 | String | isUseMathModels | | YES_NO_TYPE | 1 | m | m |
| 5 | 10 | String | isSubjectToRegulator | | YES_NO_TYPE | 1 | m | m |
| 5 | 11 | NV | prudentialRegulators | | | 1 | m#1 | m#1 |
| 6 | 1 | String | prudentialRegulator | | PRUDENTIAL_REGULATOR_TYPES | 5 | m#1 | m#1 |
| 5 | 12 | String | isNonResidentEntity | | YES_NO_TYPE | 1 | m | m |
| 5 | 13 | NV | nonResidentEntity | | | | m#1 | m#1 |
| 6 | 1 | String | entityName | 150 | | 10 | m#1 | m#1 |
| 6 | 2 | NV | entityAddress | | | 1 | m#1 | m#1 |
| 7 | 1 | String | street1 | 40 | | 10 | m#1 | m#1 |
| 7 | 2 | String | street2 | 40 | | 10 | o | o |
| 7 | 3 | String | city | 30 | | 10 | m#1 | m#1 |
| 7 | 4 | String | stateOrCountry | | STATE/ COUNTRY_CODES | 10 | m#1 | m#1 |
| 7 | 5 | String | zipCode | 10 | | 10 | m#1 | m#1 |
| 5 | 14 | String | descriptionBusiness | 1000 | | 1 | m | m |
| 5 | 15 | String | legalStatus | | LEGAL_STATUS_TYPE | 1 | m | m |
| 5 | 16 | String | otherSpecify | 30 | | 1 | m#1 | m#1 |
| 5 | 17 | String | monthApplicantFiscalEnds | | MONTH_TYPE | 1 | m | m |
| 5 | 18 | String | stateOfFormation | | STATE or COUNTRY | 1 | m# | m# |
| 5 | 19 | String | countryOfFormation | | STATE or COUNTRY | 1 | m# | m# |
| 5 | 20 | date | dateOfFormation | | | 1 | m | m |
| 5 | 21 | String | isSucceeding | | YES_NO_TYPE | 1 | m | m |
| 5 | 22 | String | isHoldFunds | | YES_NO_TYPE | 1 | m | m |
| 4 | 3 | NV | applicantDataPageThree | | | 1 | m | m |
| 5 | 1 | String | applicantName | | | 1 | m | m |
| 5 | 2 | String | isRecordsKept | | YES_NO_TYPE | 1 | m | m |
| 5 | 3 | String | isOnBehalf | | YES_NO_TYPE | 1 | m | m |
| 5 | 4 | String | isControlThroughAgreement | | YES_NO_TYPE | 1 | m | m |
| 5 | 5 | String | isWhollyOrPartiallyFinance | | YES_NO_TYPE | 1 | m | m |
| 5 | 6 | String | isEngagedInSecurities | | YES_NO_TYPE | 1 | m | m |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|--------------------------------|------------|-----------------------------|-----------|------|--------|
| 5 | 7 | String | isControlWithBank | | YES_NO_TYPE | 1 | m | m |
| 5 | 8 | NV | criminalDisclosure | | | 1 | m | m |
| 6 | 1 | String | isConvictedOfFelony | | YES_NO_TYPE | 1 | m | m |
| 6 | 2 | String | isChargedWithFelony | | YES_NO_TYPE | 1 | m | m |
| 6 | 3 | String | isConvictedMisdemeanor | | YES_NO_TYPE | 1 | m | m |
| 6 | 4 | String | isChargedMisdemeanor | | YES_NO_TYPE | 1 | m | m |
| 4 | 4 | NV | applicantDataPageFour | | | 1 | m | m |
| 5 | 1 | String | applicantName | 150 | | 1 | m | m |
| 5 | 2 | NV | regulatoryActionDisclosure | | | 1 | m | m |
| 6 | 1 | String | isMadeFalseStatement | | YES_NO_TYPE | 1 | m | m |
| 6 | 2 | String | isViolatedRegulation | | YES_NO_TYPE | 1 | m | m |
| 6 | 3 | String | isCauseOfDenial | | YES_NO_TYPE | 1 | m | m |
| 6 | 4 | String | isOrderAgainst | | YES_NO_TYPE | 1 | m | m |
| 6 | 5 | String | isImposedPenalty | | YES_NO_TYPE | 1 | m | m |
| 6 | 6 | String | isUnethical | | YES_NO_TYPE | 1 | m | m |
| 6 | 7 | String | isFoundInViolationOfRegulation | | YES_NO_TYPE | 1 | m | m |
| 6 | 8 | String | isFoundInCauseOfDenial | | YES_NO_TYPE | 1 | m | m |
| 6 | 9 | String | isOrderAgainstActivity | | YES_NO_TYPE | 1 | m | m |
| 6 | 10 | String | isDeniedLicense | | YES_NO_TYPE | 1 | m | m |
| 6 | 11 | String | isFoundMadeFalseStatement | | YES_NO_TYPE | 1 | m | m |
| 6 | 12 | String | isFoundInViolationOfRules | | YES_NO_TYPE | 1 | m | m |
| 6 | 13 | String | isFoundInCauseOfSuspension | | YES_NO_TYPE | 1 | m | m |
| 6 | 14 | String | isDisciplined | | YES_NO_TYPE | 1 | m | m |
| 6 | 15 | String | isAuthorizedToActAttorney | | YES_NO_TYPE | 1 | m | m |
| 6 | 16 | String | isNamedInRegulatoryProceeding | | YES_NO_TYPE | 1 | m | m |
| 5 | 3 | NV | civilJudicialActionDisclosure | | | 1 | m | m |
| 6 | 1 | String | isEnjoined | | YES_NO_TYPE | 1 | m | m |
| 6 | 2 | String | isFoundInViolationOfRegulation | | YES_NO_TYPE | 1 | m | m |
| 6 | 3 | String | isDismissed | | YES_NO_TYPE | 1 | m | m |
| 6 | 4 | String | isNamedInCivilProceeding | | YES_NO_TYPE | 1 | m | m |
| 4 | 5 | NV | applicantDataPageFive | | | 1 | m | m |
| 5 | 1 | String | applicantName | 150 | | 1 | m | m |
| 5 | 2 | NV | financialDisclosure | | | 20 | m | m |
| 6 | 1 | String | hasSubjectOfBankruptcy | | YES_NO_TYPE | 1 | m | m |
| 6 | 2 | String | hasTrusteeAppointed | | YES_NO_TYPE | 1 | m | m |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|----------------------------|------------|--------------------------------------|-----------|------|--------|
| 5 | 3 | String | isRegisteredWithCommission | | YES_NO_TYPE | 1 | m | m |
| 5 | 4 | String | isEffectTransactions | | YES_NO_TYPE | 1 | m | m |
| 5 | 5 | String | isEngagedInNonSecurity | | YES_NO_TYPE | 1 | m | m |
| 5 | 6 | String | isForeignRegulatory | | YES_NO_TYPE | 1 | m | m |
| 3 | 2 | NV | scheduleA | | | 1 | m | m |
| 4 | 1 | String | applicantName | 150 | | 1 | m | m |
| 4 | 2 | String | isAnyIndirectOwners | | YES_NO_TYPE | 1 | m | m |
| 4 | 3 | NV | scheduleAInfo | | | 50 | m | m |
| 5 | 1 | String | firmOrIndividual | | FIRM_INDIVIDUAL_TYPE | 50 | m# | m# |
| 5 | 2 | String | fullLegalName | 150 | | 50 | m#1 | m#1 |
| 5 | 3 | NV | individualName | | | 50 | m#1 | m#1 |
| 6 | 1 | String | Prefix | 30 | | 50 | o | o |
| 6 | 2 | String | firstName | 40 | | 50 | m# | m# |
| 6 | 3 | String | middleName | 30 | | 50 | o | o |
| 6 | 4 | String | lastName | 30 | | 50 | m#1 | m#1 |
| 6 | 5 | String | suffix | 30 | | 50 | o | o |
| 5 | 4 | String | entityType | | ENTITY_TYPE | 50 | m#1 | m#1 |
| 5 | 5 | String | titleOrStatus | 60 | | 50 | m#1 | m#1 |
| 5 | 6 | date | dateTitleOrStatusAcquired | | | 50 | m#1 | m#1 |
| 5 | 7 | String | ownershipCode | | OWNERSHIP_CODE_TYPE | 50 | m#1 | m#1 |
| 5 | 8 | String | controlPerson | | YES_NO_TYPE | 50 | m#1 | m#1 |
| 5 | 9 | String | pr | | PR_TYPE | 50 | o | o |
| 5 | 10 | String | crdNo | | | 50 | m#1 | m#1 |
| 5 | 11 | Integer | iardNo | 9 | | 50 | m#1 | m#1 |
| 5 | 12 | String | foreignBusinessNo | 150 | | 50 | m#1 | m#1 |
| 5 | 13 | String | irsTaxNo | 11 | | 50 | m#1 | m#1 |
| 5 | 14 | String | uic | 25 | | 50 | o | o |
| 5 | 15 | String | description | 1000 | | 50 | m#1 | m#1 |
| 3 | 3 | NV | scheduleB | | | 1 | m | M |
| 4 | 1 | NV | scheduleBInfo | | | 1 | m | M |
| 5 | 1 | String | applicantName | 150 | | 1 | m | M |
| 5 | 2 | NV | scheduleBInfo | | | 1 | m | M |
| 6 | 1 | String | firmOrIndividual | | FIRM_INDIVIDUAL_TYPE | 50 | m# | m# |
| 6 | 2 | String | fullLegalName | | | 50 | m#1 | m#1 |
| 6 | 3 | String | ownerName | 30 | | 50 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|----------------------------|------------|----------------------------------|-----------|------|--------|
| 7 | 1 | String | prefix | 30 | | 50 | o | O |
| 7 | 2 | String | firstName | 40 | | 50 | m#1 | m#1 |
| 7 | 3 | String | middleName | 30 | | 50 | o | O |
| 7 | 4 | String | lastName | 30 | | 50 | m# | m# |
| 7 | 5 | String | suffix | 30 | | 50 | o | O |
| 6 | 4 | String | interestOwnedEntity | 150 | | 50 | m#1 | m#1 |
| 6 | 5 | NV | entityType | | <u>ENTITY TYPE</u> | 50 | m#1 | m#1 |
| 6 | 6 | String | status | 60 | | 50 | m#1 | m#1 |
| 6 | 7 | date | dateTitleOrStatusAcquired | | | 50 | m#1 | m#1 |
| 6 | 8 | NV | ownershipCode | | <u>OWNERSHIP CODE OTHER TYPE</u> | 50 | m#1 | m#1 |
| 6 | 9 | String | controlPerson | | <u>YES NO TYPE</u> | 50 | m#1 | m#1 |
| 6 | 10 | String | pr | | <u>PR TYPE</u> | 50 | o | O |
| 6 | 11 | String | crdNo | | | 50 | m#1 | m#1 |
| 6 | 12 | Integer | iardNo | 9 | | 50 | m#1 | m#1 |
| 6 | 13 | String | foreignBusinessNo | 150 | | 50 | m#1 | m#1 |
| 6 | 14 | String | irsTaxNo | 10 | | 50 | m#1 | m#1 |
| 6 | 15 | String | uic | 25 | | 50 | o | O |
| 3 | 5 | NV | scheduleD | | | 1 | m | M |
| 4 | 1 | NV | scheduleDOne | | | 1 | m | M |
| 5 | 1 | String | applicantName | 150 | | 1 | m | M |
| 5 | 2 | String | initialOrAmended | | <u>INITIAL AMENDED TYPE</u> | 50 | m# | m# |
| 5 | 3 | NV | sectionOne | | | 1 | m | M |
| 6 | 1 | String | responseType | | <u>SECTION ONE CHECK TYPE</u> | 4 | o | O |
| 6 | 2 | String | otherName | 150 | | 4 | m | M |
| 6 | 3 | String | stateCountry | | <u>STATE or COUNTRY</u> | 4 | m# | m# |
| 5 | 4 | String | sectionTwo | | | 7 | m | M |
| 6 | 1 | String | responseType | | <u>SECTION TWO CHECK TYPE</u> | 7 | m | M |
| 6 | 2 | String | uniqueIdentificationNumber | 40 | | 7 | m#1 | m#1 |
| 6 | 3 | String | assigningRegulator | 150 | | 7 | m#1 | m#1 |
| 6 | 4 | String | description | 1000 | | 7 | m#1 | m#1 |
| 5 | 5 | NV | sectionThree | | | 1 | m | M |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|--------------------------|------------|--|-----------|------|--------|
| 6 | 1 | String | responseType | | SECTION THREE CHECK TYPE | 1 | m#1 | m#1 |
| 6 | 2 | String | dateOfSuccession | | | 1 | m#1 | m#1 |
| 6 | 3 | String | nameOfPredecessor | 150 | | 1 | m#1 | m#1 |
| 6 | 4 | String | irsEmployerNumber | 11 | | 1 | o | O |
| 6 | 5 | String | secFileNumber | | | 1 | o | O |
| 6 | 6 | String | uicNumber | 25 | | 1 | o | O |
| 6 | 7 | String | description | 1000 | | 1 | m#1 | m#1 |
| 5 | 6 | String | sectionFour | | | 1 | m#1 | m#1 |
| 6 | 1 | String | responseType | | SECTION FOUR CHECK TYPE | 100 | m#1 | m#1 |
| 6 | 2 | String | firmOrIndividual | | FIRM INDIVIDUAL TYPE | 100 | m#1 | m#1 |
| 6 | 3 | String | firmOrOrganizationName | 150 | | 100 | m#1 | m#1 |
| 6 | 4 | String | firmSecFileNumber | | | 100 | o | O |
| 6 | 5 | String | firmCrdNo | | | 100 | o | O |
| 6 | 6 | String | firmNfa | 10 | | 100 | o | O |
| 6 | 7 | String | firmIardNo | 9 | | 100 | o | O |
| 6 | 8 | String | firmUic | 25 | | 100 | o | O |
| 6 | 9 | String | firmForeignBusinessNo | 150 | | 100 | o | O |
| 6 | 10 | String | firmCikNumber | 10 | | 100 | o | O |
| 6 | 11 | NV | firmAddress | | | 100 | m#1 | m#1 |
| 7 | 1 | String | street1 | 40 | | 100 | m#1 | m#1 |
| 7 | 2 | String | street2 | 40 | | 100 | o | O |
| 7 | 3 | String | city | 30 | | 100 | m#1 | m#1 |
| 7 | 4 | String | stateOrCountry | | STATE/COUNTRY CODES | 100 | m#1 | m#1 |
| 7 | 5 | String | zipCode | 10 | | 100 | m#1 | m#1 |
| 6 | 12 | date | firmEffectiveDate | | | 100 | m#1 | m#1 |
| 6 | 13 | date | firmTerminationDate | | | 100 | m#1 | m#1 |
| 6 | 14 | String | firmContactEmployeeName | | | 100 | m#1 | m#1 |
| 7 | 1 | String | prefix | | | 100 | o | O |
| 7 | 2 | String | firstName | | | 100 | m#1 | m#1 |
| 7 | 3 | String | middleName | | | 100 | o | O |
| 7 | 4 | String | lastName | | | 100 | m#1 | m#1 |
| 7 | 5 | String | suffix | | | 100 | o | O |
| 6 | 15 | String | individualCrdNo | 9 | | 100 | o | O |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|---------------------------|------------|--|-----------|------|--------|
| 6 | 16 | String | individualNfa | 10 | | 100 | o | O |
| 6 | 17 | String | individuallardNo | 9 | | 100 | o | O |
| 6 | 18 | String | individualAddress | | | 100 | m#1 | m#1 |
| 7 | 1 | String | street1 | 40 | | 100 | m#1 | m#1 |
| 7 | 2 | String | street2 | 40 | | 100 | o | O |
| 7 | 3 | String | city | 30 | | 100 | m#1 | m#1 |
| 7 | 4 | String | stateOrCountry | | | 100 | m#1 | m#1 |
| 7 | 5 | String | zipCode | 10 | | 100 | m#1 | m#1 |
| 6 | 19 | String | individualEffectiveDate | | | 100 | m#1 | m#1 |
| 6 | 20 | String | individualTerminationDate | | | 100 | o | Co |
| 6 | 21 | String | descriptionArrangement | 1000 | | 100 | m | m |
| 6 | 22 | String | descriptionExperience | 1000 | | 100 | m#1 | m#1 |
| 4 | 2 | NV | scheduleDTwo | | | 1 | m | M |
| 5 | 1 | String | applicantName | 150 | | 1 | m | M |
| 5 | 2 | tinyint | initialOrAmended | | INITIAL AMENDED TYPE | 1 | m#1 | m#1 |
| 5 | 3 | NV | engagedInSecurities | | ENGAGED IN SECURITY TYPE | 1 | m#1 | m#1 |
| 5 | 4 | NV | sectionFive | | | 1 | m | M |
| 6 | 1 | String | partnerCorpOrgName | 150 | | 15 | m#1 | m#1 |
| 6 | 2 | String | partnerCrdNumber | 9 | | 15 | o | O |
| 6 | 3 | String | partnerUicNumber | 25 | | 15 | o | O |
| 6 | 4 | String | partnerCorpOrgType | | PART CORP ORG TYPE | 15 | m#1 | m#1 |
| 6 | 5 | String | partnerAddress | | | 15 | m | M |
| 7 | 1 | String | street1 | 40 | | 15 | m#1 | m#1 |
| 7 | 2 | String | street2 | 40 | | 15 | o | O |
| 7 | 3 | String | city | 30 | | 15 | m#1 | m#1 |
| 7 | 4 | String | stateOrCountry | | | 15 | m#1 | m#1 |
| 7 | 5 | String | zipCode | 10 | | 15 | m#1 | m#1 |
| 6 | 6 | date | effectiveDate | | | 15 | m#1 | m#1 |
| 6 | 7 | date | terminationDate | | | 15 | o | O |
| 6 | 8 | tinyint | isForeignEntity | | YES NO TYPE | 15 | m#1 | m#1 |
| 6 | 9 | tinyint | countryOfDomicile | | STATE or COUNTRY | 15 | m#1 | m#1 |
| 6 | 10 | tinyint | isSecurityAct | | YES NO TYPE | 15 | m#1 | m#1 |
| 6 | 11 | tinyint | isInvestmentAdvisoryAct | | YES_NO_TYPE | 15 | m#1 | m#1 |
| 6 | 12 | String | descriptionRelationship | 1000 | | 15 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|--------------------------|------------|---|-----------|------|--------|
| 4 | 3 | NV | scheduleDThree | | | 1 | m | M |
| 5 | 1 | String | applicantName | 150 | | 1 | m | M |
| 5 | 2 | String | initialOrAmended | | INITIAL AMENDED TYPE | 1 | m#1 | m#1 |
| 5 | 3 | String | controlWithBank | | CONTROL WITH BANK TYPE | 1 | m# | m# |
| 5 | 4 | NV | sectionSix | | | 15 | m | M |
| 6 | 1 | String | financialInstitutionName | 150 | | 15 | m# | m# |
| 6 | 2 | String | crdNumber | 9 | | 15 | o | O |
| 6 | 3 | String | uicNumber | 25 | | 15 | o | O |
| 6 | 4 | String | institutionType | | INSTITUTION TYPE | 8 | m# | m# |
| 6 | 5 | String | otherSpecify | 30 | | 15 | m#1 | m#1 |
| 6 | 6 | date | effectiveDate | | | 15 | m#1 | m#1 |
| 6 | 7 | Date | terminationDate | | | 15 | o | O |
| 6 | 8 | NV | institutionAddress | | | 15 | m | M |
| 7 | 1 | String | street1 | 40 | | 15 | m#1 | m#1 |
| 7 | 2 | String | street2 | 40 | | 15 | o | O |
| 7 | 3 | String | city | 30 | | 15 | m#1 | m#1 |
| 7 | 4 | String | stateOrCountry | | | 15 | m#1 | m#1 |
| 7 | 5 | String | zipCode | 10 | | 15 | m#1 | m#1 |
| 6 | 9 | String | countryOfDomicile | | STATE or COUNTRY | 15 | o | O |
| 6 | 10 | String | descriptionRelationship | 1000 | | 15 | m# | m# |
| 3 | 6 | NV | scheduleE | | | 1 | m | M |
| 4 | 1 | String | applicantName | 150 | | 1 | m | M |
| 4 | 2 | NV | scheduleEInfo | | | 1 | m | M |
| 5 | 1 | String | businessLocChangeOption | | BUSINESS LOC CHANGE OPTION TYPE | 20 | o | O |
| 5 | 2 | date | effectiveDate | | | 20 | m#1 | m#1 |
| 5 | 3 | String | applicantAddress | | | 20 | m#1 | m#1 |
| 6 | 1 | String | street1 | 40 | | 20 | m#1 | m#1 |
| 6 | 2 | String | street2 | 40 | | 20 | o | O |
| 6 | 3 | String | city | 30 | | 20 | m#1 | m#1 |
| 6 | 4 | String | stateOrCountry | | | 20 | m#1 | m#1 |
| 6 | 5 | String | zipCode | 10 | | 20 | m#1 | m#1 |
| 5 | 4 | String | applicantNewAddress | | | 20 | NA | O |
| 6 | 1 | String | street1 | 40 | | 20 | NA | o |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|--------------------------|------------|--------------------------------------|-----------|------|--------|
| 6 | 2 | String | street2 | 40 | | 20 | NA | O |
| 6 | 3 | String | city | 30 | | 20 | NA | O |
| 6 | 4 | String | stateOrCountry | | | 20 | NA | O |
| 6 | 5 | String | zipCode | 10 | | 20 | NA | O |
| 5 | 5 | String | institutionName | 150 | | 20 | o | O |
| 5 | 6 | String | associatedPerson | 150 | | 20 | m#1 | m#1 |
| 3 | 7 | NV | scheduleF | | | 1 | m#1 | m#1 |
| 4 | 1 | String | applicantName | 150 | | 1 | m#1 | m#1 |
| 4 | 2 | NV | serviceProcess | | | 1 | m#1 | m#1 |
| 5 | 1 | String | firmOrIndividual | | FIRM INDIVIDUAL TYPE | 1 | m#1 | m#1 |
| 5 | 2 | String | firmName | | | 1 | m#1 | m#1 |
| 5 | 3 | String | individualName | 150 | | 1 | m#1 | m#1 |
| 6 | 1 | String | prefix | 30 | | 1 | o | O |
| 6 | 2 | String | firstName | 40 | | 1 | m#1 | m#1 |
| 6 | 3 | String | middleName | 30 | | 1 | o | O |
| 6 | 4 | String | lastName | 30 | | 1 | m#1 | m#1 |
| 6 | 5 | String | suffix | 30 | | 1 | o | O |
| 5 | 4 | String | serviceAddress | 10 | | 1 | m#1 | m#1 |
| 6 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 6 | 2 | String | street2 | 40 | | 1 | o | O |
| 6 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 6 | 4 | String | stateOrCountry | | STATE or COUNTRY | 1 | m#1 | m#1 |
| 6 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 4 | 3 | String | signature | 150 | | 1 | m#1 | m#1 |
| 4 | 4 | NV | signerInfo | | | 1 | m#1 | m#1 |
| 5 | 1 | String | signerName | 150 | | 1 | m#1 | m#1 |
| 5 | 2 | String | signerTitle | 60 | | 1 | m#1 | m#1 |
| 5 | 3 | date | signatureDate | | | 1 | m#1 | m#1 |
| 4 | 5 | NV | foreignFinancialReg | | | 50 | m#1 | m#1 |
| 5 | 1 | String | nameOfRegulatory | 150 | | 50 | m#1 | m#1 |
| 5 | 2 | String | foreignBusinessNo | 256 | | 50 | o | O |
| 5 | 3 | String | nameOfCountry | | STATE or COUNTRY | 50 | m#1 | m#1 |
| 3 | 8 | NV | criminalDrpInfo | | | NA | m#1 | m#1 |
| 4 | 1 | NV | criminalDrp | | | 100 | m | M |
| 5 | 1 | String | initialOrAmended | | INITIAL AMENDED TYPE | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|---------------------------------------|------------|---|-----------|------|--------|
| 5 | 2 | NV | respondingTo | | | 100 | m#1 | m#1 |
| 6 | 1 | String | responseQuestion | | CRIMINAL RESPONDING TO TYPE | 100 | m#1 | m#1 |
| 5 | 3 | String | drpFiledFor | | DRP_FILE_FOR_TYPE | 100 | m#1 | m#1 |
| 5 | 4 | NV | applicant | | | 100 | m#1 | m#1 |
| 6 | 1 | String | nameOfApplicant | 150 | | 100 | m#1 | m#1 |
| 6 | 2 | String | isToRemove | | YES_NO_TYPE | 100 | NA | m#1 |
| 6 | 3 | String | drpRemovalReason | | APPLICANT_DRP_REMOVAL_REASON_TYPE | 100 | NA | m#1 |
| 6 | 4 | String | explainCircumstances | 256 | | 100 | NA | m#1 |
| 6 | 5 | NV | criminalDrpDetails | | | 100 | m#1 | m#1 |
| 7 | 1 | char | organizationName | 150 | | 100 | o | O |
| 7 | 2 | String | isEngagedInInvestmentRelated Business | | YES_NO_TYPE | 100 | o | O |
| 7 | 3 | String | descRelationshipWithApplicant | 250 | | 100 | o | O |
| 7 | 4 | String | courtType | | CRIMINAL_EVENT_COURT_TYPE | 100 | m#1 | m#1 |
| 7 | 5 | String | otherDescribe | 150 | | 100 | m#1 | m#1 |
| 7 | 6 | String | nameOfCourt | 150 | | 100 | m#1 | m#1 |
| 7 | 7 | String | cityOrCounty | 150 | | 100 | m#1 | m#1 |
| 7 | 8 | String | stateOrCountry | | STATE or COUNTRY | 100 | m#1 | m#1 |
| 7 | 9 | String | docketOrCaseNumber | | | 100 | m#1 | m#1 |
| 7 | 10 | NV | dateFirstCharged | | | 100 | m#1 | m#1 |
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT_OR_EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 11 | NV | criminalCharge | | | 50 | m#1 | m#1 |
| 8 | 1 | String | chargeDesc | 80 | | 100 | m#1 | m#1 |
| 8 | 2 | Integer | numberOfCounts | 2 | | 100 | m#1 | m#1 |
| 8 | 3 | String | felonyOrMisdemeanor | | FELONY_MISDEMEANOR_TYPE | 100 | m#1 | m#1 |
| 8 | 4 | String | plea | 100 | | 100 | m#1 | m#1 |
| 8 | 5 | String | isInvestmentRelated | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 8 | 6 | String | investmentProductType | 100 | | 100 | m#1 | m#1 |
| 7 | 12 | String | eventCurrentStatus | | EVENT_STATUS_TYPE | 100 | m#1 | m#1 |
| 7 | 13 | NV | eventStatusDate | | | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|--------------------------|------------|--|-----------|------|--------|
| 8 | 1 | Date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | <u>EXACT OR EXPLANATION OPTIONS</u> | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 6 | 6 | NV | dispositionDisclosure | | | 100 | m#1 | m#1 |
| 7 | 1 | String | dispositionType | | <u>CRIMINAL DISPOSITION OPTION TYPE</u> | 100 | m#1 | m#1 |
| 7 | 2 | String | dispositionTypeOtherDesc | 256 | | 100 | m#1 | m#1 |
| 7 | 3 | date | date | | | 100 | m#1 | m#1 |
| 7 | 4 | String | sentencePenalty | 1000 | | 100 | m#1 | m#1 |
| 7 | 5 | NV | duration | | | 100 | o | O |
| 8 | 1 | String | days | | | 100 | o | O |
| 8 | 2 | String | months | | | 100 | o | O |
| 8 | 3 | String | years | | | 100 | o | O |
| 7 | 6 | String | startDatePenalty | | | 100 | m#1 | m#1 |
| 7 | 7 | decimal | penaltyFineAmount | | | 100 | m#1 | m#1 |
| 7 | 8 | date | datePaid | | | 100 | m#1 | m#1 |
| 6 | 7 | String | summaryOfCircumstances | 10,000 | | 100 | m#1 | m#1 |
| 5 | 5 | NV | controlAffiliate | | | 10 | m#1 | m#1 |
| 6 | 1 | NV | controlAffiliateDetails | | | 10 | m#1 | m#1 |
| 7 | 1 | String | crdNumber | 9 | | 10 | o | O |
| 7 | 2 | String | uicNumber | 25 | | 10 | o | O |
| 7 | 3 | String | personType | | <u>CONTROL AFFILIATE TYPE</u> | 10 | m#1 | m#1 |
| 7 | 4 | String | isPersonRegistered | | <u>YES NO TYPE</u> | 10 | m#1 | m#1 |
| 7 | 5 | String | nameOfFirm | 150 | | 10 | m#1 | m#1 |
| 7 | 6 | String | prefix | 30 | | 10 | o | O |
| 7 | 7 | String | firstName | 30 | | 10 | m#1 | m#1 |
| 7 | 8 | String | middleName | 30 | | 10 | o | O |
| 7 | 9 | String | lastName | 30 | | 10 | m#1 | m#1 |
| 7 | 10 | String | suffix | 10 | | 10 | o | O |
| 7 | 11 | String | isShouldBeRemoved | | <u>YES NO TYPE</u> | 10 | NA | m#1 |
| 7 | 12 | String | drpRemovalReason | | <u>CONTROL AFFILIATE DRP REMOVAL REASON TYPE</u> | 10 | | |
| 7 | 13 | String | explainCircumstances | 256 | | 10 | | |
| 7 | 14 | String | isSubmittedToCRD | | <u>YES NO TYPE</u> | 10 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|---------------------------------------|------------|---|-----------|------|--------|
| 6 | 2 | NV | criminalDrpDetails | | | 1 | m#1 | m#1 |
| 7 | 1 | String | organizationName | 150 | | 100 | o | O |
| 7 | 2 | String | isEngagedInInvestmentRelated Business | | <u>YES_NO_TYPE</u> | 100 | o | O |
| 7 | 3 | String | descRelationshipWithApplicant | 250 | | 100 | o | O |
| 7 | 4 | String | courtType | | <u>CRIMINAL_EVENT_COURT_TYPE</u> | 100 | m#1 | m#1 |
| 7 | 5 | String | otherDescribe | 150 | | 100 | m#1 | m#1 |
| 7 | 6 | String | nameOfCourt | 150 | | 100 | m#1 | m#1 |
| 7 | 7 | String | cityOrCounty | 150 | | 100 | m#1 | m#1 |
| 7 | 8 | String | stateOrCountry | | <u>STATE or COUNTRY</u> | 100 | m#1 | m#1 |
| 7 | 9 | String | docketOrCaseNumber | | | 100 | m#1 | m#1 |
| 7 | 10 | NV | dateFirstCharged | | | 100 | m#1 | m#1 |
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | <u>EXACT OR EXPLANATION OPTIONS</u> | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 11 | NV | criminalCharge | | | 50 | m#1 | m#1 |
| 8 | 1 | String | chargeDesc | 80 | | 1 | m#1 | m#1 |
| 8 | 2 | Integer | numberOfCounts | 2 | | 1 | m#1 | m#1 |
| 8 | 3 | String | felonyOrMisdemeanor | | <u>FELONY_MISDEMEANOR_TYPE</u> | 1 | m#1 | m#1 |
| 8 | 4 | String | plea | 100 | | 1 | m#1 | m#1 |
| 8 | 5 | String | isInvestmentRelated | | <u>YES_NO_TYPE</u> | 1 | m#1 | m#1 |
| 8 | 6 | String | investmentProductType | 100 | | 1 | m#1 | m#1 |
| 7 | 12 | String | eventCurrentStatus | | <u>EVENT_STATUS_TYPE</u> | 100 | m#1 | m#1 |
| 7 | 13 | Date | eventStatusDate | | | 100 | m#1 | m#1 |
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | date | exactOrExplanation | | <u>EXACT OR EXPLANATION OPTIONS</u> | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 6 | 3 | String | dispositionDisclosure | | | 5 | m#1 | m#1 |
| 7 | 1 | String | dispositionType | | <u>CRIMINAL_DISPOSITION_OPTION_TYPE</u> | 1 | m#1 | m#1 |
| 7 | 2 | String | dispositionTypeOtherDesc | 256 | | 1 | m#1 | m#1 |
| 7 | 3 | String | date | | | 1 | m#1 | m#1 |
| 7 | 4 | String | sentencePenalty | 1000 | | 1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|-----------------------------|------------|---|-----------|------|--------|
| 7 | 5 | NV | duration | | | 1 | o | O |
| 8 | 1 | Integer | days | | | 1 | o | O |
| 8 | 2 | Integer | months | | | 1 | o | O |
| 8 | 3 | Integer | years | | | 1 | o | O |
| 7 | 6 | String | startDatePenalty | | | 1 | m#1 | m#1 |
| 7 | 7 | decimal | penaltyFineAmount | | | 1 | m#1 | m#1 |
| 7 | 8 | String | datePaid | | | 1 | m#1 | m#1 |
| 6 | 4 | String | summaryOfCircumstances | 10,000 | | 100 | m#1 | m#1 |
| 3 | 9 | NV | regulatoryDrpInfo | | | NA | m#1 | m#1 |
| 4 | 1 | NV | regulatoryDrp | | | 500 | m#1 | m#1 |
| 5 | 1 | String | initialOrAmended | | INITIAL AMENDED TYPE | 100 | m#1 | m#1 |
| 5 | 2 | NV | respondingTo | | | 100 | m#1 | m#1 |
| 6 | 1 | String | responseQuestion | | REGULATORY RESPONDING TO TYPE | 16 | m#1 | m#1 |
| 5 | 3 | String | drpFiledFor | | DRP FILE FOR TYPE | 100 | m#1 | m#1 |
| 5 | 4 | NV | applicant | | | 100 | m#1 | m#1 |
| 6 | 1 | String | nameOfApplicant | 150 | | 100 | m#1 | m#1 |
| 6 | 2 | String | isToRemove | | YES NO TYPE | 100 | NA | m# |
| 6 | 3 | String | drpRemovalReason | | APPLICANT DRP REMOVAL REASON TYPE | 100 | NA | m#1 |
| 6 | 4 | String | explainCircumstances | 256 | | 100 | NA | m#1 |
| 6 | 5 | NV | regulatoryDrpDetails | | | 100 | m# | m# |
| 7 | 1 | String | regulatoryActionInitiatedBy | | REGULATOR INITIATED OPTION TYPE | 100 | m#1 | m#1 |
| 7 | 2 | String | regulatorName | 150 | | 100 | m#1 | m#1 |
| 7 | 3 | String | principalSanction | | PRINCIPAL SANCTION TYPE | 100 | m#1 | m#1 |
| 7 | 4 | String | otherPrincipalSanctionDesc | 60 | | 100 | m#1 | m#1 |
| 7 | 5 | String | otherPrincipalSanction | | PRINCIPAL SANCTION TYPE | 100 | o | O |
| 7 | 6 | NV | dateInitiated | | | 100 | m#1 | m#1 |
| 8 | 1 | Date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|-------------------------------|------------|---|-----------|------|--------|
| 7 | 7 | String | docketOrCaseNumber | 256 | | 100 | m#1 | m#1 |
| 7 | 8 | String | controlAffiliateEmployingFirm | 150 | | 100 | o | O |
| 7 | 9 | String | principalProductType | | PRINCIPAL_PRODUCT_TYPE | 100 | m#1 | m#1 |
| 7 | 10 | String | principalProductTypeOtherDesc | 256 | | 100 | m#1 | m#1 |
| 7 | 11 | String | otherPrincipalProductType | | PRINCIPAL_PRODUCT_TYPE | 100 | m#1 | m#1 |
| 7 | 12 | String | otherProductDesc | 256 | | 100 | m#1 | m#1 |
| 7 | 13 | String | descAllegations | 1000 | | 100 | m#1 | m#1 |
| 7 | 14 | String | currentStatus | | EVENT_STATUS_TYPE | 100 | m#1 | m#1 |
| 7 | 15 | String | appealedTo | | REGULATOR_INITIATED_OPTION_TYPE_2 | 100 | m#1 | m#1 |
| 7 | 16 | String | otherDescribe | 256 | | 100 | m#1 | m#1 |
| 7 | 17 | date | dateAppealFiled | | | 100 | m#1 | m#1 |
| 7 | 18 | String | matterResolvedType | | REGULATORY_MATTER_RESOLVED_TYPE | 100 | m#1 | m#1 |
| 7 | 19 | NV | resolutionDate | | | 100 | m#1 | m#1 |
| 8 | 1 | Date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT_OR_EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 20 | NV | sanctionsOrdered | | | 100 | m#1 | m#1 |
| 8 | 1 | String | sanctionOrdered | | SANCTIONS_ORDERED_LIST_TYPE | 100 | m#1 | m#1 |
| 7 | 21 | decimal | monetaryFineAmount | | | 100 | m#1 | m#1 |
| 7 | 22 | String | otherSanctionsOrdered | 256 | | 100 | o | O |
| 7 | 23 | String | sanctionDetail | 10,000 | | 100 | m#1 | m#1 |
| 7 | 24 | String | summaryOfDetails | 1000 | | 100 | m#1 | m#1 |
| 5 | 5 | NV | controlAffiliate | | | 100 | m#1 | m#1 |
| 6 | 1 | NV | controlAffiliateDetails | | | 10 | m#1 | m#1 |
| 7 | 1 | String | crdNumber | 9 | | 1 | o | O |
| 7 | 2 | String | uicNumber | 25 | | 1 | o | O |
| 7 | 3 | String | personType | | CONTROL_AFFILIATE_TYPE | 1 | m#1 | m#1 |
| 7 | 4 | String | isPersonRegistered | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 7 | 5 | String | nameOfFirm | 150 | | 1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|-------------------------------|------------|---|-----------|------|--------|
| 7 | 6 | String | prefix | 30 | | 1 | o | O |
| 7 | 7 | String | firstName | 30 | | 1 | m#1 | m#1 |
| 7 | 8 | String | middleName | 30 | | 1 | o | O |
| 7 | 9 | String | lastName | 30 | | 1 | m#1 | m#1 |
| 7 | 10 | String | suffix | 10 | | 1 | o | O |
| 7 | 11 | String | isShouldBeRemoved | | YES_NO_TYPE | 1 | NA | m#1 |
| 7 | 12 | tinyint | isSubmittedToCRD | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 6 | 2 | NV | regulatoryDrpDetails | | | 100 | m# | m# |
| 7 | 1 | String | regulatoryActionInitiatedBy | | REGULATOR_INITIATED_OPTION_TYPE | 100 | m#1 | m#1 |
| 7 | 2 | String | regulatorName | 150 | | 100 | m#1 | m#1 |
| 7 | 3 | String | principalSanction | | PRINCIPAL_SANCTION_TYPE | 100 | m#1 | m#1 |
| 7 | 4 | String | otherPrincipalSanctionDesc | 60 | | 100 | m#1 | m#1 |
| 7 | 5 | String | otherPrincipalSanction | | PRINCIPAL_SANCTION_TYPE | 100 | o | O |
| 7 | 6 | NV | dateInitiated | | | 100 | m#1 | m#1 |
| 8 | 1 | Date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT_OR_EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 7 | String | docketOrCaseNumber | 256 | | 100 | m#1 | m#1 |
| 7 | 8 | String | controlAffiliateEmployingFirm | 150 | | 100 | o | O |
| 7 | 9 | String | principalProductType | | PRINCIPAL_PRODUCT_TYPE | 100 | m#1 | m#1 |
| 7 | 10 | String | principalProductTypeOtherDesc | 256 | | 100 | m#1 | m#1 |
| 7 | 11 | String | otherPrincipalProductType | | PRINCIPAL_PRODUCT_TYPE | 100 | m#1 | m#1 |
| 7 | 12 | String | otherProductDesc | 256 | | 100 | m#1 | m#1 |
| 7 | 13 | String | descAllegations | 1000 | | 100 | m#1 | m#1 |
| 7 | 14 | String | currentStatus | | EVENT_STATUS_TYPE | 100 | m#1 | m#1 |
| 7 | 15 | String | appealedTo | | REGULATOR_INITIATED_OPTION_TYPE_2 | 100 | m#1 | m#1 |
| 7 | 16 | String | otherDescribe | 256 | | 100 | m#1 | m#1 |
| 7 | 17 | date | dateAppealFiled | | | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|----------------------------|------------|---|-----------|------|--------|
| 7 | 18 | String | matterResolvedType | | REGULATORY MATTER RESOLVED TYPE | 100 | m#1 | m#1 |
| 7 | 19 | date | resolutionDate | | | 100 | m#1 | m#1 |
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 20 | NV | sanctionsOrdered | | | 100 | m#1 | m#1 |
| 8 | 1 | String | sanctionOrdered | | SANCTIONS_ORDERED_LIST_TYPE | 100 | m#1 | m#1 |
| 7 | 21 | decimal | monetaryFineAmount | | | 100 | m#1 | m#1 |
| 7 | 22 | String | otherSanctionsOrdered | 256 | | 100 | o | O |
| 7 | 23 | String | sanctionDetail | 10,000 | | 100 | m#1 | m#1 |
| 7 | 24 | String | summaryOfDetails | 1000 | | 100 | m#1 | m#1 |
| 3 | 10 | NV | civilJudicialDrpInfo | | | NA | m#1 | m#1 |
| 4 | 1 | NV | civilJudicialDrp | | | NA | m#1 | m#1 |
| 5 | 1 | String | initialOrAmended | | INITIAL AMENDED TYPE | 100 | m#1 | m#1 |
| 5 | 2 | NV | respondingTo | | | 100 | m#1 | m#1 |
| 6 | 1 | NV | responseQuestion | | CIVIL JUDICIAL RESPONDING TO TYPE | 4 | m#1 | m#1 |
| 5 | 3 | String | drpFiledFor | | DRP FILE FOR TYPE | 100 | NA | m#1 |
| 5 | 4 | NV | applicant | | | 100 | m#1 | m#1 |
| 6 | 1 | String | nameOfApplicant | 150 | | 100 | m#1 | m#1 |
| 6 | 2 | String | isToRemove | | YES NO TYPE | 100 | NA | m#1 |
| 6 | 3 | String | drpRemovalReason | | APPLICANT DRP REMOVAL REASON TYPE | 100 | NA | m# |
| 6 | 4 | String | explainCircumstances | 256 | | 50 | NA | m#1 |
| 6 | 5 | NV | civilJudicialDrpDetails | | | 100 | m# | m# |
| 7 | 1 | String | courtActionInitiatorName | 150 | | 100 | m#1 | m#1 |
| 7 | 2 | String | regulatoryAuthorityType | | REGULATORY AUTHORITY TYPE | 100 | m#1 | m#1 |
| 7 | 3 | String | otherRegulatoryAuthority | 10000 | | 100 | m#1 | m#1 |
| 7 | 4 | String | principalReliefSought | | RELIEF SOUGHT TYPE | 100 | m#1 | m#1 |
| 7 | 5 | String | otherPrincipleReliefSought | 60 | | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|--------------------------------|------------|--|-----------|------|--------|
| 7 | 6 | NV | otherReliefSoughts | | | | | |
| 8 | 1 | String | otherReliefSought | | OTHER RELIEF SOUGHT TYPES | 100 | o | O |
| 7 | 7 | String | otherOtherReliefSought | 250 | | 100 | m#1 | m#1 |
| 7 | 8 | date | filingDateOfCourtAction | | | 100 | m#1 | m#1 |
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 9 | String | principalProductType | | PRINCIPAL PRODUCT TYPE | 100 | m#1 | m#1 |
| 7 | 10 | String | otherPrincipalProductType | 1000 | | 100 | m#1 | m#1 |
| 7 | 11 | NV | otherProductTypes | | | | | |
| 8 | 1 | String | otherProductType | | OTHER PRODUCT TYPES | 100 | o | O |
| 7 | 12 | String | otherOtherProductType | 250 | | 100 | m#1 | m#1 |
| 7 | 13 | String | civilActionCourtType | | CIVIL ACTION COURT TYPE | 100 | m#1 | m#1 |
| 7 | 14 | String | civilActionCourtName | 150 | | 100 | m#1 | m#1 |
| 7 | 15 | String | cityOrCounty | 150 | | 100 | m#1 | m#1 |
| 7 | 16 | String | stateOrCountry | | | 100 | m#1 | m#1 |
| 7 | 17 | String | docketOrCaseNumber | 150 | | 100 | m#1 | m#1 |
| 7 | 18 | String | cpEmployingFirm | 150 | | 100 | o | O |
| 7 | 19 | String | describeCivilActionAllegations | 4000 | | 100 | m#1 | m#1 |
| 7 | 20 | String | eventCurrentStatus | | EVENT STATUS TYPE | 100 | m#1 | m#1 |
| 7 | 21 | String | courtName | 150 | | 100 | m#1 | m#1 |
| 7 | 23 | date | dateAppealFiled | | | 100 | m#1 | m#1 |
| 7 | 24 | date | processingDateCourtAction | | | 100 | m#1 | m#1 |
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 25 | String | matterResolveType | | MATTER RESOLVE TYPE | 100 | m#1 | m#1 |
| 7 | 26 | String | otherMatterResolveType | 256 | | 100 | m#1 | m#1 |
| 7 | 27 | NV | resolutionDate | | | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|----------------------------|------------|--|-----------|------|--------|
| 8 | 1 | Date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT_OR_EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 28 | NV | sanctionReliefTypes | | | | | |
| 8 | 1 | String | sanctionReliefType | | SANCTIONS_RELIEF_TYPE | 100 | m#1 | m#1 |
| 7 | 29 | decimal | grantOrFineAmount | | | 100 | m#1 | m#1 |
| 7 | 30 | String | otherSanctionsOrdered | 256 | | 100 | m#1 | m#1 |
| 7 | 31 | String | sanctionDetail | 4000 | | 100 | m#1 | m#1 |
| 7 | 32 | String | summaryOfCircumstances | 10000 | | 100 | m#1 | m#1 |
| 5 | 5 | NV | controlAffiliate | | | 10 | m#1 | m#1 |
| 6 | 1 | NV | controlAffiliateDetails | | | 1 | m#1 | m#1 |
| 7 | 1 | String | crdNumber | 9 | | 1 | o | O |
| 7 | 2 | String | uicNumber | 25 | | 1 | o | O |
| 7 | 3 | String | personType | | CONTROL_AFFILIATE_TYPE | 1 | m#1 | m#1 |
| 7 | 4 | String | isPersonRegistered | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 7 | 5 | String | nameOfFirm | 150 | | 1 | m#1 | m#1 |
| 7 | 6 | String | prefix | 30 | | 1 | o | O |
| 7 | 7 | String | firstName | 30 | | 1 | m#1 | m#1 |
| 7 | 8 | String | middleName | 30 | | 1 | o | O |
| 7 | 9 | String | lastName | 30 | | 1 | m#1 | m#1 |
| 7 | 10 | String | suffix | 10 | | 1 | o | O |
| 7 | 11 | String | isShouldBeRemoved | | YES_NO_TYPE | 1 | NA | m#1 |
| 7 | 12 | String | isSubmittedToCRD | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 6 | 2 | NV | civilJudicialDrpDetails | | | 100 | m#1 | m#1 |
| 7 | 1 | String | courtActionInitiatorName | 150 | | 100 | m#1 | m#1 |
| 7 | 2 | String | regulatoryAuthorityType | 150 | REGULATORY_AUTHORITY_TYPE | 100 | m#1 | m#1 |
| 7 | 3 | String | otherRegulatoryAuthority | 60 | | 100 | m#1 | m#1 |
| 7 | 4 | String | principalReliefSought | | RELIEF_SOUGHT_TYPE | 100 | m#1 | m#1 |
| 7 | 5 | String | otherPrincipleReliefSought | | | 60 | o | O |
| 7 | 6 | NV | otherReliefSoughts | | | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|--------------------------------|------------|--|-----------|------|--------|
| 8 | 1 | String | otherReliefSought | | OTHER_RELIEF_SOUGHT_TYPE | 100 | o | O |
| 7 | 7 | String | otherOtherReliefSought | 250 | | 100 | m#1 | m#1 |
| 7 | 8 | String | filingDateOfCourtAction | 150 | | 100 | o | O |
| 8 | 1 | Date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT_OR_EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 9 | String | principalProductType | | PRINCIPAL_PRODUCT_TYPE | 100 | m#1 | m#1 |
| 7 | 10 | String | otherPrincipalProductType | 100- | | 100 | m#1 | m#1 |
| 7 | 11 | NV | otherProductTypes | | | 100 | m#1 | m#1 |
| 8 | 1 | String | otherProductType | | OTHER_PRODUCT_TYPE | 100 | o | O |
| 7 | 12 | String | otherOtherProductType | 250 | | 100 | m#1 | m#1 |
| 7 | 13 | String | civilActionCourtType | 1000 | CIVIL_ACTION_COURT_TYPE | 100 | m#1 | m#1 |
| 7 | 14 | String | civilActionCourtName | 150 | | 100 | m#1 | m#1 |
| 7 | 15 | String | cityOrCounty | 150 | | 100 | m#1 | m#1 |
| 7 | 16 | String | stateOrCountry | 256 | STATE / COUNTRY CODES | 100 | m#1 | m#1 |
| 7 | 17 | String | docketOrCaseNumber | 150 | | 100 | m#1 | m#1 |
| 7 | 18 | String | cpEmployingFirm | 150 | | 100 | o | O |
| 7 | 19 | String | describeCivilActionAllegations | 4000 | | 100 | m#1 | m#1 |
| 7 | 20 | Date | eventCurrentStatus | | EVENT_STATUS_TYPE | 100 | m#1 | m#1 |
| 7 | 21 | String | courtName | 150 | | 100 | m#1 | m#1 |
| 7 | 22 | date | dateAppealFiled | | | 100 | m#1 | m#1 |
| 7 | 23 | NV | processingDateCourtAction | | | 100 | m#1 | m#1 |
| 8 | 1 | Date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT_OR_EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 24 | String | matterResolveType | | MATTER_RESOLVE_TYPE | 100 | o | O |
| 7 | 25 | String | otherMatterResolveType | 100 | | 100 | m#1 | m#1 |
| 7 | 26 | NV | resolutionDate | | | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|-----------------------------|------------|--|-----------|------|--------|
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT_OR_EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 27 | NV | sanctionReliefTypes | | | 100 | m#1 | m#1 |
| 8 | 1 | String | sanctionReliefType | | SANCTIONS_RELIEF_TYPE | 100 | m#1 | m#1 |
| 7 | 28 | decimal | grantOrFineAmount | | | 100 | m#1 | m#1 |
| 7 | 29 | String | otherSanctionsOrdered | 256 | | 100 | o | O |
| 7 | 30 | String | sanctionDetail | 4000 | | 100 | m#1 | m#1 |
| 7 | 31 | String | summaryOfCircumstances | 10,000 | | 100 | m#1 | m#1 |
| 3 | 11 | NV | bankruptcySipcDrpInfo | | | NA | m#1 | m#1 |
| 4 | 1 | NV | bankruptcyDrp | | | NA | m#1 | m#1 |
| 5 | 1 | String | initialOrAmended | | INITIAL_AMENDED_TYPE | 100 | m#1 | m#1 |
| 5 | 2 | NV | respondingTo | | | 100 | m#1 | m#1 |
| 6 | 1 | String | responseQuestion | | BANKRUPTCY_SIPC_RESPONDING_TO_TYPE | 100 | m#1 | m#1 |
| 5 | 3 | String | drpFiledFor | | DRP_FILE_FOR_TYPE | 100 | m#1 | m#1 |
| 5 | 4 | NV | applicant | | | 100 | m#1 | m#1 |
| 6 | 1 | String | nameOfApplicant | 150 | | 100 | m#1 | m#1 |
| 6 | 2 | String | isToRemove | | YES_NO_TYPE | 100 | NA | m#1 |
| 6 | 3 | String | drpRemovalReason | | APPLICANT_DRP_REMOVAL_REASON_TYPE | 100 | NA | m#1 |
| 6 | 4 | String | explainCircumstances | 256 | | 100 | NA | m#1 |
| 6 | 5 | NV | appBankruptcySipcDrpDetails | | | 100 | m#1 | m#1 |
| 7 | 1 | String | actionType | | BANKRUPTCY_ACTION_TYPE | 100 | m#1 | m#1 |
| 7 | 2 | String | actionTypeOtherDesc | 256 | | 100 | m#1 | m#1 |
| 7 | 3 | NV | actionDate | | | 100 | m#1 | m#1 |
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT_OR_EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 4 | String | organizationName | 150 | | 100 | o | O |
| 7 | 5 | String | personDetail | 256 | | 100 | o | O |
| 7 | 6 | String | isInvestmentRelated | | YES_NO_TYPE | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|--------------------------|------------|-------------------------------------|-----------|------|--------|
| 7 | 7 | String | typeOfCourt | | <u>COURT_TYPE</u> | 100 | m#1 | m#1 |
| 7 | 8 | String | nameOfCourt | 150 | | 100 | m#1 | m#1 |
| 7 | 9 | String | cityOrCounty | 150 | | 100 | m#1 | m#1 |
| 7 | 10 | String | stateOrCountry | | <u>STATE or COUNTRY</u> | 100 | m#1 | m#1 |
| 7 | 11 | String | docketOrCaseNo | 150 | | 100 | m#1 | m#1 |
| 7 | 12 | String | bankruptcyChapterNo | 150 | | 100 | m#1 | m#1 |
| 7 | 13 | String | isActionPending | | <u>YES_NO_TYPE</u> | 100 | m#1 | m#1 |
| 7 | 14 | String | dispositionType | | <u>BANKRUPTCY DISPOSITION_TYPE</u> | 100 | m#1 | m#1 |
| 7 | 15 | String | dispositionTypeOtherDesc | 256 | | 100 | m#1 | m#1 |
| 7 | 16 | NV | dispositionDate | | | 100 | m#1 | m#1 |
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | <u>EXACT_OR_EXPLANATION_OPTIONS</u> | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 17 | String | summaryOfEvents | 1000 | | 100 | m#1 | m#1 |
| 7 | 18 | decimal | amountPaid | | | 100 | m#1 | m#1 |
| 7 | 19 | String | nameOfTrustee | 250 | | 100 | m#1 | m#1 |
| 7 | 20 | String | isCurrentlyOpen | | <u>YES_NO_TYPE</u> | 100 | m#1 | m#1 |
| 7 | 21 | String | dateDirectPayment | | | 100 | m#1 | m#1 |
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | <u>EXACT_OR_EXPLANATION_OPTIONS</u> | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 22 | String | detailsOfDisposition | 10000 | | 100 | o | O |
| 5 | 5 | NV | controlAffiliate | | | 100 | m#1 | m#1 |
| 6 | 1 | NV | controlAffiliateDetails | | | 10 | m#1 | m#1 |
| 7 | 1 | String | crdNumber | 9 | | 1 | o | O |
| 7 | 2 | String | uicNumber | 25 | | 1 | o | O |
| 7 | 3 | String | personType | | <u>CONTROL_AFFILIATE_TYPE</u> | 1 | m#1 | m#1 |
| 7 | 4 | String | isPersonRegistered | | <u>YES_NO_TYPE</u> | 1 | m#1 | m#1 |
| 7 | 5 | String | nameOfFirm | 150 | | 1 | m#1 | m#1 |
| 7 | 6 | String | prefix | 30 | | 1 | o | O |
| 7 | 7 | String | firstName | 30 | | 1 | m#1 | m#1 |
| 7 | 8 | String | middleName | 30 | | 1 | o | O |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|-----------------------------|------------|--|-----------|------|--------|
| 7 | 9 | String | lastName | 30 | | 1 | m#1 | m#1 |
| 7 | 10 | String | suffix | 10 | | 1 | o | O |
| 7 | 11 | String | isShouldBeRemoved | | YES_NO_TYPE | 1 | NA | m# |
| 7 | 12 | String | isSubmittedToCRD | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 6 | 2 | NV | affBankruptcySipcDrpDetails | | | 100 | m#1 | m#1 |
| 7 | 1 | String | actionType | | BANKRUPTCY ACTION TYPE | 100 | m#1 | m#1 |
| 7 | 2 | String | actionTypeOtherDesc | 256 | | 100 | m#1 | m#1 |
| 7 | 3 | NV | actionDate | | | 100 | m#1 | m#1 |
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 4 | String | organizationName | 150 | | 100 | o | O |
| 7 | 5 | String | personDetail | 256 | | 100 | o | O |
| 7 | 6 | String | isInvestmentRelated | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 7 | 7 | String | typeOfCourt | | COURT_TYPE | 100 | m#1 | m#1 |
| 7 | 8 | String | nameOfCourt | 150 | | 100 | m#1 | m#1 |
| 7 | 9 | String | cityOrCounty | 150 | | 100 | m#1 | m#1 |
| 7 | 10 | String | stateOrCountry | | STATE or COUNTRY | 100 | m#1 | m#1 |
| 7 | 11 | String | docketOrCaseNo | 150 | | 100 | m#1 | m#1 |
| 7 | 12 | String | bankruptcyChapterNo | 150 | | 100 | m#1 | m#1 |
| 7 | 13 | String | isActionPending | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 7 | 14 | String | dispositionType | | BANKRUPTCY DISPOSITION TYPE | 100 | m#1 | m#1 |
| 7 | 15 | String | dispositionTypeOtherDesc | 256 | | 100 | m#1 | m#1 |
| 7 | 16 | NV | dispositionDate | | | 100 | m#1 | m#1 |
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 17 | String | summaryOfEvents | 1000 | | 100 | m#1 | m#1 |
| 7 | 18 | decimal | amountPaid | | | 100 | m#1 | m#1 |
| 7 | 19 | String | nameOfTrustee | 250 | | 100 | m#1 | m#1 |
| 7 | 20 | String | isCurrentlyOpen | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 7 | 21 | String | dateDirectPayment | | | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE | SBSE/A |
|-------|-------|-----------|--------------------------|------------|--|-----------|------|--------|
| 8 | 1 | date | date | | | 100 | m#1 | m#1 |
| 8 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION OPTIONS | 100 | m#1 | m#1 |
| 8 | 3 | String | explanationInfo | 1000 | | 100 | m#1 | m#1 |
| 7 | 22 | String | detailsOfDisposition | 10000 | | 100 | o | o |
| 3 | 12 | NV | execution | | | | | |
| 4 | 1 | date | executionDate | | | 100 | m#1 | m#1 |
| 4 | 2 | String | nameOfApplicant | 150 | | 1 | m | m |
| 4 | 3 | String | signature | 150 | | 1 | m | m |
| 4 | 4 | String | nameOfPersonSigning | 150 | | 1 | m | m |
| 4 | 5 | String | titleOfPersonSigning | 150 | | 1 | m | m |
| 2 | 4 | NV | documents | | | 1 | m#1 | m#1 |
| 3 | 1 | NV | document | | | unbounded | m#1 | m#1 |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m |
| 4 | 2 | String | conformedDocumentType | | | 1 | m | m |
| 4 | 3 | String | description | 255 | | 1 | m | m |
| 4 | 4 | String | contents | | | 1 | m | m |

3.5 Mapping of Form SBSE-A Submission schemas to Submission Types

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|--------------------------|------------|---------------------------------|-----------|--------|----------|
| 1 | 1 | String | edgarSubmission | | | 1 | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o |
| 2 | 2 | NV | headerData | | | 1 | m | m |
| 3 | 1 | String | submissionType | | SUBMISSION TYPE | 1 | m | m |
| 3 | 2 | NV | filerInfo | | | 1 | m | m |
| 4 | 1 | NV | filer | | | 1 | m | m |
| 5 | 1 | NV | filerCredentials | | | 1 | m | m |
| 6 | 1 | String | filerCik | 10 | | 1 | m | m |
| 6 | 2 | String | filerCcc | 8 | | 1 | m | m |
| 4 | 2 | NV | flags | | | 1 | m | m |
| 5 | 1 | Boolean | returnCopyFlag | | "TRUE" OR "FALSE" | 1 | o | o |
| 5 | 2 | Boolean | overrideInternetFlag | | "TRUE" OR "FALSE" | 1 | m | m |
| 4 | 3 | NV | contact | | | 1 | m | m |
| 5 | 1 | String | contactName | 30 | | 1 | m | m |
| 5 | 2 | String | contactPhoneNumber | 20 | | 1 | m | m |
| 5 | 3 | String | contactEmailAddress | 80 | | 1 | m | m |
| 4 | 4 | NV | notifications | | | 1 | o | o |
| 5 | 1 | String | notificationEmailAddress | 80 | | 3 | o | o |
| 4 | 5 | String | liveTestFlag | | "LIVE" OR "TEST" | 1 | m | m |
| 2 | 3 | NV | formData | | | 1 | m | m |
| 3 | 1 | NV | applicant | | | 1 | m | m |
| 4 | 1 | NV | applicantOne | | | 1 | m | m |
| 5 | 1 | Integer | applicantNFANumber | 7 | | 1 | m | m |
| 5 | 2 | String | fullApplicantName | 150 | | 1 | m | m |
| 5 | 3 | String | irsEmplIdentNo | 9 | | 1 | m | m |
| 5 | 4 | String | applicantNFAId | | | 1 | m | m |
| 5 | 5 | String | applicantCik | | | 1 | m | m |
| 5 | 6 | String | applicantUic | | | 1 | o | o |
| 5 | 7 | NV | mainAddress | | | 1 | m | m |
| 6 | 1 | String | Street1 | 40 | | 1 | m | m |
| 6 | 2 | String | street2 | 40 | | 1 | o | o |
| 6 | 3 | String | city | 30 | | 1 | m | m |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|--------------------------|------------|-------------------------------------|-----------|--------|----------|
| 6 | 4 | String | stateOrCountry | | STATE/COUNTRY CODES | 1 | m | m |
| 6 | 5 | String | ZipCode | 10 | | 1 | m | m |
| 5 | 8 | NV | mailingAddress | | | 1 | m | m |
| 6 | 1 | String | Street1 | 40 | | 1 | m#1 | m#1 |
| 6 | 2 | String | street2 | 40 | | 1 | o | o |
| 6 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 6 | 4 | String | stateOrCountry | | STATE/COUNTRY CODES | 1 | m#1 | m#1 |
| 6 | 5 | String | ZipCode | 10 | | 1 | m#1 | m#1 |
| 5 | 9 | String | businessTelephoneNumber | 20 | | 1 | m | m |
| 5 | 10 | String | websiteUrl | 150 | | 1 | o | o |
| 5 | 11 | NV | contactEmployee | | | 1 | m | m |
| 6 | 1 | String | contactEmployeeName | 30 | | 1 | m | m |
| 7 | 1 | String | prefix | 30 | | 1 | o | o |
| 7 | 2 | String | firstName | 40 | | 1 | m | m |
| 7 | 3 | String | middleName | 30 | | 1 | m | m |
| 7 | 4 | String | lastName | 30 | | 1 | o | o |
| 7 | 5 | String | suffix | 30 | | 1 | o | o |
| 6 | 2 | String | title | 60 | | 1 | m | m |
| 6 | 3 | String | phone | 20 | | 1 | m | m |
| 6 | 4 | String | emailAddress | 80 | | 1 | m | m |
| 5 | 12 | NV | chiefComplianceOfficer | | | 1 | m | m |
| 6 | 1 | String | officerName | | | 1 | m | m |
| 7 | 1 | String | prefix | 30 | | 1 | o | o |
| 7 | 2 | String | firstName | 30 | | 1 | m | m |
| 7 | 3 | String | middleName | 30 | | 1 | m | m |
| 7 | 4 | String | lastName | 30 | | 1 | m | m |
| 7 | 5 | String | suffix | 10 | | 1 | o | o |
| 6 | 2 | String | title | 60 | | 1 | m | m |
| 6 | 3 | String | phone | 20 | | 1 | m | m |
| 6 | 4 | String | emailAddress | 80 | | 1 | m | m |
| 4 | 2 | NV | applicantTwo | | | 1 | m | m |
| 5 | 1 | String | applicantName | 150 | | 1 | m | m |
| 5 | 2 | Integer | applicantNFANo | 7 | | 1 | m | m |
| 5 | 3 | String | isSwapDealer | | YES_NO_TYPE | 1 | m | m |
| 5 | 4 | String | isSwapParticipant | | YES_NO_TYPE | 1 | m | m |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|----------------------------|------------|--|-----------|--------|----------|
| 5 | 5 | String | swapOption | | SWAP_OPTION_TYPE | 1 | m#1 | m#1 |
| 5 | 6 | String | isCommissionDetermine | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 5 | 7 | String | isSelfDetermine | | YES_NO_TYPE | 1 | m# | m# |
| 5 | 8 | String | foreignFinancialRegulatory | 1K | | 1 | m#1 | m#1 |
| 5 | 9 | String | description3C | 1K | | 1 | m# | m# |
| 5 | 10 | String | isMathematicalModels | | YES_NO_TYPE | 1 | m | m |
| 5 | 11 | String | registeredAs | | APPLICANT_REGISTRATIO N_TYPE | 1 | m# | m# |
| 5 | 12 | String | registeringAs | | APPLICANT_REGISTRATIO N_TYPE | 1 | m# | m# |
| 5 | 13 | String | isNonResidentEntity | | YES_NO_TYPE | 1 | m | m |
| 5 | 14 | NV | nonResidentEntity | | | 1 | m | m |
| 6 | 1 | String | entityName | 150 | | 10 | m#1 | m#1 |
| 6 | 2 | NV | entityAddress | | | 10 | m#1 | m#1 |
| 7 | 1 | String | street1 | | | 10 | m#1 | m#1 |
| 7 | 2 | String | street2 | | | 10 | o | o |
| 7 | 3 | String | city | 30 | | 10 | m#1 | m#1 |
| 7 | 4 | String | stateOrCountry | | STATE/COUNTRY_CODES | 10 | m#1 | m#1 |
| 7 | 5 | String | zipCode | 10 | | 10 | m#1 | m#1 |
| 5 | 15 | String | descriptionBusiness | 1K | | 1 | m | m |
| 5 | 16 | String | isSubjectToRegulator | | YES_NO_TYPE | 1 | m | m |
| 5 | 17 | String | prudentialRegulator | | PRUDENTIAL_REGULATO R_TYPE | 1 | m#1 | m#1 |
| 5 | 18 | String | isInvestmentAdvisor | | YES_NO_TYPE | 1 | m | m |
| 5 | 19 | String | applicantIardNo | 9 | | 1 | m#1 | m#1 |
| 5 | 20 | String | isRegisteredAsOther | | YES_NO_TYPE | 1 | m | m |
| 5 | 21 | String | applicantOtherType | | APPLICANT_OTHER_TYPE | 1 | m#1 | m#1 |
| 5 | 22 | String | otherSpecify | 30 | | 1 | m#1 | m#1 |
| 5 | 23 | String | isEngageInOtherBusiness | | YES_NO_TYPE | 1 | m | m |
| 5 | 24 | String | isHoldFunds | | YES_NO_TYPE | 1 | m | m |
| 4 | 3 | NV | applicantThree | | | 1 | m | m |
| 5 | 1 | String | applicantName | 150 | | 1 | m | m |
| 5 | 2 | Integer | applicantNFANo | 7 | | 1 | m | m |
| 5 | 3 | String | isRecordsKept | | YES_NO_TYPE | 1 | m | m |
| 5 | 4 | String | isOnBehalf | | YES_NO_TYPE | 1 | m | m |
| 5 | 5 | String | isControlThroughAgreement | | YES_NO_TYPE | 1 | m | m |
| 5 | 6 | String | isWhollyOrPartiallyFinance | | YES_NO_TYPE | 1 | m | m |
| 5 | 7 | String | isSucceeding | | YES_NO_TYPE | 1 | m | m |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|---------------------------|------------|--|-----------|--------|----------|
| 5 | 8 | String | isForeignRegulatory | | YES_NO_TYPE | 1 | m | m |
| 5 | 9 | Integer | numberOfPrincipals | 3 | | 1 | m | m |
| 5 | 10 | String | isNotIdentified | | YES_NO_TYPE | 1 | m | m |
| 3 | 2 | NV | scheduleA | | | 1 | m#1 | m#1 |
| 4 | 1 | String | applicantName | 150 | | 1 | m | m |
| 4 | 2 | Integer | applicantNFANo | 7 | | 1 | m | m |
| 4 | 3 | NV | scheduleaInfo | | | 1 | m#1 | m#1 |
| 5 | 1 | NV | individualName | | | 1 | m#1 | m#1 |
| 6 | 1 | String | prefix | 30 | | 1 | o | o |
| 6 | 2 | String | firstName | 30 | | 250 | m# | m# |
| 6 | 3 | String | middleName | 30 | | 250 | o | o |
| 6 | 4 | String | lastName | 30 | | 250 | m# | m# |
| 6 | 5 | String | suffix | 10 | | 250 | o | o |
| 5 | 2 | String | titleOrStatus | 60 | | 250 | m#1 | m#1 |
| 5 | 3 | Date | dateTitleOrStatusAcquired | | | 250 | m#1 | m#1 |
| 5 | 4 | Date | dateBeganWorking | | | 250 | m#1 | m#1 |
| 5 | 5 | String | haveOwnershipInterest | | YES_NO_TYPE | 250 | m# | m# |
| 5 | 6 | String | ownershipCode | | OWNERSHIP_CODE_TYPE | 250 | m#1 | m#1 |
| 5 | 7 | Integer | nfalidentificationNo | 7 | | 250 | o# | o# |
| 5 | 8 | String | crdNo | | | 250 | o# | o# |
| 5 | 9 | String | iardNo | | | 250 | o# | o# |
| 5 | 10 | String | description | 256 | | 1 | m#1 | m#1 |
| 3 | 3 | NV | scheduleB | | | 1 | m# | m# |
| 4 | 1 | String | applicantName | 150 | | 1 | m | m |
| 4 | 2 | Integer | applicantNFANo | 7 | | 1 | m | m |
| 4 | 3 | String | initialOrAmended | | INITIAL_AMENDED_TYPE | 1 | m# | m# |
| 4 | 4 | NV | sectionOne | | | 1 | m#1 | m#1 |
| 5 | 1 | String | uicNumber | 25 | | 10 | o | o |
| 6 | 2 | String | assigningRegulators | 150 | | 10 | o | o |
| 6 | 3 | String | description | 1K | | 10 | m#1 | m#1 |
| 4 | 5 | NV | sectionTwo | | | 1 | m#1 | m#1 |
| 5 | 1 | String | responseType | | SECTION TWO CHECK TYPE | 100 | m#1 | m#1 |
| 5 | 2 | String | firmOrIndividual | | FIRM INDIVIDUAL_TYPE | 100 | m#1 | m#1 |
| 5 | 3 | String | firmOrOrganizationName | 150 | | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|---------------------------|------------|-------------------------------------|-----------|--------|----------|
| 5 | 4 | String | firmSecFileNumber | | | 100 | o | o |
| 5 | 5 | String | firmCrdNo | 9 | | 100 | o | o |
| 5 | 6 | String | firmNfa | 10 | | 100 | o | o |
| 5 | 7 | String | firmIardNo | 9 | | 100 | o | o |
| 5 | 8 | String | firmUic | 25 | | 100 | o | o |
| 5 | 9 | String | firmCikNumber | | | 100 | o | o |
| 5 | 10 | String | firmAddress | | | 100 | m#1 | m#1 |
| 6 | 1 | String | firmStreet1 | 40 | | 100 | m#1 | m#1 |
| 6 | 2 | String | firmStreet2 | 40 | | 100 | o | o |
| 6 | 3 | String | firmCity | 30 | | 100 | m#1 | m#1 |
| 6 | 4 | String | firmStateOrCountry | | STATE/COUNTRY CODES | 100 | m#1 | m#1 |
| 6 | 5 | String | firmZipCode | | | 100 | m#1 | m#1 |
| 5 | 11 | Date | firmEffectiveDate | | | 100 | m#1 | m#1 |
| 5 | 12 | Date | firmTerminationDate | | | 100 | o | o |
| 5 | 13 | String | individualName | | | 100 | m#1 | m#1 |
| 6 | 1 | String | prefix | 30 | | 100 | o | o |
| 6 | 2 | String | firstName | 30 | | 100 | m# | m# |
| 6 | 3 | String | middleName | 30 | | 100 | o | o |
| 6 | 4 | String | lastName | 30 | | 100 | m# | m# |
| 6 | 5 | String | suffix | 10 | | 100 | o | o |
| 5 | 14 | String | individualCrdNo | 9 | | 100 | o | o |
| 5 | 15 | String | individualNfa | 10 | | 100 | o | o |
| 5 | 16 | String | individuallardNo | | | 100 | o | o |
| 5 | 17 | String | individualAddress | | | 100 | m#1 | m#1 |
| 6 | 1 | String | Street1 | 40 | | 100 | m#1 | m#1 |
| 6 | 2 | String | Street2 | 40 | | 100 | o | o |
| 6 | 3 | String | City | 30 | | 100 | m#1 | m#1 |
| 6 | 4 | String | StateOrCountry | | STATE/COUNTRY CODES | 100 | m#1 | m#1 |
| 6 | 5 | String | ZipCode | | | 100 | m#1 | m#1 |
| 5 | 18 | Date | individualEffectiveDate | | | 100 | m#1 | m#1 |
| 5 | 19 | Date | individualTerminationDate | | | 100 | o | o |
| 5 | 20 | String | descriptionArrangement | 1K | | 100 | m | m |
| 5 | 21 | String | descriptionExperience | 1K | | 100 | m#1 | m#1 |
| 4 | 6 | NV | sectionThree | | | 1 | m#1 | m#1 |
| 5 | 1 | Date | dateOfSuccession | | | 1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|--------------------------|------------|-------------------------------------|-----------|--------|----------|
| 5 | 2 | String | nameOfPredecessor | 150 | | 1 | m#1 | m#1 |
| 5 | 3 | String | secFileNumber | | | 1 | o | o |
| 5 | 4 | String | crdNo | 9 | | 1 | o | o |
| 5 | 5 | String | nfa | 10 | | 1 | o | o |
| 5 | 6 | String | iardNo | | | 1 | o | o |
| 5 | 7 | String | uicNumber | 25 | | 1 | o | o |
| 5 | 8 | String | cikNumber | 10 | | 1 | o | o |
| 5 | 9 | String | irsEmployerNumber | 10 | | 1 | o | o |
| 5 | 10 | String | descriptionSuccession | 1K | | 1 | m# | m# |
| 4 | 7 | NV | sectionFour | | | 1 | m#1 | m#1 |
| 5 | 1 | String | nameOfPrincipal | 150 | | 100 | m#1 | m#1 |
| 5 | 2 | String | typeOfEntity | | LEGAL STATUS TYPE | 100 | m#1 | m#1 |
| 5 | 3 | String | otherSpecify | 150 | | 100 | m#1 | m#1 |
| 5 | 4 | String | secFileNumber | | | 100 | o | o |
| 5 | 5 | String | crdNo | 9 | | blank | o | o |
| 5 | 6 | String | nfa | 10 | | 20 | o | o |
| 5 | 7 | String | iardNo | 9 | | 20 | o | o |
| 5 | 8 | String | uicNumber | 25 | | 20 | o | o |
| 5 | 9 | String | cikNumber | | | 20 | o | o |
| 5 | 10 | String | taxIdentificationNumber | 10 | | 20 | o | o |
| 5 | 11 | NV | address | | | 20 | m#1 | m#1 |
| 6 | 1 | String | street1 | 40 | | 20 | m# | m# |
| 6 | 2 | String | street2 | 40 | | 20 | o | o |
| 6 | 3 | String | city | 30 | | 20 | m#1 | m#1 |
| 6 | 4 | String | stateOrCountry | | STATE/COUNTRY CODES | 20 | m#1 | m#1 |
| 6 | 5 | String | zipCode | | | 20 | m#1 | m#1 |
| 5 | 12 | String | effectType | | EFFECT TYPE | 20 | m#1 | m#1 |
| 5 | 13 | String | description | 1K | | 20 | m#1 | m#1 |
| 3 | 5 | NV | scheduledD | | | 20 | m | m |
| 4 | 1 | String | applicantName | 150 | | 1 | m | m |
| 4 | 2 | String | principalName | 150 | | 1 | m | m |
| 4 | 3 | Date | date | | | 1 | m | m |
| 4 | 4 | Integer | applicantNFANo | 7 | | 1 | m | m |
| 4 | 5 | NV | criminalDisclosure | | | 1 | m | m |
| 5 | 1 | String | isConvictedOfFelony | | YES_NO TYPE | 1 | m | m |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|--------------------------------|------------|--------------------------------------|-----------|--------|----------|
| 5 | 2 | String | isChargedWithFelony | | YES_NO_TYPE | 1 | m | m |
| 5 | 3 | String | isConvictedMisdemeanor | | YES_NO_TYPE | 1 | m | m |
| 5 | 4 | String | isChargedMisdemeanor | | YES_NO_TYPE | 1 | m | m |
| 4 | 6 | NV | regulatoryActionDisclosure | | | 1 | m | m |
| 5 | 1 | String | isMadeFalseStatement | | YES_NO_TYPE | 1 | m | m |
| 5 | 2 | String | isViolatedRegulation | | YES_NO_TYPE | 1 | m | m |
| 5 | 3 | String | isCauseOfDenial | | YES_NO_TYPE | 1 | m | m |
| 5 | 4 | String | isOrderAgainst | | YES_NO_TYPE | 1 | m | m |
| 5 | 5 | String | isImposedPenalty | | YES_NO_TYPE | 1 | m | m |
| 5 | 6 | String | isUnethical | | YES_NO_TYPE | 1 | m | m |
| 5 | 7 | String | isFoundInViolationOfRegulation | | YES_NO_TYPE | 1 | m | m |
| 5 | 8 | String | isFoundInCauseOfDenial | | YES_NO_TYPE | 1 | m | m |
| 5 | 9 | String | isOrderAgainstActivity | | YES_NO_TYPE | 1 | m | m |
| 5 | 10 | String | isDeniedLicense | | YES_NO_TYPE | 1 | m | m |
| 5 | 11 | String | isFoundMadeFalseStatement | | YES_NO_TYPE | 1 | m | m |
| 5 | 12 | String | isFoundInViolationOfRules | | YES_NO_TYPE | 1 | m | m |
| 5 | 13 | String | isFoundInCauseOfSuspension | | YES_NO_TYPE | 1 | m | m |
| 5 | 14 | String | isDisciplined | | YES_NO_TYPE | 1 | m | m |
| 5 | 15 | String | isAuthorizedToActAttorney | | YES_NO_TYPE | 1 | m | m |
| 5 | 16 | String | isNamedInRegulatoryProceeding | | YES_NO_TYPE | 1 | m | m |
| 4 | 7 | NV | civilJudicialActionDisclosure | | | 1 | m | m |
| 5 | 1 | String | isEnjoined | | YES_NO_TYPE | 1 | m | m |
| 5 | 2 | String | isFoundInViolationOfRegulation | | YES_NO_TYPE | 1 | m | m |
| 5 | 3 | String | isDismissed | | YES_NO_TYPE | 1 | m | m |
| 5 | 4 | String | isNamedInCivilProceeding | | YES_NO_TYPE | 1 | m | m |
| 4 | 8 | NV | financialDisclosure | | | 1 | m | m |
| 5 | 1 | String | hasSubjectOfBankruptcy | | | 1 | m | m |
| 5 | 2 | String | hasTrusteeAppointed | | | 1 | m | m |
| 3 | 6 | NV | scheduleF | | | 1 | m#1 | m#1 |
| 4 | 1 | String | name | 150 | | 1 | m#1 | m#1 |
| 4 | 2 | Integer | applicantNFANo | 7 | | 1 | m#1 | m#1 |
| 4 | 3 | NV | serviceOfProcess | | | 1 | m#1 | m#1 |
| 5 | 1 | String | firmOrIndividual | | FIRM_INDIVIDUAL_TYPE | 1 | m#1 | m#1 |
| 5 | 2 | | firmName | | | 1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|--------------------------|------------|---|-----------|--------|----------|
| 5 | 3 | String | individualName | | | 1 | m#1 | m#1 |
| 6 | 1 | String | prefix | 30 | | 1 | o | o |
| 6 | 2 | String | firstName | 40 | | 1 | m#1 | m#1 |
| 6 | 3 | String | middleName | 30 | | 1 | o | o |
| 6 | 4 | String | lastName | 30 | | 1 | m#1 | m#1 |
| 6 | 5 | String | suffix | 30 | | 1 | o | o |
| 5 | 4 | String | serviceAddress | | | 1 | o | o |
| 6 | 1 | String | street1 | 40 | | 1 | m | m |
| 6 | 2 | String | street2 | 40 | | 1 | o | o |
| 6 | 3 | String | city | 30 | | 1 | o | o |
| 6 | 4 | String | stateOrCountry | | STATE/COUNTRY CODES | 1 | m#1 | m#1 |
| 6 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 4 | 4 | String | signature | 150 | | 1 | m#1 | m#1 |
| 4 | 5 | String | signerName | 150 | | 1 | m#1 | m#1 |
| 4 | 6 | String | signerTitle | 60 | | 1 | m#1 | m#1 |
| 4 | 7 | Date | signatureDate | | | 1 | m#1 | m#1 |
| 4 | 8 | NV | foreignFinancialReg | | | 50 | m#1 | m#1 |
| 5 | 1 | String | nameOfRegulatory | 150 | | 50 | m# | m# |
| 5 | 2 | String | foreignBusinessNo | 256 | | 50 | o | o |
| 5 | 3 | String | nameOfCountry | | | 50 | m# | m# |
| 3 | 7 | NV | criminalDrpInfo | | | NA | m#1 | m#1 |
| 4 | 1 | NV | criminalDrp | | | 100 | m#1 | m#1 |
| 5 | 1 | String | initialOrAmended | | INITIAL AMENDED TYPE | 100 | m#1 | m#1 |
| 5 | 2 | NV | respondingTo | | | 100 | m#1 | m#1 |
| 6 | 1 | NV | responseQuestion | | CRIMINAL RESPONDING TO TYPE | 4 | m#1 | m#1 |
| 5 | 3 | NV | criminalDrpPartOne | | | 100 | m#1 | m#1 |
| 6 | 1 | String | nameOfPrincipal | 150 | | 100 | m#1 | m#1 |
| 6 | 2 | String | crdNumber | 9 | | 100 | o | o |
| 6 | 3 | String | isRegistered | | YES NO TYPE | 100 | m#1 | m#1 |
| 6 | 4 | String | isShouldBeRemoved | | YES NO TYPE | 100 | NA | m# |
| 6 | 5 | String | drpRemovalReason | | PRINCIPAL_DRP_REMOVAL_REASON TYPE | 100 | NA | m# |
| 6 | 6 | String | explainCircumstances | 256 | | 100 | NA | m# |
| 6 | 7 | String | isSubmittedToCRD | | YES NO TYPE | 100 | m#1 | m#1 |
| 5 | 4 | NV | criminalDrpPartTwo | | | 100 | m#1 | m#1 |
| 6 | 1 | String | organizationName | 150 | | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|--------------------------------------|------------|---|-----------|--------|----------|
| 6 | 2 | String | isEngagedInInvestmentRelatedBusiness | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 6 | 3 | String | descRelationshipWithApplicant | 250 | | 100 | m#1 | m#1 |
| 6 | 4 | String | courtType | | CRIMINAL_EVENT COURT _TYPE | 100 | m#1 | m#1 |
| 6 | 5 | String | otherDescribe | 150 | | 100 | m#1 | m#1 |
| 6 | 6 | String | nameOfCourt | 150 | | 100 | m#1 | m#1 |
| 6 | 7 | String | cityOrCounty | 150 | | 100 | m#1 | m#1 |
| 6 | 8 | String | stateOrCountry | | STATE/COUNTRY CODES | 100 | m#1 | m#1 |
| 6 | 9 | String | docketOrCaseNumber | 150 | | 100 | m#1 | m#1 |
| 6 | 10 | String | dateFirstCharged | | | 100 | m#1 | m#1 |
| 7 | 1 | String | date | | | 100 | m#1 | m#1 |
| 7 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION _OPTIONS | 100 | m#1 | m#1 |
| 7 | 3 | String | explanationInfo | 1K | | 100 | m#1 | m#1 |
| 6 | 11 | String | criminalCharge | | | 5 | m#1 | m#1 |
| 7 | 1 | String | chargeDesc | 80 | | 1 | m#1 | m#1 |
| 7 | 2 | Integer | numberOfCounts | 99 | | 1 | m#1 | m#1 |
| 7 | 3 | String | felonyOrMisdemeanor | | FELONY_MISDEMEANOR _TYPE | 1 | m#1 | m#1 |
| 7 | 4 | String | plea | 1K | | 1 | m#1 | m#1 |
| 7 | 5 | String | isInvestmentRelated | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 7 | 6 | String | investmentProductType | 100 | | 1 | m#1 | m#1 |
| 6 | 11 | String | eventCurrentStatus | | EVENT STATUS_TYPE | 100 | m#1 | m#1 |
| 6 | 12 | Date | eventStatusDate | | | 100 | m#1 | m#1 |
| 7 | 1 | String | date | | | 100 | m#1 | m#1 |
| 7 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION _OPTIONS | 100 | m#1 | m#1 |
| 7 | 3 | String | explanationInfo | 1K | | 100 | m#1 | m#1 |
| 6 | 13 | NV | dispositionDisclosure | | | 5 | m#1 | m#1 |
| 7 | 1 | String | dispositionType | | CRIMINAL DISPOSITION _OPTION_TYPE | 1 | m#1 | m#1 |
| 7 | 2 | String | dispositionTypeOtherDesc | 256 | | 1 | m#1 | m#1 |
| 7 | 3 | String | date | | | 1 | m#1 | m#1 |
| 7 | 4 | String | sentencePenalty | 1K | | 1 | m#1 | m#1 |
| 7 | 5 | NV | duration | | | 1 | o | o |
| 8 | 1 | String | days | 10 | | 1 | o | o |
| 8 | 2 | String | months | 10 | | 1 | o | o |
| 8 | 3 | String | years | 10 | | 1 | o | o |
| 7 | 6 | Date | startDatePenalty | | | 1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|--------------------------|------------|---|-----------|--------|----------|
| 7 | 7 | Decimal | penaltyFineAmount | 14,2 | | 1 | o | o |
| 7 | 8 | Date | datePaid | | | 1 | o | o |
| 6 | 14 | String | summaryOfCircumstances | 10,000 | | 100 | m#1 | m#1 |
| 3 | 8 | NV | regulatoryDrpInfo | | | NA | m#1 | m#1 |
| 4 | 1 | NV | regulatoryDrp | 100 | | 500 | m#1 | m#1 |
| 5 | 1 | String | initialOrAmended | | INITIAL_AMENDED_TYPE | 100 | m#1 | m#1 |
| 6 | 19 | date | resolutionDate | | | 100 | m#1 | m#1 |
| 7 | 1 | String | date | | | 100 | m#1 | m#1 |
| 7 | 2 | String | exactOrExplanation | | EXACT_OR_EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 7 | 3 | String | explanationInfo | 1K | | 100 | m#1 | m#1 |
| 6 | 20 | NV | sanctionsOrdered | | | 100 | m#1 | m#1 |
| 7 | 1 | String | sanctionOrdered | | SANCTIONS_ORDERED_LIST_TYPE | 100 | m#1 | m#1 |
| 6 | 21 | monetary | monetaryFineAmount | 14,2 | | 100 | m#1 | m#1 |
| 6 | 22 | String | otherSanctionsOrdered | 256 | | 100 | o | o |
| 6 | 23 | String | sanctionDetail | 10K | | 100 | m#1 | m#1 |
| 6 | 24 | String | summaryOfDetails | 1K | | 100 | m#1 | m#1 |
| 3 | 9 | NV | civilJudicialDrpInfo | | | NA | m#1 | m#1 |
| 4 | 1 | NV | civilJudicialDrp | | | 100 | m#1 | m#1 |
| 5 | 1 | String | initialOrAmended | | INITIAL_AMENDED_TYPE | 100 | m#1 | m#1 |
| 5 | 2 | NV | respondingTo | | | 100 | m#1 | m#1 |
| 6 | 1 | String | responseQuestion | | CIVIL_JUDICIAL_RESPONDING_TO_TYPE | 100 | m#1 | m#1 |
| 5 | 3 | NV | civilJudicialDrpPartOne | | | 100 | m#1 | m#1 |
| 6 | 1 | String | nameOfPrincipal | 150 | | 100 | m#1 | m#1 |
| 6 | 2 | String | crdNumber | 9 | | 100 | o | o |
| 6 | 3 | String | isRegistered | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 6 | 4 | String | isShouldBeRemoved | | YES_NO_TYPE | 100 | NA | m# |
| 6 | 5 | String | drpRemovalReason | | PRINCIPAL_DRP_REMOVAL_REASON_TYPE | 100 | NA | m#1 |
| 6 | 6 | String | explainCircumstances | 256 | | 100 | NA | m#1 |
| 6 | 7 | String | isSubmittedToCRD | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 5 | 4 | NV | civilJudicialDrpPartTwo | | | 100 | m#1 | m#1 |
| 6 | 1 | String | courtActionInitiatorName | 150 | | 100 | m#1 | m#1 |
| 6 | 2 | String | regulatoryAuthorityType | | REGULATORY_AUTHORITY_TYPE | 100 | m#1 | m#1 |
| 6 | 3 | String | otherRegulatoryAuthority | 60 | | 100 | m#1 | m#1 |
| 6 | 4 | String | principalReliefSought | | RELIEF_SOUGHT_TYPE | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|--------------------------------|------------|--|-----------|--------|----------|
| 6 | 5 | String | otherPrincipleReliefSought | 60 | | 100 | m#1 | m#1 |
| 6 | 6 | NV | otherReliefSoughts | | | 100 | m#1 | m#1 |
| 7 | 1 | String | otherReliefSought | | OTHER RELIEF SOUGHT TYPES | 100 | o | o |
| 6 | 7 | String | otherOtherReliefSought | 250 | | 100 | m#1 | m#1 |
| 6 | 8 | NV | filingDateOfCourtAction | | | 100 | m#1 | m#1 |
| 7 | 1 | String | date | | | 100 | m#1 | m#1 |
| 7 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION OPTIONS | 100 | m#1 | m#1 |
| 7 | 3 | String | explanationInfo | 1K | | 100 | m#1 | m#1 |
| 6 | 9 | String | principalProductType | | PRINCIPAL PRODUCT TYPE | 100 | m#1 | m#1 |
| 6 | 10 | String | otherPrincipalProductType | 60 | | 100 | m#1 | m#1 |
| 6 | 11 | NV | otherProductTypes | | | 100 | m#1 | m#1 |
| 7 | 1 | String | otherProductType | | OTHER PRODUCT TYPES | 100 | o | o |
| 6 | 12 | String | otherOtherProductType | 250 | | 100 | m#1 | m#1 |
| 6 | 13 | String | civilActionCourtType | | CIVIL ACTION COURT TYPE | 100 | m#1 | m#1 |
| 6 | 14 | String | civilActionCourtName | 150 | | 100 | m#1 | m#1 |
| 6 | 15 | String | cityOrCounty | 30 | | 100 | m#1 | m#1 |
| 6 | 16 | String | stateOrCountry | | STATE/COUNTRY CODES | 100 | m#1 | m#1 |
| 6 | 17 | String | docketOrCaseNumber | 1K | | 100 | m#1 | m#1 |
| 6 | 18 | String | cpEmployingFirm | 150 | | 100 | o | o |
| 6 | 19 | String | describeCivilActionAllegations | 4K | | 100 | m#1 | m#1 |
| 6 | 20 | String | eventCurrentStatus | | EVENT STATUS TYPE | 100 | m#1 | m#1 |
| 6 | 21 | String | courtName | 150 | | 100 | m#1 | m#1 |
| 6 | 22 | String | dateAppealFiled | | | 100 | m#1 | m#1 |
| 6 | 23 | tinyint | processingDateCourtAction | | | 100 | m#1 | m#1 |
| 7 | 1 | String | date | | | 100 | m#1 | m#1 |
| 7 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION OPTIONS | 100 | m#1 | m#1 |
| 7 | 3 | String | explanationInfo | 1K | | 100 | m#1 | m#1 |
| 6 | 24 | String | matterResolveType | | MATTER RESOLVE TYPE | 100 | m#1 | m#1 |
| 6 | 25 | String | otherMatterResolveType | 256 | | 100 | m#1 | m#1 |
| 6 | 26 | Date | resolutionDate | | | 100 | m#1 | m#1 |
| 7 | 1 | String | date | | | 100 | m#1 | m#1 |
| 7 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION OPTIONS | 100 | m#1 | m#1 |
| 7 | 3 | String | explanationInfo | 1K | | 100 | m#1 | m#1 |
| 6 | 27 | NV | sanctionReliefTypes | | | 100 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|--------------------------|------------|--|-----------|--------|----------|
| 7 | 1 | String | sanctionReliefType | | SANCTIONS_RELIEF_TYPE | 100 | m#1 | m#1 |
| 6 | 28 | decimal | grantOrFineAmount | 14,2 | | 100 | m#1 | m#1 |
| 6 | 29 | String | otherSanctionsOrdered | 256 | | 100 | o | o |
| 6 | 30 | String | sanctionDetail | 4K | | 100 | m#1 | m#1 |
| 6 | 31 | String | summaryOfCircumstances | 4K | | 100 | m#1 | m#1 |
| 3 | 10 | NV | bankruptcySipcDrpInfo | | | NA | m#1 | m#1 |
| 4 | 1 | NV | bankruptcyDrp | | | 100 | m#1 | m#1 |
| 5 | 1 | String | initialOrAmended | | INITIAL_AMENDED_TYPE | 100 | m#1 | m#1 |
| 5 | 2 | String | respondingTo | | | 100 | m# | m# |
| 6 | 1 | String | responseQuestion | | BANKRUPTCY_SIPC_RESPONDING_TO_TYPE | 100 | m#1 | m#1 |
| 5 | 3 | NV | BankruptcySipcDrpPartOne | | | 100 | m#1 | m#1 |
| 6 | 1 | String | nameOfPrincipal | 150 | | 100 | m#1 | m#1 |
| 6 | 2 | String | crdNumber | 9 | | 100 | o | o |
| 6 | 3 | String | isRegistered | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 6 | 4 | String | isShouldBeRemoved | | YES_NO_TYPE | 100 | NA | c# |
| 6 | 5 | String | drpRemovalReason | | PRINCIPAL_DRP_REMOVAL_REASON_TYPE | 100 | NA | c# |
| 6 | 6 | String | explainCircumstances | 256 | | 100 | NA | c# |
| 6 | 7 | String | isSubmittedToCRD | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 5 | 4 | NV | BankruptcySipcDrpPartTwo | | | 100 | m#1 | m#1 |
| 6 | 1 | String | actionType | | BANKRUPTCY_ACTION_TYPE | 100 | m#1 | m#1 |
| 6 | 2 | String | actionTypeOtherDesc | 256 | | 100 | m#1 | m#1 |
| 6 | 3 | date | actionDate | | | 100 | m#1 | m#1 |
| 7 | 1 | String | date | | | 100 | m#1 | m#1 |
| 7 | 2 | String | exactOrExplanation | | EXACT_OR_EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 7 | 3 | String | explanationInfo | 1K | | 100 | m#1 | m#1 |
| 6 | 4 | String | organizationName | 150 | | 100 | o | o |
| 6 | 5 | String | personDetail | 150 | | 100 | o | o |
| 6 | 6 | String | isInvestmentRelated | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 6 | 7 | String | typeOfCourt | | COURT_TYPE | 100 | m#1 | m#1 |
| 6 | 8 | String | nameOfCourt | 150 | | 100 | m#1 | m#1 |
| 6 | 9 | String | cityOrCounty | | | 100 | m#1 | m#1 |
| 6 | 10 | String | stateOrCountry | | STATE / COUNTRY CODES | 100 | m# | m# |
| 6 | 11 | String | docketOrCaseNo | 256 | | 100 | m# | m# |
| 6 | 12 | String | bankruptcyChapterNo | 256 | | 100 | o | o |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-A | SBSE-A/A |
|-------|-------|-----------|--------------------------|------------|--|-----------|--------|----------|
| 6 | 13 | String | isActionPending | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 6 | 14 | String | dispositionType | | BANKRUPTCY DISPOSITION_TYPE | 100 | m#1 | m#1 |
| 6 | 15 | String | dispositionTypeOtherDesc | 256 | | 100 | m#1 | m#1 |
| 6 | 16 | date | dispositionDate | | | 100 | m#1 | m#1 |
| 7 | 1 | String | date | | | 100 | m#1 | m#1 |
| 7 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 7 | 3 | String | explanationInfo | 1K | | 100 | m#1 | m#1 |
| 6 | 17 | String | summaryOfEvents | 1K | | 100 | m#1 | m#1 |
| 6 | 18 | decimal | amountPaid | | | 100 | m#1 | m#1 |
| 6 | 19 | String | nameOfTrustee | 150 | | 100 | m#1 | m#1 |
| 6 | 20 | String | isCurrentlyOpen | | YES_NO_TYPE | 100 | m#1 | m#1 |
| 6 | 21 | String | dateDirectPayment | | | 100 | m#1 | m#1 |
| 7 | 1 | String | date | | | 100 | m#1 | m#1 |
| 7 | 2 | String | exactOrExplanation | | EXACT OR EXPLANATION_OPTIONS | 100 | m#1 | m#1 |
| 7 | 3 | String | explanationInfo | 1K | | 100 | m#1 | m#1 |
| 6 | 22 | String | detailsOfDisposition | 10K | | 100 | o | o |
| 3 | 11 | NV | execution | | | 1 | m | m |
| 4 | 1 | date | date | | | 1 | m | m |
| 4 | 2 | String | nameOfApplicant | 150 | | 1 | m | m |
| 4 | 3 | String | signature | 150 | | 1 | m | m |
| 4 | 4 | String | nameOfPersonSigning | 150 | | 1 | m | m |
| 4 | 5 | String | titleOfPersonSigning | 150 | | 1 | m | m |

3.6 Mapping of Form SBSE-BD Submission schemas to Submission Types

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-BD | SBSE-BD/A |
|-------|-------|-----------|--------------------------|------------|------------------------|-----------|---------|-----------|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o |
| 2 | 2 | NV | headerData | | | 1 | m | m |
| 3 | 1 | String | submissionType | | <u>SUBMISSION TYPE</u> | 1 | m | m |
| 3 | 2 | NV | filerInfo | | | 1 | m | m |
| 4 | 1 | NV | filer | | | 1 | m | m |
| 5 | 1 | NV | filerCredentials | | | 1 | m | m |
| 6 | 1 | String | filerCik | 10 | | 1 | m | m |
| 6 | 2 | String | filerCcc | 8 | | 1 | m | m |
| 4 | 2 | NV | flags | | | 1 | m | m |
| 5 | 1 | Boolean | returnCopyFlag | | "TRUE" OR "FALSE" | 1 | o | o |
| 5 | 2 | Boolean | overrideInternetFlag | | "TRUE" OR "FALSE" | 1 | m | m |
| 4 | 3 | NV | contact | | | 1 | m | m |
| 5 | 1 | String | contactName | 30 | | 1 | m | m |
| 5 | 2 | String | contactPhoneNumber | 20 | | 1 | m | m |
| 5 | 3 | String | contactEmailAddress | 80 | | 1 | m | m |
| 4 | 4 | NV | notifications | | | 1 | o | o |
| 5 | 1 | String | notificationEmailAddress | 80 | | 3 | o | o |
| 4 | 5 | String | liveTestFlag | | "LIVE" OR "TEST" | 1 | m | m |
| 2 | 3 | NV | formData | | | 1 | m | m |
| 3 | 1 | NV | applicantOne | | | 1 | m | m |
| 4 | 1 | String | fullApplicantName | 150 | | 1 | m | m |
| 4 | 2 | String | crdNo | 9 | | 1 | m | m |
| 4 | 3 | String | uicNumber | 25 | | 1 | o | o |
| 4 | 4 | String | websiteUrl | 150 | | 1 | o | o |
| 4 | 5 | NV | contactEmployee | | | 1 | m | m |
| 5 | 1 | NV | contactEmployeeName | | | 1 | m | m |
| 6 | 1 | String | prefix | 30 | | 1 | o | o |
| 6 | 2 | String | firstName | 40 | | 1 | m | m |
| 6 | 3 | String | middleName | 30 | | 1 | o | o |
| 6 | 4 | String | lastName | 30 | | 1 | m | m |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-BD | SBSE-BD/A |
|-------|-------|-----------|--------------------------|------------|--|-----------|---------|-----------|
| 6 | 5 | String | suffix | 30 | | 1 | o | o |
| 5 | 2 | String | title | 60 | | 1 | m | m |
| 5 | 3 | String | phone | 20 | | 1 | m | m |
| 5 | 4 | String | emailAddress | 80 | | 1 | m | m |
| 4 | 6 | NV | chiefComplianceOfficer | | | 1 | m | m |
| 5 | 1 | NV | officerName | | | 1 | m | m |
| 6 | 1 | String | prefix | 30 | | 1 | o | o |
| 6 | 2 | String | firstName | 40 | | 1 | m | m |
| 6 | 3 | String | middleName | 30 | | 1 | o | o |
| 6 | 4 | String | lastName | 30 | | 1 | m | m |
| 6 | 5 | String | suffix | 30 | | 1 | o | o |
| 5 | 2 | String | title | 60 | | 1 | m | m |
| 5 | 3 | String | phone | 9 | | 1 | m | m |
| 5 | 4 | String | emailAddress | 80 | | 1 | m | m |
| 4 | 7 | String | isSwapDealer | | YES NO TYPE | 1 | m | m |
| 4 | 8 | String | isSwapParticipant | | YES NO TYPE | 1 | m | m |
| 4 | 9 | String | swapOptions | | SWAP OPTION TYPES | 1 | m#1 | m#1 |
| 4 | 10 | String | registeredAs | | APPLICANT REGISTRATIO N TYPE | 1 | m# | m# |
| 4 | 11 | String | registeringAs | | APPLICANT REGISTRATIO N TYPE | 1 | m# | m# |
| 4 | 12 | String | isSubjectToRegulator | | YES NO TYPE | 1 | m | m |
| 4 | 13 | NV | prudentialRegulators | | | 1 | m | m |
| 5 | 1 | String | prudentialRegulator | | PRUDENTIAL REGULATOR TYPE | 1 | m#1 | m#1 |
| 4 | 14 | String | isDerivativesDealer | | YES NO TYPE | 1 | m | m |
| 4 | 15 | String | describeBusiness | 1000 | | 1 | m | m |
| 4 | 16 | String | isForeignRegulatory | | YES NO TYPE | 1 | m | m |
| 3 | 2 | NV | execution | | | 1 | m | m |
| 4 | 1 | date | date | | | 1 | m | m |
| 4 | 2 | String | nameOfApplicant | 150 | | 1 | m | m |
| 4 | 3 | String | signature | 150 | | 1 | m | m |
| 4 | 4 | String | nameOfPersonSigning | 150 | | 1 | m | m |
| 4 | 5 | String | titleOfPersonSigning | 150 | | 1 | m | m |
| 3 | 4 | NV | scheduleF | | | 1 | m# | m# |
| 4 | 1 | String | applicantName | 150 | | 1 | m# | m# |
| 4 | 2 | NV | serviceOfProcess | | | 1 | m# | m# |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-BD | SBSE-BD/A |
|-------|-------|--------------|--------------------------|------------|--------------------------------------|-----------|---------|-----------|
| 5 | 1 | String | firmOrIndividual | | FIRM_INDIVIDUAL_TYPE | 1 | m# | m# |
| 5 | 2 | String | firmName | 150 | | 1 | m#1 | m#1 |
| 5 | 3 | String | individualName | 150 | | 1 | m# | m# |
| 6 | 1 | String | prefix | 30 | | 1 | o | o |
| 6 | 2 | String | firstName | 40 | | 1 | m#1 | m#1 |
| 6 | 3 | alphanumeric | middleName | 30 | | 1 | o | o |
| 6 | 4 | String | lastName | 30 | | 1 | m#1 | m#1 |
| 6 | 5 | String | suffix | 30 | | 1 | o | o |
| 5 | 4 | String | address | | | 1 | m#1 | m#1 |
| 6 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 6 | 2 | String | street2 | 40 | | 1 | o | o |
| 6 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 6 | 4 | String | stateOrCountry | | STATE/COUNTRY_CODES | 1 | m#1 | m#1 |
| 6 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 4 | 3 | String | signature | 150 | | 1 | m#1 | m#1 |
| 4 | 4 | String | signerName | 150 | | 1 | m#1 | m#1 |
| 4 | 5 | String | signerTitle | 150 | | 1 | m#1 | m#1 |
| 4 | 7 | date | signerDate | | | 1 | m#1 | m#1 |
| 4 | 8 | NV | foreignFinancialReg | | | 50 | m# | m# |
| 5 | 1 | String | regulatoryAuthName | 150 | | 50 | m#1 | m#1 |
| 5 | 2 | String | foreignRegistrationNo | 256 | | 50 | o | o |
| 5 | 3 | String | regulatoryAuthCountry | | STATE/COUNTRY_CODES | 50 | m#1 | m#1 |
| 2 | 4 | NV | documents | | | 1 | m | m |
| 3 | 1 | NV | document | | | unbounded | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m |
| 4 | 2 | String | conformedDocumentType | | | 1 | m | m |
| 4 | 3 | String | description | 255 | | 1 | o | o |
| 4 | 4 | String | contents | | | 1 | m | m |

3.7 Mapping of Form SBSE-C Submission schemas to Submission Types

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-C |
|-------|-------|-----------|--------------------------|------------|---------------------------------|-----------|--------|
| 1 | 1 | NV | edgarSubmission | | | 1 | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o |
| 2 | 2 | NV | headerData | | | 1 | m |
| 3 | 1 | String | submissionType | | SUBMISSION TYPE | 1 | m |
| 3 | 2 | NV | filerInfo | | | 1 | m |
| 4 | 1 | NV | filer | | | 1 | m |
| 5 | 1 | NV | filerCredentials | | | 1 | m |
| 6 | 1 | String | filerCik | 10 | | 1 | m |
| 6 | 2 | String | filerCcc | 8 | | 1 | m |
| 4 | 2 | NV | flags | | | 1 | m |
| 5 | 1 | Boolean | returnCopyFlag | | "TRUE" OR "FALSE" | 1 | o |
| 5 | 2 | Boolean | overrideInternetFlag | | "TRUE" OR "FALSE" | 1 | m |
| 4 | 3 | NV | contact | | | 1 | m |
| 5 | 1 | String | contactName | 30 | | 1 | m |
| 5 | 2 | String | contactPhoneNumber | 20 | | 1 | m |
| 5 | 3 | String | contactEmailAddress | 80 | | 1 | m |
| 4 | 4 | NV | notifications | | | 1 | o |
| 5 | 1 | String | notificationEmailAddress | 80 | | 3 | o |
| 4 | 5 | String | liveTestFlag | | "LIVE" OR "TEST" | 1 | o |
| 2 | 3 | NV | formData | | | 1 | m |
| 3 | 1 | NV | certificationOne | | | 1 | m |
| 4 | 1 | String | applicantName | 150 | | 1 | m |
| 4 | 2 | String | cerApplicantName | 150 | | 1 | m |
| 4 | 3 | Date | cerDate | | | 1 | m |
| 4 | 4 | String | signature | 150 | | 1 | m |
| 4 | 5 | String | name | 150 | | 1 | m |
| 4 | 6 | String | title | 150 | | 1 | m |
| 3 | 2 | NV | certificationTwo | | | 1 | m |
| 4 | 1 | String | applicantName | 150 | | 1 | m |
| 4 | 2 | String | cerApplicantName | 150 | | 1 | m |
| 4 | 3 | Date | cerDate | | | 1 | m |
| 4 | 4 | String | signature | 150 | | 1 | m |
| 4 | 5 | String | name | 150 | | 1 | m |
| 4 | 6 | String | titleIfDesignee | 150 | | 1 | o |

3.8 Mapping of Form SBSE-W Submission schemas to Submission Types

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-W |
|-------|-------|-----------|--------------------------|------------|-------------------------------------|-----------|--------|
| 1 | 1 | NV | edgarSubmission | | | 1 | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o |
| 2 | 2 | NV | headerData | | | 1 | m |
| 3 | 1 | String | submissionType | | SUBMISSION TYPE | 1 | m |
| 3 | 2 | NV | filerInfo | | | 1 | m |
| 4 | 1 | NV | filer | | | 1 | m |
| 5 | 1 | NV | filerCredentials | | | 1 | m |
| 6 | 1 | String | filerCik | 10 | | 1 | m |
| 6 | 2 | String | filerCcc | 8 | | 1 | m |
| 4 | 2 | NV | flags | | | 1 | m |
| 5 | 1 | Boolean | returnCopyFlag | | "TRUE" OR "FALSE" | 1 | o |
| 5 | 2 | Boolean | overrideInternetFlag | | "TRUE" OR "FALSE" | 1 | m |
| 4 | 3 | NV | contact | | | 1 | m |
| 5 | 1 | String | contactName | 30 | | 1 | m |
| 5 | 2 | String | contactPhoneNumber | 20 | | 1 | m |
| 5 | 3 | String | contactEmailAddress | 80 | | 1 | m |
| 4 | 4 | NV | notifications | | | 1 | o |
| 5 | 1 | String | notificationEmailAddress | 80 | | 3 | o |
| 4 | 5 | String | liveTestFlag | | "LIVE" OR "TEST" | 1 | m |
| 2 | 3 | NV | formData | | | 1 | m |
| 3 | 1 | NV | sbseW | | | 1 | m |
| 4 | 1 | String | fullName | 150 | | 1 | m |
| 4 | 2 | String | irsEmplIdentNo | 150 | | 1 | m |
| 4 | 3 | String | nameIfDifferent | 150 | | 1 | o |
| 4 | 4 | String | secFileNumber | | | 5 | m |
| 4 | 5 | String | nfa | 7 | | NA | o |
| 4 | 6 | String | crdNo | 9 | | NA | o |
| 4 | 7 | NV | mainAddress | | | 1 | m |
| 5 | 1 | String | street1 | 40 | | 1 | m |
| 5 | 2 | String | street2 | 40 | | 1 | o |
| 5 | 3 | String | city | 30 | | 1 | m |
| 5 | 4 | String | stateOrCountry | | STATE/COUNTRY CODES | 1 | m |
| 5 | 5 | String | zipCode | 10 | | 1 | m |
| 4 | 8 | NV | mailingAddress | | | 1 | m |
| 5 | 1 | String | street1 | 40 | | 1 | m# |
| 5 | 2 | String | street2 | 40 | | 1 | o |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-W |
|-------|-------|-----------|--------------------------|------------|---|-----------|--------|
| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-W |
| 5 | 3 | String | city | 30 | | 1 | m# |
| 5 | 4 | String | stateOrCountry | | STATE/COUNTRY CODES | 1 | m# |
| 5 | 5 | String | zipCode | 10 | | 1 | m# |
| 4 | 9 | String | telephoneNumber | 20 | | 1 | m |
| 4 | 10 | String | registrationType | | REGISTRATION TYPE | 1 | m |
| 4 | 11 | Date | dateCeasedBusiness | | | 1 | m |
| 4 | 12 | NV | reasonsToWithdraw | | | 1 | m |
| 5 | 1 | String | reasonToWithdraw | | REASON TO WITHDRAW TYPE | 1 | m |
| 4 | 13 | String | description | 256 | | 1 | m# |
| 4 | 14 | String | isHoldCollateral | | YES_NO_TYPE | 1 | m |
| 4 | 15 | Integer | numberOfCounterparties | 5 | | 1 | m# |
| 4 | 16 | Decimal | amountOfMoney | | | 1 | m# |
| 4 | 17 | Decimal | marketValue | | | 1 | m# |
| 4 | 18 | String | describeArrangements | 1000 | | 1 | m# |
| 4 | 19 | String | isInvestigation | | YES_NO_TYPE | 1 | m |
| 4 | 20 | String | isComplaint | | YES_NO_TYPE | 1 | m |
| 4 | 21 | String | isLitigation | | YES_NO_TYPE | 1 | m |
| 4 | 22 | String | firmOrIndividual | | FIRM INDIVIDUAL TYPE | 1 | m |
| 4 | 23 | String | firmName | 150 | | 1 | m |
| 4 | 24 | NV | individualName | | | 1 | m# |
| 5 | 1 | String | prefix | 30 | | 1 | o |
| 5 | 2 | String | firstName | 40 | | 1 | m# |
| 5 | 3 | String | middleName | 30 | | 1 | o |
| 5 | 4 | String | lastName | 30 | | 1 | m# |
| 5 | 5 | String | suffix | 10 | | 1 | o |
| 4 | 25 | NV | personAddress | | | 1 | m |
| 5 | 1 | String | Street1 | 40 | | 1 | m |
| 5 | 2 | String | street2 | 40 | | 1 | o |
| 5 | 3 | String | city | 30 | | 1 | m |
| 5 | 4 | String | stateOrCountry | | STATE/COUNTRY CODES | 1 | m |
| 5 | 5 | String | zipCode | 10 | | 1 | m |
| 4 | 26 | String | personTelephoneNumber | 20 | | 1 | m |
| 4 | 27 | NV | locAddress | | | 1 | m |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-W |
|-------|-------|-----------|--------------------------|------------|-------------------------------------|-----------|--------|
| 5 | 1 | String | street1 | 40 | | 1 | o |
| 5 | 2 | String | street2 | 40 | | 1 | o |
| 5 | 3 | String | city | 30 | | 1 | o |
| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-W |
| 5 | 4 | String | stateOrCountry | | STATE/COUNTRY CODES | 1 | o |
| 5 | 5 | String | zipCode | 10 | | 1 | o |
| 3 | 2 | NV | execution | | | 1 | m |
| 4 | 1 | Date | date | | | 1 | m |
| 4 | 2 | String | nameOfPersonSigning | 150 | | 1 | m |
| 4 | 3 | String | signature | 150 | | 1 | m |
| 4 | 4 | String | titleOfPersonSigning | 150 | | 1 | m |

3.9 Mapping of Form SBSE-CCO-RPT Submission schemas to Submission Types

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-CCO-RPT | SBSE-CCO-RPT/A |
|-------|-------|-----------|--------------------------|------------|---------------------------------|-----------|--------------|----------------|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o |
| 2 | 2 | NV | headerData | | | 1 | m | m |
| 3 | 1 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m |
| 3 | 2 | NV | filerInfo | | | 1 | m | m |
| 4 | 1 | NV | filer | | | 1 | m | m |
| 5 | 1 | NV | filerCredentials | | | 1 | m | m |
| 6 | 1 | String | cik | 10 | | 1 | m | m |
| 6 | 2 | String | ccc | 8 | | 1 | m | m |
| 4 | 2 | NV | flags | | | 1 | m | m |
| 5 | 1 | Boolean | returnCopyFlag | | "TRUE" OR "FALSE" | 1 | o | o |
| 5 | 2 | Boolean | overrideInternetFlag | | "TRUE" OR "FALSE" | 1 | m | m |
| 4 | 3 | NV | contact | | | 1 | m | m |
| 5 | 1 | String | contactName | 30 | | 1 | m | m |
| 5 | 2 | String | contactPhoneNumber | 20 | | 1 | m | m |
| 5 | 3 | String | contactEmailAddress | 80 | | 1 | m | m |
| 4 | 4 | NV | notifications | | | 1 | o | o |
| 5 | 1 | String | notificationEmailAddress | 80 | | 3 | o | o |
| 4 | 5 | String | liveTestFlag | | "LIVE" OR "TEST" | 1 | m | m |
| 4 | 6 | Date | periodOfReport | | | 1 | m | m |
| 2 | 3 | NV | formData | | | 1 | m | m |
| 3 | 1 | NV | execution | | | 1 | m | m |
| 4 | 1 | Date | date | | | 1 | m | m |
| 4 | 2 | String | nameOfPersonSigning | 150 | | 1 | m | m |
| 4 | 3 | String | signature | 150 | | 1 | m | m |
| 4 | 4 | String | titleOfPersonSigning | 150 | | 1 | m | m |
| 2 | 4 | NV | documents | | | 1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Length | Max Length | Choice List | Max Occur | SBSE-CCO-RPT | SBSE-CCO-RPT/A |
|-------|-------|-----------|--------------------------|------------|-------------|-----------|--------------|----------------|
| 3 | 1 | NV | document | | | unbounded | m#1 | m#1 |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m |
| 4 | 2 | String | conformedDocumentType | | | 1 | m | m |
| 4 | 3 | String | description | 255 | | 1 | m | m |
| 4 | 4 | String | contents | | | 1 | m | m |

4 SBSE SCHEMA DATA VALUE CONSTRAINTS

4.1 SUBMISSION_TYPE

These are the valid values for the <SUBMISSION_TYPE> element in the submission file:

| VALUE | CODE DESCRIPTION |
|--------|---|
| SBSE | Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants |
| SBSE/A | Amendment to an Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participant |

4.2 NAME_CHANGE_TYPE

These are the valid values for the <LEGAL_NAME_CHANGE_TYPE> element in the submission file:

| VALUE |
|-----------------------|
| Applicant's name (1A) |
| Business name (1C) |

4.3 SWAP_OPTION_TYPE

These are the valid values for the <SWAP_OPTION_TYPE> element in the submission file:

| VALUE |
|--|
| maintains a substantial security-based swap position |
| has substantial counterparty exposure |
| is highly leveraged to its capital position |

4.4 YES_NO_TYPE

These are the valid values for the <YES_NO_TYPE > element in the submission file:

| VALUE |
|-------|
| Y |
| N |

4.5 PRUDENTIAL_REGULATOR_TYPES

These are the valid values for the < PRUDENTIAL_REGULATOR_TYPES> element in the submission file:

| VALUE |
|---|
| The Federal Reserve Board |
| The Office of the Comptroller of the Currency |
| The Federal Deposit Insurance Corporation |
| The Farm Credit Administration |
| The Federal Housing Finance Agency |

4.6 LEGAL_STATUS_TYPE

These are the valid values for the < LEGAL_STATUS_TYPE> element in the submission file:

| VALUE |
|---------------------------|
| Corporation |
| Partnership |
| Limited Liability Company |
| Other |

4.7 MONTH_TYPE

These are the valid values for the < MONTH_TYPE> element in the submission file:

| VALUES |
|------------|
| January |
| February |
| March |
| April |
| May |
| June |
| July |
| August |
| Sepetember |
| October |
| November |
| December |

4.8 FIRM_INDIVIDUAL_TYPE

These are the valid values for the <FIRM_INDIVIDUAL_TYPE> element in the submission file:

| VALUE |
|------------|
| Firm |
| Individual |

4.9 ENTITY_TYPE

These are the valid values for the <ENTITY_TYPE> element in the submission file:

| VALUE | DESCRIPTION |
|-------|-----------------|
| DE | Domestic Entity |
| FE | Foreign Entity |
| I | Individual |

4.10 OWNERSHIP_CODE_TYPE

These are the valid values for the <OWNERSHIP_CODE_TYPE> element in the submission file:

| VALUE | DESCRIPTION |
|-------|-----------------------|
| NA | less than 5% |
| A | 5% but less than 10%, |
| B | 10% but less than 25% |
| C | 25% but less than 50% |
| D | 50% but less than 75% |
| E | 75% or more |

4.11 PR_TYPE

These are the valid values for the <PR_TYPE> element in the submission file:

| VALUE |
|-------|
| PR |

4.12 OWNERSHIP_CODE_OTHER_TYPE

These are the valid values for the <OWNERSHIP_CODE_OTHER_TYPE> element in the submission file:

| VALUE | DESCRIPTION |
|-------|------------------------|
| C | 25% but less than 50% |
| D | 50% but less than 75% |
| E | 75% or more |
| F | Other General Partners |

4.13 SECTION_ONE_CHECK_TYPE

These are the valid values for the <SECTION_ONE_CHECK_TYPE> element in the submission file:

| VALUE |
|------------|
| Item 1C(2) |

4.14 SECTION_TWO_CHECK_TYPE

These are the valid values for the <SECTION_TWO_CHECK_TYPE> element in the submission file:

| VALUE |
|----------|
| Item 15 |
| Item 16A |
| Item 16B |

4.15 SECTION_THREE_CHECK_TYPE

These are the valid values for the <SECTION_THREE_CHECK_TYPE> element in the submission file:

| VALUE |
|--------|
| Item 9 |

4.16 SECTION_FOUR_CHECK_TYPE

These are the valid values for the <SECTION_FOUR_CHECK_TYPE> element in the submission file:

| VALUE |
|----------|
| Item 11A |
| Item 11B |
| Item 12A |
| Item 12B |

4.17 ENGAGED_IN_SECURITY_TYPE

These are valid values for the <ENGAGED_IN_SECURITY_TYPE> element in the submission file:

| VALUE |
|-------|
| 13A |

4.18 PART_CORP_ORG_TYPE

These are valid values for the <PART_CORP_ORG_TYPE> element in the submission file:

| VALUE |
|-------------------------------------|
| controls applicant |
| is controlled by applicant |
| under common control with applicant |

4.19 CONTROL_WITH_BANK_TYPE

There are valid values for the <CONTROL_WITH_BANK_TYPE> element in the submission file:

| VALUE |
|-------|
| 13B |

4.20 INSTITUTION_TYPE

These are the valid values for the <INSTITUTION_TYPE> element in the submission file:

| VALUE |
|---|
| bank holding company |
| national bank |
| state member bank of the Federal Reserve System |
| state non-member bank |
| savings bank or association |
| credit union |
| foreign bank |
| Other |

4.21 BUSINESS_LOC_CHANGE_OPTION_TYPE

These are valid values for the <BUSINESS_LOC_CHANGE_OPTION_TYPE> element in the submission file:

| VALUE |
|-----------|
| Add |
| Delete |
| Amendment |

5 SBSE DRP SCHEMA DATA VALUE CONSTRAINTS

5.1 INITIAL_AMENDED_TYPE

These are the valid values for the < INITIAL_AMENDED_TYPE> element in the submission file:

| VALUE |
|---------|
| INITIAL |
| AMENDED |

5.2 CRIMINAL_RESPONDING_TO_TYPE

These are the valid values for the <CRIMINAL_RESPONDING_TO_TYPE> element in the submission file:

| VALUE |
|--------|
| 14A(1) |
| 14A(2) |
| 14B(1) |
| 14B(2) |

5.3 DRP_FILE_FOR_TYPE

These are the valid values for the < DRP_FILE_FOR_TYPE> element in the submission file:

| VALUE |
|--|
| Applicant |
| Applicant and one or more control affiliate(s) |
| One or more control affiliate(s) |

5.4 EXACT_OR_EXPLANATION_OPTIONS

These are the valid values for the <EXACT_OR_EXPLANATION_OPTIONS>element in the submission file:

| VALUE |
|-------------|
| Exact |
| Explanation |

5.5 APPLICANT_DRP_REMOVAL_REASON_TYPE

These are the valid values for the <APPLICANT_DRP_REMOVAL_REASON_TYPE> element in the submission file:

| VALUE |
|--|
| The applicant is registered or has submitted an application for registration that is currently pending and the event or proceeding previously reported was resolved in the applicant's favor |
| The event or proceeding occurred more than ten years ago |
| The DRP was filed in error |

5.6 CRIMINAL_EVENT_COURT_TYPE

These are valid values for the <CRIMINAL_EVENT_COURT_TYPE> element in the submission file:

| VALUE |
|----------------|
| Federal Court |
| Military Court |
| State Court |
| Foreign Court |
| Other |

5.7 EVENT_STATUS_TYPE

These are the valid values for the <EVENT_STATUS_TYPE> element in the submission file:

| VALUE |
|-----------|
| Pending |
| On Appeal |
| Final |

5.8 CRIMINAL_DISPOSITION_OPTION_TYPE

These are valid values for the <CRIMINAL_DISPOSITION_OPTION_TYPE> element in the submission file:

| VALUE |
|-----------|
| Convicted |
| Acquitted |
| Dismissed |
| Pretrial |

| VALUE |
|-------|
| Other |

5.9 SENTENCE_DURATION_TYPE

These are the valid values for the <SENTENCE_DURATION_TYPE> element in the submission file:

| VALUE |
|--------|
| Days |
| Months |
| Years |

5.10 CONTROL_AFFILIATE_TYPE

These are the valid values for the <CONTROL_AFFILIATE_TYPE> element in the submission file:

| VALUE |
|------------|
| Firm |
| Individual |

5.11 CONTROL_AFFILIATE_DRP_REMOVAL_REASON_TYPE

These are the valid values for the <CONTROL_AFFILIATE_DRP_REMOVAL_REASON_TYPE> element in the submission file:

| VALUE |
|--|
| The control affiliate(s) are no longer associated with the SBS Entity. |
| The event or proceeding previously reported was resolved in the control affiliate's favor. |
| The event or proceeding occurred more than ten years ago |
| The DRP was filed in error. |

5.12 REGULATORY_RESPONDING_TO_TYPE

These are the valid values for the <REGULATORY_RESPONDING_TO_TYPE>element in the submission file:

| VALUE |
|--------|
| 14C(1) |
| 14C(2) |
| 14C(3) |
| 14C(4) |
| 14C(5) |
| 14D(1) |
| 14D(2) |
| 14D(3) |
| 14D(4) |
| 14D(5) |
| 14E(1) |
| 14E(2) |
| 14E(3) |
| 14E(4) |
| 14F |
| 14G |

5.13 PRINCIPAL_SANCTION_TYPE

These are the valid values for the <PRINCIPAL_SANCTION_TYPE> element in the submission file:

| VALUE |
|--|
| Civil and Administrative Penalty(ies)/Fine(s) |
| Bar |
| Cease and Desist |
| Censure |
| Denial |

| VALUE |
|--------------|
| Disgorgement |
| Expulsion |
| Injunction |
| Prohibition |
| Reprimand |
| Restitution |
| Revocation |
| Suspension |
| Undertaking |
| Other |

5.14 **DRP_FILE_FOR_TYPE**

These are the valid values for the < DRP_FILE_FOR_TYPE> element in the submission file:

| VALUE |
|--|
| Applicant |
| Applicant and one or more control affiliate(s) |
| One or more control affiliate(s) |

5.15 **REGULATOR_INITIATED_OPTION_TYPE**

These are the valid values for the < REGULATOR_INITIATED_OPTION_TYPE> element in the submission file:

| VALUE |
|---------------|
| SEC |
| Other Federal |
| State |
| SRO |
| Foreign |

5.16 PRINCIPAL_PRODUCT_TYPE

These are the valid values for the <PRINCIPAL_PRODUCT_TYPE> element in the submission file:

| VALUE |
|---|
| Annuity(ies) - Fixed |
| Annuity(ies) - Variable |
| Banking Products (other than CD(s)) |
| CD(s) |
| Commodity Option(s) |
| Debt - Asset Backed |
| Debt - Corporate |
| Debt - Government |
| Debt - Municipal |
| Derivative(s) |
| Direct Investment(s) - DPP & LP Interest(s) |
| Equity - OTC |
| Equity Listed (Common & Preferred Stock) |
| Futures - Commodity |
| Futures - Financial |
| Index Option(s) |
| Insurance |
| Investment Contract(s) |
| Money Market Fund(s) |
| Mutual Fund(s) |
| No Product |
| Options |
| Penny Stock(s) |
| Unit Investment Trust(s) |
| Other |

5.17 REGULATOR_INITIATED_OPTION_TYPE_2

These are the valid values for the <REGULATOR_INITIATED_OPTION_TYPE_2> element in the submission file:

| VALUE |
|---------------|
| SEC |
| SRO |
| Federal Court |
| State Court |
| Other |

5.18 CIVIL_JUDICIAL_RESPONDING_TO_TYPE

These are the valid values for the <CIVIL_JUDICIAL_RESPONDING_TO_TYPE> element in the submission file:

| VALUE |
|--------|
| 14H(1) |
| 14H(1) |
| 14H(1) |
| 14H(2) |

5.19 REGULATORY_MATTER_RESOLVED_TYPE

These are the valid values for the <REGULATORY_MATTER_RESOLVED_TYPE>element in the submission file:

| VALUE |
|---|
| Acceptance, Waiver & Consent (AWC)" |
| Decision & Order of Offer of Settlement |
| Decision |
| Consent |
| Dismissed |
| Order |
| Settled |
| Stipulation & Consent |
| Vacated |

5.20 REGULATORY_AUTHORITY_TYPE

These are the valid values for the <REGULATORY_AUTHORITY_TYPE> element in the submission file:

| VALUE |
|--|
| Foreign Financial Regulatory Authority |
| SRO |
| Commodities |
| Exchange Agency |
| Firm |
| Private Plaintiff |

5.21 RELIEF_SOUGHT_TYPE

These are the valid values for the <RELIEF_SOUGHT_TYPE> element in the submission file:

| VALUE |
|---|
| Cease and Desist |
| Civil Penalty(ies)/Fine(s) |
| Disgorgement |
| Injunction |
| Money Damages (Private/Civil Complaint) |
| Restitution |
| Restraining Order |
| Other |

5.22 OTHER_RELIEF_SOUGHT_TYPES

These are the valid values for the <OTHER_RELIEF_SOUGHT_TYPES> element in the submission file:

| VALUE |
|---|
| Cease and Desist |
| Civil Penalty(ies)/Fine(s) |
| Disgorgement |
| Injunction |
| Money Damages (Private/Civil Complaint) |
| Restitution |
| Restraining Order |
| Other |

5.23 PRINCIPAL_PRODUCT_TYPE

These are the valid values for the <PRINCIPAL_PRODUCT_TYPE> element in the submission file:

| VALUE |
|---|
| Annuity(ies) - Fixed |
| Annuity(ies) - Variable |
| Banking Products (other than CD(s)) |
| CD(s) |
| Commodity Option(s) |
| Debt - Asset Backed |
| Debt - Corporate |
| Debt - Government |
| Debt - Municipal |
| Derivative(s) |
| Direct Investment(s) - DPP & LP Interest(s) |
| Equity - OTC |
| Equity Listed (Common & |

| VALUE |
|--------------------------|
| Preferred Stock) |
| Futures - Commodity |
| Futures - Financial |
| Index Option(s) |
| Insurance |
| Investment Contract(s) |
| Money Market Fund(s) |
| Mutual Fund(s) |
| No Product |
| Options |
| Penny Sock(s) |
| Unit Investment Trust(s) |
| Other |

5.24 OTHER_PRODUCT_TYPE

These are the valid values for the <OTHER_PRODUCT_TYPE> element in the submission file:

| VALUE |
|--|
| Annuity(ies) - Fixed |
| Annuity(ies) - Variable |
| Banking Products (other than CD(s)) |
| CD(s) |
| Commodity Option(s) |
| Debt - Asset Backed |
| Debt - Corporate |
| Debt - Government |
| Debt - Municipal |
| Derivative(s) |
| Direct Investment(s) - DPP & LP Interest(s) |

| VALUE |
|--|
| Equity - OTC |
| Equity Listed (Common & Preferred Stock) |
| Futures - Commodity |
| Futures - Financial |
| Index Option(s) |
| Insurance |
| Investment Contract(s) |
| Money Market Fund(s) |
| Mutual Fund(s) |
| No Product |
| Options |
| Penny Stock(s) |
| Unit Investment Trust(s) |
| Other |

5.25 CIVIL_ACTION_COURT_TYPE

These are the valid values for the <CIVIL_ACTION_COURT_TYPE> element in the submission file:

| VALUE |
|---------------|
| Federal Court |
| State Court |
| Foreign Court |

5.26 MATTER_RESOLVE_TYPE

These are the valid values for the <MATTER_RESOLVE_TYPE> element in the submission file:

| VALUE |
|--------------------|
| Consent |
| Dismissed |
| Judgement Rendered |
| Opinion |

| VALUE |
|-----------|
| Settled |
| Withdrawn |
| Other |

5.27 SANCTIONS_RELIEF_TYPE

These are the valid values for the <SANCTIONS_RELIEF_TYPE> element in the submission file:

| VALUE |
|-----------------------------|
| Monetary/Fine |
| Revocation/Expulsion/Denial |
| Censure |
| Cease and Desist/Injunction |
| Disgorgement/Restitution |
| Bar |
| Suspension |

5.28 BANKRUPTCY_ACTION_TYPE

These are the valid values for the <BANKRUPTCY_ACTION_TYPE> element in the submission file:

| VALUE |
|--------------|
| Bankruptcy |
| Declaration |
| Receivership |
| Compromise |
| Liquidated |
| Other |

5.29 COURT_TYPE

These are the valid values for the <COURT_TYPE> element in the submission file:

| VALUE |
|---------|
| Federal |
| State |
| Foreign |

5.30 BANKRUPTCY_SIPC_RESPONDING_TO_TYPE

These are the valid values for the < BANKRUPTCY_SIPC_RESPONDING_TO_TYPE> element in the submission file:

| VALUE |
|------------------------------|
| Direct Payment Procedure |
| Dismissed Satisfied/Released |
| Discharged |
| Dissolved |
| SIPA Trustee Appointed |
| Other |

5.31 JUDGEMENT_RESPONDING_TO_TYPE

These are the valid values for the < JUDGEMENT_RESPONDING_TO_TYPE> element in the submission file:

| VALUE |
|-------|
| 5-L |

5.32 BOND_DISPOSITION_OPTION_TYPE

These are the valid values for the < BOND_DISPOSITION_OPTION_TYPE> element in the submission file:

| VALUE |
|---------|
| Denied |
| Payout |
| Revoked |

5.33 BANKRUPTCY_DISPOSITION_TYPE

These are the valid values for the < BANKRUPTCY_DISPOSITION_TYPE > element in the submission file:

| VALUE |
|--------------------------|
| Direct Payment Procedure |
| Discharged |
| Dismissed |
| Dissolved |
| Satisfied/Released |
| SIPA Trustee Appointed |
| Other |

6 SBSE-A SCHEMA DATA VALUE CONSTRAINTS

6.1 SUBMISSION_TYPE

These are the valid values for the <SUBMISSION_TYPE> element in the submission file:

| VALUE | CODE DESCRIPTION |
|----------|--|
| SBSE-A | Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered or Registering with the Commodity Futures Trading Commission as a Swap Dealer or Major Swap Participant |
| SBSE-A/A | Amendment to an Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered or Registering with the Commodity Futures Trading Commission as a Swap Dealer or Major Swap Participant |

6.2 APPLICANT_REGISTRATION_TYPE

These are the valid values for the <APPLICANT_REGISTRATION_TYPE> element in the submission file:

| VALUE |
|------------------------|
| Swap Dealer |
| Major Swap Participant |

6.3 PRUDENTIAL_REGULATOR_TYPE

These are the valid values for the <PRUDENTIAL_REGULATOR_TYPE> element in the submission file:

| VALUE |
|---|
| The Federal Reserve Board |
| The Office of the Comptroller of the Currency |
| The Federal Deposit Insurance Corporation |
| The Farm Credit Administration |
| The Federal Housing Finance Agency |

6.4 APPLICANT_OTHER_TYPE

These are the valid values for the <APPLICANT_OTHER_TYPE> element in the submission file:

| VALUE |
|-----------------------------|
| Futures Commission Merchant |
| Introducing Broker |
| Commodity Pool Operator |
| Other |

6.5 NAME_CHANGE_TYPE

These are the valid values for the < LEGAL_NAME_CHANGE_TYPE> element in the submission file:

| VALUE |
|-----------------------|
| Applicant's name (1A) |
| Business name (1C) |

6.6 SWAP_OPTION_TYPE

These are the valid values for the < SWAP_OPTION_TYPE> element in the submission file:

| VALUE |
|--|
| maintains a substantial security-based swap position |
| has substantial counterparty exposure |
| is highly leveraged to its capital position |

6.7 YES_NO_TYPE

These are the valid values for the < YES_NO_TYPE > element in the submission file:

| VALUE |
|-------|
| Y |
| N |

6.8 PRUDENTIAL_REGULATOR_TYPES

These are the valid values for the < PRUDENTIAL_REGULATOR_TYPES> element in the submission file:

| VALUE |
|---|
| The Federal Reserve Board |
| The Office of the Comptroller of the Currency |
| The Federal Deposit Insurance Corporation |
| The Farm Credit Administration |
| The Federal Housing Finance Agency |

6.9 SECTION_TWO_CHECK_TYPE

These are the valid values for the <SECTION_TWO_CHECK_TYPE> element in the submission file:

| VALUES |
|----------|
| Item 13A |
| Item 13B |
| Item 14 |
| Item 15 |

6.10 LEGAL_STATUS_TYPE

These are the valid values for the <LEGAL_STATUS_TYPE> element in the submission file:

| VALUES |
|---------------------------|
| Corporation |
| Partnership |
| Limited Liability Company |
| Other |

6.11 EFFECT_TYPE

These are the valid values for the <EFFECT_TYPE> element in the submission file:

| VALUES |
|--------------------------|
| effects |
| is involved in effecting |

6.12 FIRM_INDIVIDUAL_TYPE

These are the valid values for the <FIRM_INDIVIDUAL_TYPE> element in the submission file:

| VALUE |
|------------|
| Firm |
| Individual |

6.13 ENTITY_TYPE

These are the valid values for the <ENTITY_TYPE> element in the submission file:

| VALUE | DESCRIPTION |
|-------|-----------------|
| DE | Domestic Entity |
| FE | Foreign Entity |
| I | Individual |

6.14 OWNERSHIP_CODE_TYPE

These are the valid values for the < OWNERSHIP_CODE_TYPE> element in the submission file:

| VALUE | DESCRIPTION |
|-------|-----------------------|
| NA | less than 5% |
| A | 5% but less than 10%, |
| B | 10% but less than 25% |
| C | 25% but less than 50% |
| D | 50% but less than 75% |
| E | 75% or more |

6.15 PR_TYPE

These are the valid values for the <PR_TYPE> elements in the submission file:

| VALUE |
|-------|
| PR |

6.16 OWNERSHIP_CODE_OTHER_TYPE

These are the valid values for the <OWNERSHIP_CODE_OTHER_TYPE> element in the submission file:

| VALUE | DESCRIPTION |
|-------|------------------------|
| C | 25% but less than 50% |
| D | 50% but less than 75% |
| E | 75% or more |
| F | Other General Partners |

6.17 SECTION_ONE_CHECK_TYPE

These are the valid values for the <SECTION_ONE_CHECK_TYPE> element in the submission file:

| VALUE |
|------------|
| Item 1C(2) |

6.18 SECTION_TWO_CHECK_TYPE

These are the valid values for the <SECTION_TWO_CHECK_TYPE> element in the submission file:

| VALUE |
|----------|
| Item 15 |
| Item 16A |
| Item 16B |

6.19 SECTION_THREE_CHECK_TYPE

These are the valid values for the <SECTION_THREE_CHECK_TYPE> element in the submission:

| VALUE |
|--------|
| Item 9 |

6.20 SECTION_FOUR_CHECK_TYPE

These are the valid values for the <SECTION_FOUR_CHECK_TYPE> element in the submission file:

| VALUE |
|----------|
| Item 11A |
| Item 11B |
| Item 12A |
| Item 12B |

6.21 ENGAGED_IN_SECURITY_TYPE

These are the valid values for the <ENGAGED_IN_SECURITY_TYPE> element in the submission file:

| VALUE |
|-------|
| 13A |

6.22 CONTROL_WITH_BANK_TYPE

There are valid values for the <CONTROL_WITH_BANK_TYPE> element in the submission file:

| VALUE |
|-------|
| 13B |

6.23 INSTITUTION_TYPE

These are the valid values for the <INSTITUTION_TYPE> element in the submission file:

| VALUE |
|----------------------|
| bank holding company |
| national bank |

| VALUE |
|---|
| state member bank of the Federal Reserve System |
| state non-member bank |
| savings bank or association |
| credit union |
| foreign bank |
| Other |

6.24 BUSINESS_LOC_CHANGE_OPTION_TYPE

These are the valid values for the <BUSINESS_LOC_CHANGE_OPTION_TYPE> element in the submission file:

| VALUE |
|-----------|
| Add |
| Delete |
| Amendment |

7 SBSE-A DRP SCHEMA DATA VALUE CONSTRAINTS

7.1 INITIAL_AMENDED_TYPE

These are the valid values for the <INITIAL_AMENDED_TYPE> element in the submission file:

| VALUE |
|---------|
| INITIAL |
| AMENDED |

7.2 CRIMINAL_RESPONDING_TO_TYPE

These are valid values for the <CRIMINAL_RESPONDING_TO_TYPE> element in the submission file:

| VALUE |
|--------|
| 14A(1) |
| 14A(2) |
| 14B(1) |
| 14B(2) |

7.3 PRINCIPAL_DRP_REMOVAL_REASON_TYPE

These are the valid values for the <PRINCIPAL_DRP_REMOVAL_REASON_TYPE> element in the submission file:

| VALUE |
|--|
| The principal is no longer associated with the SBS Entity |
| The event or proceeding previously reported was resolved in the principal's favor. |
| The event or proceeding occurred more than ten years ago. |
| The DRP was filed in error. |

7.4 DRP_FILE_FOR_TYPE

These are the valid values for the < DRP_FILE_FOR_TYPE> element in the submission file:

| VALUE |
|--|
| Applicant |
| Applicant and one or more control affiliate(s) |
| One or more control affiliate(s) |

7.5 APPLICANT_DRP_REMOVAL_REASON_TYPE

These are the valid values for the <APPLICANT_DRP_REMOVAL_REASON_TYPE> element in the submission file:

| VALUE |
|--|
| The applicant is registered or has submitted an application for registration that is currently pending and the event or proceeding previously reported was resolved in the applicant's favor |
| The event or proceeding occurred more than ten years ago |
| The DRP was filed in error |

7.6 CRIMINAL_EVENT_COURT_TYPE

These are valid values for the <CRIMINAL_EVENT_COURT_TYPE> element in the submission file:

| VALUE |
|----------------|
| Federal Court |
| Military Court |
| State Court |
| Foreign Court |
| Other |

7.7 FELONY_MISDEMEANOR_TYPE

These are the valid values for the <FELONY_MISDEMEANOR_TYPE> element in the submission file:

| VALUE |
|-------------|
| Felony |
| Misdemeanor |

7.8 CRIMINAL_DISPOSITION_OPTION_TYPE

These are valid values for the <CRIMINAL_DISPOSITION_OPTION_TYPE> element in the submission file:

| VALUE |
|-----------|
| Convicted |
| Acquitted |
| Dismissed |
| Pretrial |
| Other |

7.9 SENTENCE_DURATION_TYPE

These are the valid values for the <SENTENCE_DURATION_TYPE> element in the submission file:

| VALUE |
|--------|
| Days |
| Months |
| Years |

7.10 CONTROL_AFFILIATE_TYPE

These are the valid values for the <CONTROL_AFFILIATE_TYPE> element in the submission file:

| VALUE |
|------------|
| Firm |
| Individual |

7.11 REGULATORY_RESPONDING_TO_TYPE

These are the valid values for the <REGULATORY_RESPONDING_TO_TYPE> element in the submission file:

| VALUE |
|--------|
| 14C(1) |
| 14C(2) |
| 14C(3) |
| 14C(4) |

| VALUE |
|--------|
| 14C(5) |
| 14D(1) |
| 14D(2) |
| 14D(3) |
| 14D(4) |
| 14D(5) |
| 14E(1) |
| 14E(2) |
| 14E(3) |
| 14E(4) |
| 14F |
| 14G |

7.12 PRINCIPAL_SANCTION_TYPE

These are the valid values for the <PRINCIPAL_SANCTION_TYPE> element in the submission file:

| VALUE |
|--|
| Civil and Administrative Penalty(ies)/Fine(s) |
| Bar |
| Cease and Desist |
| Censure |
| Denial |
| Disgorgement |
| Expulsion |
| Injunction |
| Prohibition |
| Reprimand |
| Restitution |
| Revocation |
| Suspension |
| Undertaking |

| VALUE |
|-------|
| Other |

7.13 **DRP_FILE_FOR_TYPE**

These are the valid values for the <DRP_FILE_FOR_TYPE> element in the submission file:

| VALUE |
|--|
| Applicant |
| Applicant and one or more control affiliate(s) |
| One or more control affiliate(s) |

7.14 **REGULATOR_INITIATED_OPTION_TYPE**

These are the valid values for the <REGULATOR_INITIATED_OPTION_TYPE> element in the submission file:

| VALUE |
|---------------|
| SEC |
| Other Federal |
| State |
| SRO |
| Foreign |

7.15 **PRINCIPAL_PRODUCT_TYPE**

These are valid values for the <PRINCIPAL_PRODUCT_TYPE> element in the submission file:

| VALUE |
|-------------------------------------|
| Annuity(ies) - |
| Annuity(ies) - Variable |
| Banking Products (other than CD(s)) |
| CD(s) |
| Commodity Option(s) |

| VALUE |
|--|
| Debt - Asset Backed |
| Debt - Corporate |
| Debt - Government |
| Debt - Municipal |
| Derivative(s) |
| Direct Investment(s) - DPP & LP Interest(s) |
| Equity - OTC |
| Equity Listed (Common & Preferred Stock) |
| Futures - Commodity |
| Futures - Financial |
| Index Option(s) |
| Insurance |
| Investment Contract(s) |
| Money Market Fund(s) |
| Mutual Fund(s) |
| No Product |
| Options |
| Penny Sock(s) |
| Unit Investment Trust(s) |
| Other |

7.16 REGULATOR_INITIATED_OPTION_TYPE_2

These are valid values for the <REGULATOR_INITIATED_OPTION_TYPE_2> element in the submission file:

| VALUE |
|---------------|
| SEC |
| SRO |
| Federal Court |
| State Court |

| VALUE |
|-------|
| Other |

7.17 CIVIL_JUDICIAL_RESPONDING_TO_TYPE

These are the valid values for the <CIVIL_JUDICIAL_RESPONDING_TO_TYPE> element in the submission file:

| VALUE |
|--------|
| 14H(1) |
| 14H(1) |
| 14H(1) |
| 14H(2) |

7.18 REGULATORY_MATTER_RESOLVED_TYPE

These are the valid values for the <REGULATORY_MATTER_RESOLVED_TYPE> element in the submission file:

| VALUE |
|---|
| Acceptance, Waiver & Consent (AWC)" |
| Decision & Order of Offer of Settlement |
| Decision |
| Consent |
| Dismissed |
| Order |
| Settled |
| Stipulation & Consent |
| Vacated |

7.19 REGULATORY_AUTHORITY_TYPE

These are the valid values for the <REGULATORY_AUTHORITY_TYPE> element in the submission file:

| VALUE |
|--|
| Foreign Financial Regulatory Authority |
| SRO |
| Commodities |
| Exchange Agency |
| Firm |
| Private Plaintiff |
| Other |

7.20 RELIEF_SOUGHT_TYPE

These are the valid values for the <RELIEF_SOUGHT_TYPE> element in the submission file:

| VALUE |
|---|
| Cease and Desist |
| Civil Penalty(ies)/Fine(s) |
| Disgorgement |
| Injunction |
| Money Damages (Private/Civil Complaint) |
| Restitution |
| Restraining Order |
| Other |

7.21 OTHER_RELIEF_SOUGHT_TYPES

These are the valid values for the <OTHER_RELIEF_SOUGHT_TYPES> element in the submission file:

| VALUE |
|------------------------------|
| Cease and Desist |
| Civil Penalty(ies)/Fine(s) |
| Disgorgement |
| Injunction |
| Money Damages (Private/Civil |

| VALUE |
|-------------------|
| Complaint) |
| Restitution |
| Restraining Order |
| Other |

7.22 PRINCIPAL_PRODUCT_TYPE

These are the valid values for the <PRINCIPAL_PRODUCT_TYPE> element in the submission file:

| VALUE |
|---|
| Annuity(ies) - |
| Annuity(ies) - Variable |
| Banking Products (other than CD(s)) |
| CD(s) |
| Commodity Option(s) |
| Debt - Asset Backed |
| Debt - Corporate |
| Debt - Government |
| Debt - Municipal |
| Derivative(s) |
| Direct Investment(s) - DPP & LP Interest(s) |
| Equity - OTC |
| Equity Listed (Common & Preferred Stock) |
| Futures - Commodity |
| Futures - Financial |
| Index Option(s) |
| Insurance |
| Investment Contract(s) |
| Money Market Fund(s) |
| Mutual Fund(s) |

| VALUE |
|--------------------------|
| No Product |
| Options |
| Penny Sock(s) |
| Unit Investment Trust(s) |
| Other |

7.23 CIVIL_ACTION_COURT_TYPE

These are the valid values for the <CIVIL_ACTION_COURT_TYPE> element in the submission file:

| VALUE |
|---------------|
| Federal Court |
| State Court |
| Foreign Court |

7.24 MATTER_RESOLVE_TYPE

These are the valid values for the <MATTER_RESOLVE_TYPE> element in the submission file:

| VALUE |
|--------------------|
| Consent |
| Dismissed |
| Judgement Rendered |
| Opinion |
| Settled |
| Withdrawn |
| Other |

7.25 SANCTIONS_RELIEF_TYPE

These are the valid values for the <SANCTIONS_RELIEF_TYPE> element in the submission file:

| VALUE |
|---------------|
| Monetary/Fine |

| VALUE |
|-----------------------------|
| Revocation/Expulsion/Denial |
| Censure |
| Cease and Desist/Injunction |
| Disgorgement/Restitution |
| Bar |
| Suspension |

7.26 BANKRUPTCY_ACTION_TYPE

These are the valid values for the < BANKRUPTCY_ACTION_TYPE> element in the submission file:

| VALUE |
|--------------|
| Bankruptcy |
| Declaration |
| Receivership |
| Compromise |
| Liquidated |
| Other |

7.27 COURT_TYPE

These are the valid values for the < COURT_TYPE> element in the submission file:

| VALUE |
|---------|
| Federal |
| State |
| Foreign |

7.28 BANKRUPTCY_SIPC_RESPONDING_TO_TYPE

These are the valid values for the < BANKRUPTCY_SIPC_RESPONDING_TO_TYPE> element in the submission file:

| VALUE |
|--------------------------|
| Direct Payment Procedure |

| VALUE |
|------------------------------|
| Dismissed Satisfied/Released |
| Discharged |
| Dissolved |
| SIPA Trustee Appointed |
| Other |

7.29 EXACT_OR_EXPLANATION_OPTIONS

These are the valid values for the <EXACT_OR_EXPLANATION_OPTIONS> element in the submission file:

| VALUE |
|-------------|
| Exact |
| Explanation |

7.30 JUDGEMENT_RESPONDING_TO_TYPE

These are the valid values for the < JUDGEMENT_RESPONDING_TO_TYPE> element in the submission file:

| VALUE |
|-------|
| 5-L |

7.31 BOND_DISPOSITION_OPTION_TYPE

These are the valid values for the < BOND_DISPOSITION_OPTION_TYPE> element in the submission file:

| VALUE |
|---------|
| Denied |
| Payout |
| Revoked |

7.32 SANCTIONS_ORDERED_LIST_TYPE

These are the valid values for the <SANCTIONS_ORDERED_LIST_TYPE> element in the submission file:

| VALUE |
|---------------|
| Monetary/Fine |

| VALUE |
|------------------------------|
| Revocation/Expulsion/Denial |
| Censure |
| Cease and Desist/ Injunction |
| Disgorgement/Restitution |
| Bar |
| Suspension |

7.33 BANKRUPTCY_DISPOSITION_TYPE

These are the valid values for the < BANKRUPTCY_DISPOSITION_TYPE> element in the submission file:

| VALUE |
|--------------------------|
| Direct Payment Procedure |
| Discharged |
| Dismissed |
| Dissolved |
| Satisfied/Released |
| SIPA Trustee Appointed |
| Other |

8 SBSE-BD SCHEMA DATA VALUE CONSTRAINTS

8.1 SUBMISSION_TYPE

These are the valid values for the <SUBMISSION_TYPE> element in the submission file:

| VALUE | CODE DESCRIPTION |
|-----------|---|
| SBSE-BD | Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered Broker-dealers |
| SBSE-BD/A | Amendment to an Application for Registration of Security-based Swap Dealers and Major Security-based Swap Participants that are Registered Broker-dealers |

8.2 APPLICANT_REGISTRATION_TYPE

These are the valid values for the <APPLICANT_REGISTRATION_TYPE> element in the submission file:

| VALUE |
|------------------------|
| Swap Dealer |
| Major Swap Participant |

8.3 PRUDENTIAL_REGULATOR_TYPE

These are the valid values for the <PRUDENTIAL_REGULATOR_TYPE> element in the submission file:

| VALUE |
|---|
| The Federal Reserve Board |
| The Office of the Comptroller of the Currency |
| The Federal Deposit Insurance Corporation |
| The Farm Credit Administration |
| The Federal Housing Finance Agency |

8.4 SWAP_OPTION_TYPE

These are the valid values for the <SWAP_OPTION_TYPE> element in the submission file:

| VALUE |
|--|
| maintains a substantial security-based swap position |
| has substantial counterparty exposure |
| is highly leveraged to its capital position |

8.5 YES_NO_TYPE

These are the valid values for the <YES_NO_TYPE> element in the submission file:

| VALUE |
|-------|
| Y |
| N |

8.6 PRUDENTIAL_REGULATOR_TYPES

These are the valid values for the <PRUDENTIAL_REGULATOR_TYPES> element in the submission file:

| VALUE |
|---|
| The Federal Reserve Board |
| The Office of the Comptroller of the Currency |
| The Federal Deposit Insurance Corporation |
| The Farm Credit Administration |
| The Federal Housing Finance Agency |

8.7 FIRM_INDIVIDUAL_TYPE

These are the valid values for the <FIRM_INDIVIDUAL_TYPE> element in the submission file:

| VALUE |
|------------|
| Firm |
| Individual |

9 SBSE-C SCHEMA DATA VALUE CONSTRAINTS

9.1 SUBMISSION_TYPE

These are the valid values for the <SUBMISSION_TYPE> element in the submission file:

| VALUE | CODE DESCRIPTION |
|--------|---|
| SBSE-C | Certifications for Registration of Security-based Swap Dealers and Major Security-based Swap Participants |

10 SBSE-W SCHEMA DATA VALUE CONSTRAINTS

10.1 SUBMISSION_TYPE

These are the valid values for the <SUBMISSION_TYPE> element in the submission file:

| VALUE | CODE DESCRIPTION |
|--------|---|
| SBSE-W | Request for Withdrawal from Registration as a Security-based Swap Dealer or Major Security-based Swap Participant |

10.2 REGISTRATION_TYPE

These are the valid values for the <REGISTRATION_TYPE> element in the submission file:

| VALUE |
|---------------------------------------|
| Security-based Swap Dealer |
| Major Security-based Swap Participant |

10.3 REASON_TO_WITHDRAW_TYPE

These are the valid values for the <REASON_TO_WITHDRAW_TYPE> element in the submission file:

| VALUE |
|--|
| Winding down all business |
| Major Security-based Swap Participant |
| No longer doing security-based swap business in U.S. |
| Have effected less security-based swap business for previous four quarters and no longer fit definition of major security-based swap participant |
| Ceasing business as a security-based swap dealer |
| Ceasing business as a major security-based swap participant |

10.4 YES_NO_TYPE

These are the valid values for the <YES_NO_TYPE> element in the submission file:

| VALUE |
|-------|
| Y |
| N |

10.5 FIRM_INDIVIDUAL_TYPE

These are the valid values for the < FIRM_INDIVIDUAL_TYPE> element in the submission file:

| VALUE |
|------------|
| Firm |
| Individual |

11 SBSE-CCO-RPT SCHEMA VALUE CONSTRAINTS

11.1 SUBMISSION_TYPE

These are the valid values for the <SUBMISSION_TYPE> element in the submission file:

| VALUE | CODE DESCRIPTION |
|----------------|---|
| SBSE-CCO-RPT | Chief Compliance Officer's Annual Compliance Report of Security-Based Swap Dealer or Major Security-Based Swap Participant pursuant to Rule 15Fk-1 |
| SBSE-CCO-RPT/A | Amendment to Chief Compliance Officer's Annual Compliance Report of Security-Based Swap Dealer or Major Security-Based Swap Participant pursuant to Rule 15Fk-1 |

12 BASIC SUBMISSION CONSTRUCTION

12.1 General Formatting of XML Files

The following rules apply to the submission file of an XML-format SBS Entity Form submission:

1. The filename must end with an “.xml” extension.
2. The file cannot be compressed in any fashion.
3. We strongly recommend you format the submission as shown in the provided sample files. This makes the raw XML files easier to view in a text editor. The submission of ASCII XML files with no line breaks, while legal XML is strongly discouraged. XML filings are required to be posted on public websites. While usually formatted via style sheets, the raw XML is frequently available for inspection and should be readable by a person. A single line XML file is not viewer-friendly and should be avoided.
4. The `<?xml version="1.0"?>` declaration line is optional; however, if it is included it must be the first line in the file. Any text entered before this line, even white space, will cause a SUSPENSE error. The version value must be “1.0”. Any other value for version will cause a SUSPENSE error.
5. For an XML element with a data value, keep the begin tag, data value, and end tag on the same line of text. Otherwise, you could get a schema violation error. As an example, for a filer ID value which cannot be longer than 10 characters, this specification is correct:

```
<cik>1212121212</cik>
```

6. The specification below will result in a parsing error because the extraneous white space and line feeds will be counted as part of the length of the data value. In other words, the CIK value will be regarded as longer than 10 characters.

```
<cik>
1212121212
</cik>
```

12.2 XML Submission File Rules

The following rules apply to the supporting document XML-format:

1. The `<?xml version="1.0"?>` declaration line is optional; however, if it is included it must be the first line in the file. Any text entered before this line, even white space, will cause an error. The version value must be “1.0”. Any other value for version will cause an error.
2. The XML elements cannot have any namespaces.
For e.g.: It has to be `<contactName>` and not `<ns1:contactName>`
3. The order of any `<notificationEmailAddress>` elements does not matter.

4. The submission file must conform to the XML schema files. Any violation of this schema will result in the suspension of the filing.

12.2.1 Enclosing a Document

1. Allowable file extensions are .pdf, .txt, .htm, .jpg, .xml and .gif.
2. The names of attached document files must follow the EDGAR file naming conventions:
 - File names cannot exceed 32 characters, including the file extension.
 - Valid characters are lowercase letters, digits 0-9, up to one underscore, up to one hyphen, and up to one period.
 - First character must be a letter.
 - Spaces are not allowed.
 - File name must have a file type extension of .xml.
3. The <description> is optional, but all other elements must be present and must have a value.
4. The <contents> element must contain a MIME encoded document. You can use any standard 64-character set based MIME encoding algorithm to create a MIME document.
5. The XML for an enclosed supporting document looks like this:

```
<documents>
  <document>
    < conformedName>test1.txt</ conformedName>
    < conformedDocumentType>????</ conformedDocumentType>
    < description> Description field text here... </ description>
    < contents> dGVzdGA= </ contents>
  </document>
  document>
    < conformedName>test2.txt</ conformedName>
    < conformedDocumentType>????</ conformedDocumentType>
    < description> Description field text here... </ description>
    < contents> dGVzdGA= </ contents>
  </document>
</documents>
```

13 ERROR REPORTING

EDGAR will generate an error for each violation of an XML schema constraint, as well as for each violation of a SBS Entity Form filing business rule. The schema files do not enforce all error checks, so it is possible to construct a submission that meets all the schema constraints yet is still SUSPENDED.

This table summarizes the errors that can result from violations of schema constraints and EDGAR business rules. This is not an all-inclusive list.

Table 12-1: Submission Errors and Severity

| Error Condition | Severity |
|---|-----------|
| Elements not in sequence prescribed in Section 3.4 | SUSPENDED |
| Inclusion of XML-styleSheet reference or any other Processing Instruction | SUSPENDED |
| Inclusion of an element not prescribed in the schema | SUSPENDED |
| String value exceeds maximum length constraint | SUSPENDED |
| Element constrained by a Choice List has an invalid value | SUSPENDED |
| Mandatory element has no value or an invalid value | SUSPENDED |
| Special character (&, <, >) not provided as escape sequence | SUSPENDED |
| Date, Boolean, or Decimal element does not have a value | SUSPENDED |
| Duplicate Notification Address | WARNING |
| "NA" or blank field has a value | WARNING |
| Invalid Issuer CIK | SUSPENDED |
| Improperly formatted email address | SUSPENDED |
| Exceeding a "Max Occur" limit from Section 3.4 | SUSPENDED |

You may sometimes get multiple error messages reporting the same error. The XML parser EDGAR used to process a SBS Entity Form submission generates messages that are rather technical in nature and require an understanding of the XML schema language. Whenever possible, EDGAR generates a more "friendly" error message to give a precise description of the error.

Appendix A. STATE/COUNTRY CODES

These are the valid designators for the < STATE_COUNTRY_CODE > element in the primary document.

| Code | State/Country Name |
|------|----------------------|
| AL | ALABAMA |
| AK | ALASKA |
| AZ | ARIZONA |
| AR | ARKANSAS |
| CA | CALIFORNIA |
| CO | COLORADO |
| CT | CONNECTICUT |
| DE | DELAWARE |
| DC | DISTRICT OF COLUMBIA |
| FL | FLORIDA |
| GA | GEORGIA |
| GU | GUAM |
| HI | HAWAII |
| ID | IDAHO |
| IL | ILLINOIS |
| IN | INDIANA |
| IA | IOWA |
| KS | KANSAS |
| KY | KENTUCKY |
| LA | LOUISIANA |
| ME | MAINE |
| MD | MARYLAND |
| MA | MASSACHUSETTS |
| MI | MICHIGAN |
| MN | MINNESOTA |
| MS | MISSISSIPPI |
| MO | MISSOURI |
| MT | MONTANA |
| NE | NEBRASKA |
| NV | NEVADA |
| NH | NEW HAMPSHIRE |
| NJ | NEW JERSEY |
| NM | NEW MEXICO |
| NY | NEW YORK |
| NC | NORTH CAROLINA |
| ND | NORTH DAKOTA |
| OH | OHIO |
| OK | OKLAHOMA |
| OR | OREGON |

| Code | State/Country Name |
|------|------------------------------|
| PA | PENNSYLVANIA |
| RI | RHODE ISLAND |
| SC | SOUTH CAROLINA |
| SD | SOUTH DAKOTA |
| TN | TENNESSEE |
| TX | TEXAS |
| UT | UTAH |
| VT | VERMONT |
| VA | VIRGINIA |
| WA | WASHINGTON |
| WV | WEST VIRGINIA |
| WI | WISCONSIN |
| WY | WYOMING |
| PR | PUERTO RICO |
| VI | VIRGIN ISLANDS, U.S. |
| A0 | ALBERTA, CANADA |
| A1 | BRITISH COLUMBIA, CANADA |
| Z4 | CANADA (FEDERAL LEVEL) |
| A2 | MANITOBA, CANADA |
| A3 | NEW BRUNSWICK, CANADA |
| A4 | NEWFOUNDLAND, CANADA |
| A5 | NOVA SCOTIA, CANADA |
| A6 | ONTARIO, CANADA |
| A7 | PRINCE EDWARD ISLAND, CANADA |
| A8 | QUEBEC, CANADA |
| A9 | SASKATCHEWAN, CANADA |
| B0 | YUKON, CANADA |
| B2 | AFGHANISTAN |
| Y6 | ALAND ISLANDS |
| B3 | ALBANIA |
| B4 | ALGERIA |
| B5 | AMERICAN SAMOA |
| B6 | ANDORRA |
| B7 | ANGOLA |
| 1A | ANGUILLA |
| B8 | ANTARCTICA |
| B9 | ANTIGUA AND BARBUDA |
| C1 | ARGENTINA |
| 1B | ARMENIA |
| 1C | ARUBA |
| C3 | AUSTRALIA |
| C4 | AUSTRIA |
| 1D | AZERBAIJAN |
| C5 | BAHAMAS |

| Code | State/Country Name |
|------|---------------------------------------|
| C6 | BAHRAIN |
| C7 | BANGLADESH |
| C8 | BARBADOS |
| 1F | BELARUS |
| C9 | BELGIUM |
| D1 | BELIZE |
| G6 | BENIN |
| D0 | BERMUDA |
| D2 | BHUTAN |
| D3 | BOLIVIA |
| 1E | BOSNIA AND HERZEGOVINA |
| B1 | BOTSWANA |
| D4 | BOUVET ISLAND |
| D5 | BRAZIL |
| D6 | BRITISH INDIAN OCEAN TERRITORY |
| D9 | BRUNEI DARUSSALAM |
| E0 | BULGARIA |
| X2 | BURKINA FASO |
| E2 | BURUNDI |
| E3 | CAMBODIA |
| E4 | CAMEROON |
| E8 | CAPE VERDE |
| E9 | CAYMAN ISLANDS |
| F0 | CENTRAL AFRICAN REPUBLIC |
| F2 | CHAD |
| F3 | CHILE |
| F4 | CHINA |
| F6 | CHRISTMAS ISLAND |
| F7 | COCOS (KEELING) ISLANDS |
| F8 | COLOMBIA |
| F9 | COMOROS |
| G0 | CONGO |
| Y3 | CONGO, THE DEMOCRATIC REPUBLIC OF THE |
| G1 | COOK ISLANDS |
| G2 | COSTA RICA |
| L7 | COTE D'IVOIRE |
| 1M | CROATIA |
| G3 | CUBA |
| G4 | CYPRUS |
| 2N | CZECH REPUBLIC |
| G7 | DENMARK |
| 1G | DJIBOUTI |
| G9 | DOMINICA |
| G8 | DOMINICAN REPUBLIC |

| Code | State/Country Name |
|------|-----------------------------------|
| H1 | ECUADOR |
| H2 | EGYPT |
| H3 | EL SALVADOR |
| H4 | EQUATORIAL GUINEA |
| 1J | ERITREA |
| 1H | ESTONIA |
| H5 | ETHIOPIA |
| H7 | FALKLAND ISLANDS (MALVINAS) |
| H6 | FAROE ISLANDS |
| H8 | FIJI |
| H9 | FINLAND |
| I0 | FRANCE |
| I3 | FRENCH GUIANA |
| I4 | FRENCH POLYNESIA |
| 2C | FRENCH SOUTHERN TERRITORIES |
| I5 | GABON |
| I6 | GAMBIA |
| 2Q | GEORGIA (COUNTRY) |
| 2M | GERMANY |
| J0 | GHANA |
| J1 | GIBRALTAR |
| J3 | GREECE |
| J4 | GREENLAND |
| J5 | GRENADA |
| J6 | GUADELOUPE |
| J8 | GUATEMALA |
| Y7 | GUERNSEY |
| J9 | GUINEA |
| S0 | GUINEA-BISSAU |
| K0 | GUYANA |
| K1 | HAITI |
| K4 | HEARD ISLAND AND MCDONALD ISLANDS |
| X4 | HOLY SEE (VATICAN CITY STATE) |
| K2 | HONDURAS |
| K3 | HONG KONG |
| K5 | HUNGARY |
| K6 | ICELAND |
| K7 | INDIA |
| K8 | INDONESIA |
| K9 | IRAN, ISLAMIC REPUBLIC OF |
| L0 | IRAQ |
| L2 | IRELAND |
| Y8 | ISLE OF MAN |
| L3 | ISRAEL |

| Code | State/Country Name |
|------|--|
| L6 | ITALY |
| L8 | JAMAICA |
| M0 | JAPAN |
| Y9 | JERSEY |
| M2 | JORDAN |
| 1P | KAZAKSTAN |
| M3 | KENYA |
| J2 | KIRIBATI |
| M4 | KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF |
| M5 | KOREA, REPUBLIC OF |
| M6 | KUWAIT |
| 1N | KYRGYZSTAN |
| M7 | LAO PEOPLE'S DEMOCRATIC REPUBLIC |
| 1R | LATVIA |
| M8 | LEBANON |
| M9 | LESOTHO |
| N0 | LIBERIA |
| N1 | LIBYAN ARAB JAMAHIRIYA |
| N2 | LIECHTENSTEIN |
| 1Q | LITHUANIA |
| N4 | LUXEMBOURG |
| N5 | MACAU |
| 1U | MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF |
| N6 | MADAGASCAR |
| N7 | MALAWI |
| N8 | MALAYSIA |
| N9 | MALDIVES |
| O0 | MALI |
| O1 | MALTA |
| 1T | MARSHALL ISLANDS |
| O2 | MARTINIQUE |
| O3 | MAURITANIA |
| O4 | MAURITIUS |
| 2P | MAYOTTE |
| O5 | MEXICO |
| 1K | MICRONESIA, FEDERATED STATES OF |
| 1S | MOLDOVA, REPUBLIC OF |
| O9 | MONACO |
| P0 | MONGOLIA |
| Z5 | MONTENEGRO |
| P1 | MONTSERRAT |
| P2 | MOROCCO |
| P3 | MOZAMBIQUE |
| E1 | MYANMAR |

| Code | State/Country Name |
|------|----------------------------------|
| T6 | NAMIBIA |
| P5 | NAURU |
| P6 | NEPAL |
| P7 | NETHERLANDS |
| P8 | NETHERLANDS ANTILLES |
| 1W | NEW CALEDONIA |
| Q2 | NEW ZEALAND |
| Q3 | NICARAGUA |
| Q4 | NIGER |
| Q5 | NIGERIA |
| Q6 | NIUE |
| Q7 | NORFOLK ISLAND |
| 1V | NORTHERN MARIANA ISLANDS |
| Q8 | NORWAY |
| P4 | OMAN |
| R0 | PAKISTAN |
| 1Y | PALAU |
| 1X | PALESTINIAN TERRITORY, OCCUPIED |
| R1 | PANAMA |
| R2 | PAPUA NEW GUINEA |
| R4 | PARAGUAY |
| R5 | PERU |
| R6 | PHILIPPINES |
| R8 | PITCAIRN |
| R9 | POLAND |
| S1 | PORTUGAL |
| S3 | QATAR |
| S4 | REUNION |
| S5 | ROMANIA |
| 1Z | RUSSIAN FEDERATION |
| S6 | RWANDA |
| Z0 | SAINT BARTHELEMY |
| U8 | SAINT HELENA |
| U7 | SAINT KITTS AND NEVIS |
| U9 | SAINT LUCIA |
| Z1 | SAINT MARTIN |
| V0 | SAINT PIERRE AND MIQUELON |
| V1 | SAINT VINCENT AND THE GRENADINES |
| Y0 | SAMOA |
| S8 | SAN MARINO |
| S9 | SAO TOME AND PRINCIPE |
| T0 | SAUDI ARABIA |
| T1 | SENEGAL |
| Z2 | SERBIA |

| Code | State/Country Name |
|------|--|
| T2 | SEYCHELLES |
| T8 | SIERRA LEONE |
| U0 | SINGAPORE |
| 2B | SLOVAKIA |
| 2A | SLOVENIA |
| D7 | SOLOMON ISLANDS |
| U1 | SOMALIA |
| T3 | SOUTH AFRICA |
| 1L | SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS |
| U3 | SPAIN |
| F1 | SRI LANKA |
| V2 | SUDAN |
| V3 | SURINAME |
| L9 | SVALBARD AND JAN MAYEN |
| V6 | SWAZILAND |
| V7 | SWEDEN |
| V8 | SWITZERLAND |
| V9 | SYRIAN ARAB REPUBLIC |
| F5 | TAIWAN |
| 2D | TAJIKISTAN |
| W0 | TANZANIA, UNITED REPUBLIC OF |
| W1 | THAILAND |
| Z3 | TIMOR-LESTE |
| W2 | TOGO |
| W3 | TOKELAU |
| W4 | TONGA |
| W5 | TRINIDAD AND TOBAGO |
| W6 | TUNISIA |
| W8 | TURKEY |
| 2E | TURKMENISTAN |
| W7 | TURKS AND CAICOS ISLANDS |
| 2G | TUVALU |
| W9 | UGANDA |
| 2H | UKRAINE |
| C0 | UNITED ARAB EMIRATES |
| X0 | UNITED KINGDOM |
| 2J | UNITED STATES MINOR OUTLYING ISLANDS |
| X3 | URUGUAY |
| 2K | UZBEKISTAN |
| 2L | VANUATU |
| X5 | VENEZUELA |
| Q1 | VIET NAM |
| D8 | VIRGIN ISLANDS, BRITISH |
| X8 | WALLIS AND FUTUNA |

| Code | State/Country Name |
|------|--------------------|
| U5 | WESTERN SAHARA |
| T7 | YEMEN |
| Y4 | ZAMBIA |
| Y5 | ZIMBABWE |

Appendix B. MONTH_TYPE

These are the valid values for the < MONTH_TYPE> element in the submission file:

| VALUE |
|-----------|
| January |
| February |
| March |
| April |
| May |
| June |
| July |
| August |
| September |
| October |
| November |
| December |

Appendix C. ACRONYMS

| Acronym | Description |
|---------|--|
| ASCII | American Standard Code for Information Interchange |
| CCC | CIK Confirmation Code |
| CIK | Central Index Key |
| EDGAR | Electronic Data Gathering, Analysis, and Retrieval |
| PDF | Portable Document Format |
| SEC | Securities and Exchange Commission |
| XML | Extensible Markup Language |
| XBRL | eXtensible Business Reporting Language |