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EDGAR® Form MA XML Technical Specification

Version 1.23

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This draft EDGAR Form MA XML Technical Specification, posted before Commission approval of potential regulatory changes in this release, is provided as a service to our filing community to assist filers, agents, and software developers in their preparation of responses to potential changes the staff anticipates. Since this is a draft technical specification, the SEC retains the right to change any part of the technical specification before the new system release is made final. In addition, the final EDGAR Form MA XML Technical Specification is subject to Commission approval and may be revised before approval or not approved at all. Similarly, the posting of the draft technical specification does not indicate Commission approval of any pending proposed changes relating to the potential changes reflected in the draft technical specification. The changes outlined in this draft technical specification, if approved, are scheduled to take effect on June 10, 2019. The final version of the technical specification will be made available if approved by the Commission on or about June 10, 2019, on the SEC's Public Website.

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1 INTRODUCTION

1.1 Purpose

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

Table 1-1: Form MA Submission Types

| SUBMISSION TYPE | DESCRIPTION |
|-----------------|--|
| MA | Initial Filing for Municipal Advisors |
| MA-A | Annual Filing for Municipal Advisors |
| MA/A | Amended Filing for Municipal Advisors |
| MA-I | Initial Filing for Natural Persons Who Engage in Municipal Advisory Activities |
| MA-IA | Amended Filing for Natural Persons Who Engage in Municipal Advisory Activities |
| MA-W | Withdrawal Filing |

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

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

The Form MA XML submissions can be transmitted to the SEC via the EDGAR FilerWeb (<https://www.edgarfiling.sec.gov>) or the “Transmit XML Submission” option from the EDGAR OnlineForms Website (<https://www.onlineforms.edgarfiling.sec.gov>).

In order to use the EDGAR FilerWeb or OnlineForms Website, you must have a Central Index Key (CIK) and EDGAR access codes (password, CIK confirmation code (CCC)). If you currently have a CIK and access codes, you can proceed to the EDGAR FilerWeb or OnlineForms Website to submit your submission. If you do not have access codes, you will need to obtain access codes through the EDGAR Filer Management website, (<https://www.filermanagement.edgarfiling.sec.gov>). For further information regarding how to obtain access codes, refer to the “Becoming an EDGAR Filer” section of the EDGAR Filer Manual, Volume I (General Information).

For further information regarding the EDGAR FilerWeb or OnlineForms Website, specifically in regards to the transmission of filer-constructed submissions, refer to the Filer-Constructed XML Submissions section of the EDGAR Filer Manual, Volume II (EDGAR Filing).

1.2 Summary of Changes

On June 10, 2019, EDGAR Release 19.2 introduced the following changes:

- Changed the usage of the ‘type’ element:
 - For existing directBusinesses, directPersons, indirectBusinesses, and indirectPersons entries without changes within Schedule C, no ‘type’ element should be included.
 - The ‘type’ field must be included for the directBusinesses, directPersons, indirectBusinesses and indirectPersons entries which are being added, edited, and/or deleted in the current submission.

~~On March 11, 2019, EDGAR Release 19.1 introduced the following change:~~

- ~~• Changed “OtherBusiness” field column for MA-I and MA-I/A value to optional “o”.~~

2 EDGAR SCHEMA FILES

Table 2-1: Form MA Schema Files describes the schema files that the EDGAR system uses to validate Form MA submissions. These schemas are considered part of this specification and are distributed with this document.

Table 2-1: Form MA Schema Files

| XML Schema File | Scope of File |
|-----------------------|---|
| eis_MA.xsd | Defines the elements for a Form MA, MA-A and MA/A submission |
| eis_MA_DRP.xsd | Defines the elements for Form MA, MA-A and MA/A submission |
| eis_MA_I.xsd | Defines the elements for Form MA-I, MA-I-A and MA-I/A submission |
| eis_MA_I_DRP.xsd | Defines the elements for Form MA-I, MA-I-A and MA-I/A submission |
| eis_MA_W.xsd | Defines the elements for Form MA-W submission |
| eis_MA_Common_DRP.xsd | Defines the common elements for Form MA, MA-A and MA/A submission |
| eis.Common_DRP.xsd | Defined common DRP elements for all EDGAR submissions |
| eis_Common_MA.xsd | Defines the common elements for all EDGAR Form MA submissions |
| eis_Common.xsd | Defines the common elements for all EDGAR submissions |
| eis_stateCodes.xsd | Defines the codes for all the states for all EDGAR submissions |

The schema files define the valid data elements for a Form MA 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 Form MA 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. |

| Indicator | Purpose |
|-------------|---|
| <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. |

The default value for the <minOccurs> and <maxOccurs> indicator is 1. An optional field will have a <minOccurs> value of zero.

This excerpt is from the eis_MA.xsd schema file and includes some of these indicators:

```
<xs:complexType name="NON_SCHEDULEABC_CONTROLLING_PERSON_FIRM">
  <xs:sequence>
    <xs:element name="nameOfFirm" type="ns2:STRING_256_TYPE" />
    <xs:element name="maAdvisor" type="NON_SCHEDULEABC_FIRM_MAADVISOR"
minOccurs="0" />
    <xs:element name="mSecDealer" type="NON_SCHEDULEABC_REG_TYPE_1"
minOccurs="0" />
    <xs:element name="brokerDealer" type="NON_SCHEDULEABC_REG_TYPE_2"
minOccurs="0" />
    <xs:element name="investmentAdvisor"
type="NON_SCHEDULEABC_FIRM_IA_REG" minOccurs="0" />
    <xs:element name="gsBrokerDealer"
type="NON_SCHEDULEABC_REG_TYPE_4" minOccurs="0" />
    <xs:element name="otherReg" type="NON_SCHEDULEABC_REG_TYPE_5"
minOccurs="0" />
    <xs:element name="anotherReg" type="NON_SCHEDULEABC_REG_TYPE_6"
minOccurs="0" />
  </xs:sequence>
</xs:complexType>
```

This is a sample of XML that conforms to the schema definition above:

```
<maRegistration>
  <com:fileNumber>866-12345</com:fileNumber>
</maRegistration>
<baseRegistrations>
  <baseRegistrations>
    <com:anotherRegistration>
      <com:description>12-0987654</com:description>
      <com:registrationId>32-0987654</com:registrationId>
    </com:anotherRegistration>
  </baseRegistrations>
</baseRegistrations>
</registrations>
<additionalRegistrations>
  <additionalRegistration>
    <nameAndRegistration>
      <com:name>New Registration Name</com:name>
      <com:registrationId>345876</com:registrationId>
    </nameAndRegistration>
  </additionalRegistration>
</additionalRegistrations>
<principalOfficeAddress>
  <addressInfo>
    <com:residentialAddressFlag>Y</com:residentialAddressFlag>
    <com:address>
```

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```
<coml:street1>123 MAIN STREET</coml:street1>  
<coml:city>ANYWHERE</coml:city>  
<coml:stateOrCountry>VA</coml:stateOrCountry>
```

3 XML SCHEMAS

This section summarizes the restrictions and constraints imposed on the content of the Form MA 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 | <p>Indicate a “true” value with either a “1” or the word “true.”</p> <p>Indicate a “false” value with either a “0” or the word “false.”</p> <p>A Boolean element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.</p> |
| date | <p>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.</p> |
| integer | <p>Only valid characters are 0-9. Cannot contain commas, a minus sign, a dollar sign, or parentheses.</p> <p>An integer element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.</p> |
| 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> <p>For the < character use the escape sequence “&lt;” or “&#60;”.</p> <p>For the > character use the escape sequence “&gt;” or “&#62;”.</p> <p>For the & character use the escape sequence “&amp;” or “&#38;”.</p> <p>For the “ character use the escape sequence “&quot;” or “&#34;”.</p> |
| NV | <p>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.</p> |
| attr | <p>Attribute property for an XML element.</p> |

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#11 | <ul style="list-style-type: none">• <u>For existing directBusinesses, directPersons, indirectBusinesses, and indirectPersons entries without changes within Schedule C, no 'type' element should be included.</u>• <u>The 'type' filed must be included for the directBusinesses, directPersons, indirectBusinesses and indirectPersons entries which are being added, edited, and/or deleted in the current submission.</u> |
| 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 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 MA Submission Schemas to Submission Types

Mapping of Form MA and Variants Submission Schema to Submission Type

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-----------------------------|------------|---------------------------------|-----------|-----|------|------|
| 1 | 1 | NV | edgarSubmission | | | 1 | m | m | m |
| 2 | 1 | String | schemaVersion | 5 | | 1 | o | o | o |
| 2 | 2 | NV | headerData | | | 1 | m | m | m |
| 3 | 1 | String | submissionType | | SUBMISSION_TYPE | 1 | m | m | m |
| 3 | 2 | NV | filerInfo | | | 1 | m | m | m |
| 4 | 1 | String | liveTestFlag | | | 1 | NA | NA | NA |
| 4 | 2 | NV | filer | | | 1 | m | m | m |
| 5 | 1 | String | filerId | 10 | | 1 | m | m | m |
| 5 | 2 | String | filerCcc | 8 | | 1 | m | m | m |
| 5 | 3 | String | filerFileNumber | 17 | | 1 | o | o | o |
| 4 | 3 | NV | contact | | | | o | o | o |
| 5 | 1 | String | name | 30 | | 1 | o | o | o |
| 5 | 2 | String | phoneNumber | 20 | | 1 | o | o | o |
| 4 | 4 | String | contactEmail | 80 | | 1 | m | m | m |
| 4 | 5 | NV | notifications | | | 1 | o | o | o |
| 5 | 1 | String | internetNotificationAddress | 80 | | unbounded | m | m | m |
| 2 | 3 | NV | formData | | | 1 | m | m | m |
| 3 | 1 | String | fiscalYearEnd | | | 1 | m#1 | m#1 | m#1 |
| 3 | 2 | String | calYearEnd | | | 1 | m#1 | m#1 | m#1 |
| 3 | 3 | String | hasChanges | | YES_NO_TYPE | 1 | o | o | o |
| 3 | 4 | String | firmName | 150 | | 1 | m | m | m |
| 3 | 5 | String | firmCrdNumber | 9 | | 1 | o | o | o |
| 3 | 6 | NV | soleProprietor | | | 1 | o | o | o |
| 4 | 1 | NV | name | | | 1 | NA | NA | NA |
| 5 | 1 | String | firstName | 50 | | 1 | m#1 | m#1 | m#1 |
| 5 | 2 | String | middleName | 30 | | 1 | m#1 | m#1 | m#1 |
| 5 | 3 | String | lastName | 50 | | 1 | m#1 | m#1 | m#1 |
| 5 | 4 | String | suffix | 10 | | 1 | o | o | o |
| 4 | 2 | String | crdNumber | 9 | | 1 | o | o | o |
| 3 | 7 | String | previousLegalName | 256 | | 1 | o | o | o |
| 3 | 8 | String | dbaName | 256 | | 1 | m#1 | m#1 | m#1 |
| 3 | 9 | String | previousDbaNma | 256 | | 1 | m#1 | m#1 | m#1 |
| 3 | 10 | NV | businessConductedOtherNames | | | 1 | m#1 | m#1 | m#1 |
| 4 | 1 | NV | businessConductedOtherName | | | 100 | m | m | m |
| 5 | 1 | NV | addDeleteAmend | | | 1 | m#1 | m#1 | m#1 |
| 6 | 1 | String | add | | | | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|-----------------------------------|-----------|-----|------|------|
| 6 | 2 | String | delete | | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | amend | | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | newAdd | | | | m#1 | m#1 | m#1 |
| 5 | 2 | String | name | 256 | | 1 | m | m | m |
| 5 | 3 | String | jurisdictions | 10K | | 1 | m | m | m |
| 3 | 11 | String | irsNum | 10 | | 1 | m#1 | m#1 | m#1 |
| 3 | 13 | NV | registrations | | | 1 | NA | NA | NA |
| 4 | 1 | NV | maTRegistration | | | 1 | m | m | m |
| 5 | 1 | String | fileNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 4 | 2 | NV | baseRegistrations | | | 1 | o | o | o |
| 5 | 1 | NV | maRegistration | | | 1 | o | o | o |
| 6 | 1 | String | fileNumber | 17 | | 1 | o | o | o |
| 5 | 2 | NV | baseRegistrations | | | 1 | o | o | o |
| 6 | 1 | NV | msdRegistration | | | 1 | o | o | o |
| 7 | 1 | String | fileNumber | 17 | | 1 | o | o | o |
| 6 | 2 | NV | bdRegistration | | | 1 | o | o | o |
| 7 | 1 | String | fileNumber | 17 | | 1 | m | m | m |
| 7 | 2 | String | crdNumber | 9 | | 1 | m | m | m |
| 6 | 3 | NV | iaRegistration | | | 1 | m#1 | m#1 | m#1 |
| 7 | 1 | NV | nonExempt | | | 1 | m#1 | m#1 | m#1 |
| 8 | 1 | NV | secRegistration | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | fileNumber | 17 | | | m#1 | m#1 | m#1 |
| 9 | 2 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 8 | 2 | NV | stateRegistration | | | 1 | o | o | o |
| 9 | 1 | String | crdNumber | 9 | | 1 | o | o | o |
| 9 | 2 | String | state | | US IAR STATE TYPE | 53 | m | m | m |
| 7 | 2 | NV | exemptAdvisor | | | 1 | m | m | m |
| 8 | 1 | String | fileNumber | 17 | | 1 | m | m | m |
| 8 | 2 | String | crdNumber | 9 | | 1 | m | m | m |
| 6 | 4 | NV | gsbdRegistration | | | 1 | o | o | o |
| 7 | 1 | String | fileNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 7 | 2 | String | bankId | 256 | | 1 | o | o | o |
| 6 | 5 | NV | otherRegistration | | | 1 | o | o | o |
| 7 | 1 | String | description | 256 | | 1 | m | m | m |
| 7 | 2 | String | fileNumber | 17 | | 1 | o | o | o |
| 7 | 3 | String | cik | 10 | | 1 | o | o | o |
| 6 | 6 | NV | anotherRegistration | | | 1 | o | o | o |
| 7 | 1 | String | description | 256 | | 1 | m | m | m |
| 7 | 2 | String | registrationId | 256 | | 1 | o | o | o |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-------------------------|------------|------------------------------------|-----------|-----|------|------|
| 3 | 14 | NV | additionalRegistrations | | | | NA | NA | NA |
| 4 | 1 | NV | additionalRegistration | | | 100 | m | m | m |
| 5 | 1 | NV | nameAndRegistration | | | | m | m | m |
| 6 | 1 | String | name | 256 | | | m | m | m |
| 6 | 2 | String | registrationId | 256 | | | m | m | m |
| 3 | 15 | NV | principalOfficeAddress | | | 1 | NA | NA | NA |
| 4 | 1 | NV | addressInfo | | | 1 | o | o | o |
| 5 | 1 | String | residentialAddressFlag | | YES NO TYPE | 1 | o | o | o |
| 5 | 2 | NV | address | | | 1 | m | m | m |
| 6 | 1 | String | street1 | 40 | | 1 | m | m | m |
| 6 | 2 | String | street2 | 40 | | 1 | o | o | o |
| 6 | 3 | String | city | 30 | | 1 | m | m | m |
| 6 | 4 | String | stateOrCountry | | STATE COUNTRY CODE | 1 | m | m | m |
| 6 | 5 | String | zipCode | 10 | | 1 | m | m | m |
| 4 | 2 | String | phoneNumber | 20 | | 1 | m | m | m |
| 4 | 3 | String | faxNumber | 20 | | 1 | o | o | o |
| 3 | 16 | NV | additionalOffices | | | | NA | NA | NA |
| 4 | 1 | NV | additionalOffice | | | 5 | m#1 | m#1 | m#1 |
| 5 | 1 | NV | addDeleteAmend | | | | NA | NA | NA |
| 6 | 1 | String | add | | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | delete | | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | amend | | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | newAdd | | | | m#1 | m#1 | m#1 |
| 5 | 2 | NV | officeInfo | | | | NA | NA | NA |
| 6 | 1 | NV | addressInfo | | | | NA | NA | NA |
| 7 | 1 | String | residentialAddressFlag | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 7 | 2 | NV | address | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | street1 | 40 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | street2 | 40 | | | o | o | o |
| 8 | 3 | String | city | 30 | | | m#1 | m#1 | m#1 |
| 8 | 4 | String | stateOrCountry | | STATE COUNTRY CODE | | m#1 | m#1 | m#1 |
| 8 | 5 | String | zipCode | 10 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | phoneNumber | 20 | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | faxNumber | 20 | | | o | o | o |
| 3 | 17 | String | mailingAddressDifferent | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 3 | 18 | NV | mailingAddress | | | | m#1 | m#1 | m#1 |
| 4 | 1 | String | residentialAddressFlag | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 2 | NV | address | | | | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|------------------------------------|-----------|-----|------|------|
| 5 | 1 | String | street1 | 40 | | | m#1 | m#1 | m#1 |
| 5 | 2 | String | street2 | 40 | | | o | o | o |
| 5 | 3 | String | city | 30 | | | m#1 | m#1 | m#1 |
| 5 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | | m#1 | m#1 | m#1 |
| 5 | 5 | String | zipCode | 10 | | | m#1 | m#1 | m#1 |
| 3 | 19 | String | primaryWebAddress | 256 | | | NA | NA | NA |
| 3 | 20 | NV | additionalWebAddresses | | | | NA | NA | NA |
| 4 | 1 | NV | additionalWebAddress | | | 50 | m#1 | m#1 | m#1 |
| 5 | 1 | NV | addDeleteAmend | | | | m#1 | m#1 | m#1 |
| 6 | 1 | String | add | | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | delete | | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | amend | | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | newAdd | | | | m#1 | m#1 | m#1 |
| 5 | 2 | String | webAddress | 256 | | | o | o | o |
| 3 | 21 | NV | cco | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | name | | | | NA | NA | NA |
| 5 | 1 | String | firstName | 50 | | | m#1 | m#1 | m#1 |
| 5 | 2 | String | middleName | 30 | | | m#1 | m#1 | m#1 |
| 5 | 3 | String | lastName | 50 | | | m#1 | m#1 | m#1 |
| 5 | 4 | String | suffix | 10 | | | m#1 | m#1 | m#1 |
| 4 | 2 | NV | titles | | | | o | o | o |
| 5 | 1 | String | title | 150 | | 10 | o | o | o |
| 4 | 3 | NV | address | | | | NA | NA | NA |
| 5 | 1 | String | residentialAddressFlag | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 5 | 2 | NV | address | | | | m#1 | m#1 | m#1 |
| 6 | 1 | String | street1 | 40 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | street2 | 40 | | | o | o | o |
| 6 | 3 | String | city | 30 | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | | m#1 | m#1 | m#1 |
| 6 | 5 | String | zipCode | 10 | | | m#1 | m#1 | m#1 |
| 4 | 4 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 4 | 5 | String | phoneNumber | 20 | | | m#1 | m#1 | m#1 |
| 4 | 6 | String | faxNumber | 20 | | | o | o | o |
| 4 | 7 | String | email | 80 | | | o | o | o |
| 3 | 22 | NV | contactPerson | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | name | | | | m#1 | m#1 | m#1 |
| 5 | 1 | String | firstName | 50 | | | m#1 | m#1 | m#1 |
| 5 | 2 | String | middleName | 30 | | | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|--------------------------|------------|--------------------|-----------|-----|------|------|
| 5 | 3 | String | lastName | 50 | | | m#1 | m#1 | m#1 |
| 5 | 4 | String | suffix | 10 | | | o | o | o |
| 4 | 2 | NV | titles | | | | NA | NA | NA |
| 5 | 1 | String | title | 150 | | 10 | o | o | o |
| 4 | 3 | NV | address | | | | NA | NA | NA |
| 5 | 1 | String | residentialAddressFlag | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 5 | 2 | NV | address | | | | m#1 | m#1 | m#1 |
| 6 | 1 | String | street1 | 40 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | street2 | 40 | | | o | o | o |
| 6 | 3 | String | city | 30 | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | stateOrCountry | | STATE COUNTRY CODE | | m#1 | m#1 | m#1 |
| 6 | 5 | String | zipCode | 10 | | | m#1 | m#1 | m#1 |
| 4 | 4 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 4 | 5 | String | phoneNumber | 20 | | | m#1 | m#1 | m#1 |
| 4 | 6 | String | faxNumber | 20 | | | o | o | o |
| 4 | 7 | String | email | 80 | | | o | o | o |
| 3 | 23 | NV | booksAndRecordsLocations | | | | NA | NA | NA |
| 4 | 1 | NV | booksAndRecordsLocation | | | 5 | m | m | m |
| 5 | 1 | NV | type | | | | m | m | m |
| 6 | 1 | String | add | | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | delete | | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | amend | | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | newAdd | | | | m#1 | m#1 | m#1 |
| 5 | 2 | String | locationName | 256 | | | m#1 | m#1 | m#1 |
| 5 | 3 | NV | contact | | | | NA | NA | NA |
| 6 | 1 | NV | addressInfo | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | residentialAddressFlag | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 7 | 2 | NV | address | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | street1 | 40 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | street2 | 40 | | | o | o | o |
| 8 | 3 | String | city | 30 | | | m#1 | m#1 | m#1 |
| 8 | 4 | String | stateOrCountry | | STATE COUNTRY CODE | | m#1 | m#1 | m#1 |
| 8 | 5 | String | zipCode | 10 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | phoneNumber | 20 | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | faxNumber | 20 | | | o | o | o |
| 5 | 4 | NV | locationType | | | | NA | NA | NA |
| 6 | 1 | String | branchOrAffiliate | | | | NA | NA | NA |
| 6 | 2 | String | third-party | | | | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|---|------------|--------------------------------------|-----------|-----|------|------|
| 6 | 3 | String | other | | | | m#1 | m#1 | m#1 |
| 5 | 5 | String | description | 256 | | | m#1 | m#1 | m#1 |
| 3 | 24 | NV | foreignRegulatoryAuthorityRegistrations | | | | NA | NA | NA |
| 4 | 1 | NV | foreignRegulatoryAuthorityRegistration | | | 100 | m | m | m |
| 5 | 1 | NV | type | | | | m#1 | m#1 | m#1 |
| 6 | 1 | String | add | | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | delete | | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | amend | | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | newAdd | | | | m#1 | m#1 | m#1 |
| 5 | 2 | String | englishFFRAName | 256 | | | m#1 | m#1 | m#1 |
| 5 | 3 | String | foreignRegNumber | 256 | | | o | o | o |
| 5 | 4 | String | englishCountryName | | NON US COUNTRY CODES | | m#1 | m#1 | m#1 |
| 3 | 25 | NV | businessAffiliates | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | businessAffiliate | | | 100 | m#1 | m#1 | m#1 |
| 5 | 1 | String | affiliateName | 256 | | | m#1 | m#1 | m#1 |
| 5 | 2 | String | hasApplicableRegistration | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 5 | 3 | NV | applicableRegistration | | | | NA | NA | NA |
| 6 | 1 | String | issuingAgencyName | 256 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | registrationNumber | 256 | | | o | o | o |
| 6 | 3 | NV | jurisdiction | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | US_Federal | | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | US_State | | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | ForeignCountry | | | | m#1 | m#1 | m#1 |
| 3 | 26 | NV | formOfOrganization | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | formOrgType | | | | m#1 | m#1 | m#1 |
| 5 | 1 | NV | formOrgTypes | | | | m#1 | m#1 | m#1 |
| 6 | 1 | String | Corporation | | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | Sole_Proprietorship | | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | LLP | | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | Partnership | | | | m#1 | m#1 | m#1 |
| 6 | 5 | String | LLC | | | | m#1 | m#1 | m#1 |
| 6 | 6 | String | LP | | | | m#1 | m#1 | m#1 |
| 6 | 7 | String | Other | | | | m#1 | m#1 | m#1 |
| 4 | 2 | String | formOrgOtherDescription | 256 | | | m#1 | m#1 | m#1 |
| 3 | 27 | String | monthOfFiscalYearEnd | | MONTH TYPE | | m#1 | m#1 | m#1 |
| 3 | 28 | String | organizedJurisdiction | | | | NA | NA | NA |
| 4 | 1 | String | stateOrCountry | | STATE COUNTRY CODE | | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|-----------------------------------|-----------|-----|------|------|
| 3 | 29 | String | dateOfOrganization | 10 | | | m | m | m |
| 3 | 30 | String | isPrcApplicant | | YES NO TYPE | | m | m | m |
| 3 | 31 | String | prcCIK | 10 | | | m#1 | m#1 | m#1 |
| 3 | 32 | NV | successionInfo | | | | m | m | m |
| 4 | 1 | String | dateOfSuccession | 10 | | | m#1 | m#1 | m#1 |
| 4 | 2 | NV | successions | | | 100 | NA | NA | NA |
| 5 | 1 | NV | baseRegistrations | | | | m#1 | m#1 | m#1 |
| 6 | 1 | NV | maRegistration | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | fileNumber | 17 | | | m#1 | m#1 | m#1 |
| 6 | 2 | NV | baseRegistrations | | | | m#1 | m#1 | m#1 |
| 7 | 1 | NV | msdRegistration | | | 1 | o | o | o |
| 8 | 1 | String | fileNumber | 17 | | 1 | o | o | o |
| 7 | 2 | NV | bdRegistration | | | 1 | o | o | o |
| 8 | 1 | String | fileNumber | 17 | | 1 | m | m | m |
| 8 | 2 | String | crdNumber | 9 | | 1 | m | m | m |
| 7 | 3 | NV | iaRegistration | | | 1 | o | o | o |
| 8 | 1 | NV | nonExempt | | | 1 | m | m | m |
| 9 | 1 | NV | secRegistration | | | 1 | o | o | o |
| 10 | 1 | String | fileNumber | 17 | | | m#1 | m#1 | m#1 |
| 10 | 2 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 9 | 2 | NV | stateRegistration | | | 1 | o | o | o |
| 10 | 1 | String | crdNumber | 9 | | 1 | m | m | m |
| 10 | 2 | String | state | | US IAR STATE TYPE | 53 | m | m | m |
| 8 | 2 | NV | exemptAdvisor | | | 1 | m | m | m |
| 9 | 1 | String | fileNumber | 17 | | 1 | m | m | m |
| 9 | 2 | String | crdNumber | 9 | | 1 | m | m | m |
| 7 | 4 | NV | gsbdRegistration | | | 1 | o | o | o |
| 8 | 1 | String | fileNumber | 17 | | 1 | m | m | m |
| 8 | 2 | String | bankId | 256 | | 1 | o | o | o |
| 7 | 5 | NV | otherRegistration | | | 1 | o | o | o |
| 8 | 1 | String | description | 256 | | 1 | m | m | m |
| 8 | 2 | String | fileNumber | 17 | | 1 | o | o | o |
| 8 | 3 | String | cik | 10 | | 1 | o | o | o |
| 7 | 6 | NV | anotherRegistration | | | 1 | o | o | o |
| 8 | 1 | String | description | 256 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | registrationId | 256 | | | m#1 | m#1 | m#1 |
| 5 | 2 | String | nameOfFirm | 256 | | | m#1 | m#1 | m#1 |
| 3 | 33 | String | numberOfEmployees | | | | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------------|------------|------------------------------------|-----------|-----|------|------|
| 3 | 34 | String | numberOfAdditionalWebSites | 50 | | | m#1 | m#1 | m#1 |
| 3 | 35 | String | employeesEngagedInMAA | 10 | | | m#1 | m#1 | m#1 |
| 3 | 36 | String | maaEmployeesRegBD | 10 | | | m#1 | m#1 | m#1 |
| 3 | 37 | String | maaRegIA | 10 | | | m#1 | m#1 | m#1 |
| 3 | 38 | String | numberOfSolicitingFirms | 10 | | | m#1 | m#1 | m#1 |
| 3 | 39 | NV | solicitingMACFirms | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | solicitingMACFirm | | | unbounded | m#1 | m#1 | m#1 |
| 5 | 1 | String | name | 256 | | | m#1 | m#1 | m#1 |
| 5 | 2 | String | cik | 10 | | | o | o | o |
| 5 | 3 | String | crd | 9 | | | m#1 | m#1 | m#1 |
| 5 | 4 | NV | contactInfo | | | | m#1 | m#1 | m#1 |
| 6 | 1 | NV | addressInfo | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | residentialAddressFlag | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 7 | 2 | NV | address | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | street1 | 40 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | street2 | 40 | | | o | o | o |
| 8 | 3 | String | city | 30 | | | m#1 | m#1 | m#1 |
| 8 | 4 | String | stateOrCountry | | STATE COUNTRY CODE | | m#1 | m#1 | m#1 |
| 8 | 5 | String | zipCode | 10 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | phoneNumber | 20 | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | faxNumber | 20 | | | o | o | o |
| 3 | 40 | String | numberOfIndBusinessEmployees | 10 | | | m#1 | m#1 | m#1 |
| 3 | 41 | NV | independentBusinessEmployees | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | independentBusinessEmployee | | | 100 | m#1 | m#1 | m#1 |
| 5 | 1 | NV | name | | | | m#1 | m#1 | m#1 |
| 6 | 1 | String | firstName | 50 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | middleName | 30 | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | lastName | 50 | | | m#1 | m#1 | m#1 |
| 5 | 2 | String | cik | 10 | | | o | o | o |
| 5 | 3 | String | crd | 9 | | | o | o | o |
| 5 | 4 | NV | contactInfo | | | | m#1 | m#1 | m#1 |
| 6 | 1 | NV | addressInfo | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | residentialAddressFlag | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 7 | 2 | NV | address | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | street1 | 40 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | street2 | 40 | | | o | o | o |
| 8 | 3 | String | city | 30 | | | m#1 | m#1 | m#1 |
| 8 | 4 | String | stateOrCountry | | STATE COUNTRY CODE | | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|--|------------|--|-----------|-----|------|------|
| 8 | 5 | String | zipCode | 10 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | phoneNumber | 20 | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | faxNumber | 20 | | | o | o | o |
| 3 | 42 | String | clientsServedAsMA | 10 | | | m#1 | m#1 | m#1 |
| 3 | 43 | NV | typesOfClients | | | | m# | m# | m# |
| 4 | 1 | NV | typesOfClients | | | | m | m | m |
| 5 | 1 | String | clientTypes | | CLIENT_TYPE | 5 | m#1 | m#1 | m#1 |
| 4 | 2 | String | typesOfClientsOther | 256 | | | m#1 | m#1 | m#1 |
| 3 | 44 | String | numberOfSolicitedME | 10 | | | NA | NA | NA |
| 3 | 45 | String | numberOfSolicitedOP | 10 | | | m#1 | m#1 | m#1 |
| 3 | 46 | String | totalNumberOfSolicitedMEAndOP | 10 | | | m#1 | m#1 | m#1 |
| 3 | 47 | NV | typesOfSolicitedPersons | | | | m | m | m |
| 4 | 1 | NV | solicitationPersonTypes | | | | NA | NA | NA |
| 5 | 1 | String | solicitationPersonTypes | | SOLICITATION_PERSON_TYPE | 8 | m# | m# | m# |
| 4 | 2 | String | spOtherDescription | 256 | | | m#1 | m#1 | m#1 |
| 3 | 48 | NV | meOrOPCompensationTypes | | | | NA | NA | NA |
| 4 | 1 | NV | compensationTypes | | | 6 | NA | NA | NA |
| 5 | 1 | NV | compensationTypes | | COMPENSATION_TYPE | | m | m | m |
| 4 | 2 | String | COMP_TYPE_OTHER_DESCRIPTION | 256 | | | m#1 | m#1 | m#1 |
| 3 | 49 | NV | solicitationCompensationTypes | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | compensationTypes | | | | m#1 | m#1 | m#1 |
| 5 | 1 | NV | compensationTypes | | COMPENSATION_TYPE | 6 | m#1 | m#1 | m#1 |
| 4 | 2 | String | COMP_TYPE_OTHER_DESCRIPTION | 256 | | | m#1 | m#1 | m#1 |
| 3 | 50 | String | receiveCompensationForMAAFromOtherClientsExplanation | 10000 | | | m#1 | m#1 | m#1 |
| 3 | 51 | NV | engagedActivities | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | engagedActivityTypes | | | | m#1 | m#1 | m#1 |
| 5 | 1 | String | engagedActivityType | | ENGAGED_ACTIVITY_TYPE | 11 | m | m | m |
| 4 | 2 | String | eaTypeOtherDescription | 10000 | | | m#1 | m#1 | m#1 |
| 3 | 52 | NV | otherActivities | | | | NA | NA | NA |
| 4 | 1 | NV | brokerDealers | | | | o | o | o |
| 5 | 1 | String | isActivelyEngaged | | YES_NO_TYPE | | o | o | o |
| 5 | 2 | String | isPrimaryBusiness | | YES_NO_TYPE | | o | o | o |
| 4 | 2 | NV | registeredBrokerDealerReps | | | | o | o | o |
| 5 | 1 | String | isActivelyEngaged | | YES_NO_TYPE | | o | o | o |
| 5 | 2 | String | isPrimaryBusiness | | YES_NO_TYPE | | o | o | o |
| 4 | 3 | NV | commodityPoolOperator | | | | o | o | o |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|--------------------------------|------------|-----------------------------|-----------|----|------|------|
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |
| 4 | 4 | NV | commodityTA | | | | 0 | 0 | 0 |
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |
| 4 | 5 | NV | futuresCommissionMerchant | | | | 0 | 0 | 0 |
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |
| 4 | 6 | NV | majorSwapParticipant | | | | 0 | 0 | 0 |
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |
| 4 | 7 | NV | majorSBSwapParticipant | | | | 0 | 0 | 0 |
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |
| 4 | 8 | NV | swapDealers | | | | 0 | 0 | 0 |
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |
| 4 | 9 | NV | swapDealersSecurityBased | | | | 0 | 0 | 0 |
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |
| 4 | 10 | NV | trustCompany | | | | 0 | 0 | 0 |
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |
| 4 | 11 | NV | realEstate | | | | 0 | 0 | 0 |
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |
| 4 | 12 | NV | insurance | | | | 0 | 0 | 0 |
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |
| 4 | 13 | NV | bankingThrift | | | | 0 | 0 | 0 |
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |
| 4 | 14 | NV | investmentAdvisor | | | | 0 | 0 | 0 |
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |
| 4 | 15 | NV | lawyers | | | | 0 | 0 | 0 |
| 5 | 1 | NV | activelyEngagedPrimaryBusiness | | | | 0 | 0 | 0 |
| 6 | 1 | String | isActivelyEngaged | | YES NO TYPE | | 0 | 0 | 0 |
| 6 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | 0 | 0 | 0 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|---------------------------------------|------------|--|-----------|-----|------|------|
| 5 | 2 | String | licensedJurisdictions | 10000 | | | o | o | o |
| 4 | 16 | NV | accounting | | | | o | o | o |
| 5 | 1 | NV | activelyEngagedPrimaryBusiness | | | | o | o | o |
| 6 | 1 | String | isActivelyEngaged | | YES NO TYPE | | o | o | o |
| 6 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | o | o | o |
| 5 | 2 | String | licensedJurisdictions | 10000 | | | m#1 | m#1 | m#1 |
| 4 | 17 | NV | engineering | | | | o | o | o |
| 5 | 1 | String | isActivelyEngaged | | YES NO TYPE | | o | o | o |
| 5 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | o | o | o |
| 4 | 18 | NV | otherFinancialProductAdvisor | | | | o | o | o |
| 5 | 1 | NV | activelyEngagedPrimaryBusiness | | | | o | o | o |
| 6 | 1 | String | isActivelyEngaged | | YES NO TYPE | | o | o | o |
| 6 | 2 | String | isPrimaryBusiness | | YES NO TYPE | | o | o | o |
| 5 | 2 | String | licensedJurisdictions | 10000 | | | o | o | o |
| 3 | 53 | String | isEngagedInOtherNonMAABusiness | | YES NO TYPE | | NA | NA | NA |
| 3 | 54 | String | otherNonMAABusinessPrimaryDescription | 10000 | | | o | o | o |
| 3 | 55 | NV | fiaAssociatedPersonsTypes | | | | o | o | o |
| 4 | 1 | String | fiaAPTtypes | | FIA ASSOCIATED PERSON TYPE | 20 | o | o | o |
| 3 | 56 | String | totalFIAAssociatedPersons | 10 | | | m#1 | m#1 | m#1 |
| 3 | 57 | NV | fiaAssociatedPersons | | | | NA | NA | NA |
| 4 | 1 | NV | fiaAssociatedPerson | | | unbounded | m#1 | m#1 | m#1 |
| 5 | 1 | NV | type | | | | m#1 | m#1 | m#1 |
| 6 | 1 | String | add | | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | delete | | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | amend | | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | newAdd | | | | m#1 | m#1 | m#1 |
| 5 | 2 | NV | apTypes | | | | m#1 | m#1 | m#1 |
| 6 | 1 | String | fiaAPTtypes | | FIA ASSOCIATED PERSON TYPE | 20 | m#1 | m#1 | m#1 |
| 5 | 3 | String | legalName | 256 | | | m#1 | m#1 | m#1 |
| 5 | 4 | String | primaryBusinessName | 256 | | | m#1 | m#1 | m#1 |
| 5 | 5 | NV | otherMunicipalAdviser | | | | m | m | m |
| 6 | 1 | String | isControlOrControlled | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 6 | 2 | String | isUnderCommonControl | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 6 | 3 | String | isRegisteredWithFFRA | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 6 | 4 | NV | ffraRegistrations | | | | m#1 | m#1 | m#1 |
| 7 | 1 | NV | ffraRegistration | | | 100 | m#1 | m#1 | m#1 |
| 8 | 1 | String | name | | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | registrationNum | | | | o | o | o |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|--|------------|--------------------------------------|-----------|-----|------|------|
| 8 | 3 | String | country | | NON_US_COUNTRY_CODES | | m#1 | m#1 | m#1 |
| 3 | 58 | NV | participationInterestMACT | | | | m#1 | m#1 | m#1 |
| 4 | 1 | String | mactBuySellFromClients | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 2 | String | mactBuySellRecommendToClients | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 3 | String | mactEnterDerivativesWithClients | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 4 | String | mactRecommendOwnedInterestToClients | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 5 | String | mactRecommendToClientsServing | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 6 | String | mactRecommendToClientsHavingOtherSalesInterest | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 7 | String | mactDiscAuthBuySellAsMAA | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 8 | String | mactDiscAuthBuySell | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 9 | String | mactDiscAuthDetermineBrokerDealer | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 10 | String | mactDiscAuthDetermineBrokerDealerAreAP | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 11 | String | mactDiscAuthDetermineCommissionToBrokerDealer | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 12 | String | mactRecommendBrokerDealerToClient | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 13 | String | mactRecommendBrokerDealerToClientAreAP | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 14 | String | mactCompensateForReferrals | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 4 | 15 | String | mactReceiveCompensationForReferrals | | YES_NO_TYPE | | m#1 | m#1 | m#1 |
| 3 | 59 | NV | nonScheduleABCControllingPersons | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | nonScheduleABCControllingPerson | | | 100 | m#1 | m#1 | m#1 |
| 5 | 1 | NV | type | | | | m#1 | m#1 | m#1 |
| 6 | 1 | String | add | | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | delete | | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | amend | | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | newAdd | | | | m#1 | m#1 | m#1 |
| 5 | 2 | NV | nonScheduleABCControlPersonFirm | | | | m#1 | m#1 | m#1 |
| 6 | 1 | String | nameOfFirm | 256 | | | m#1 | m#1 | m#1 |
| 6 | 2 | NV | maAdvisor | | | | m#1 | m#1 | m#1 |
| 7 | 1 | NV | ma | | | | m#1 | m#1 | m#1 |
| 8 | 1 | NV | regInfo | | | | m#1 | m#1 | m#1 |
| 9 | 1 | String | fileNumber | 17 | | | m#1 | m#1 | m#1 |
| 8 | 2 | NV | dateInfo | | | | m#1 | m#1 | m#1 |
| 9 | 1 | String | effectiveDate | 10 | | | m#1 | m#1 | m#1 |
| 9 | 2 | String | terminationDate | 10 | | | o | o | o |
| 7 | 2 | NV | maRegistration | | | | m#1 | m#1 | m#1 |
| 8 | 1 | NV | regInfo | | | | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|-------------------|-----------|-----|------|------|
| 9 | 1 | String | fileNumber | 17 | | | m#1 | m#1 | m#1 |
| 8 | 2 | NV | dateInfo | | | | m#1 | m#1 | m#1 |
| 9 | 1 | String | effectiveDate | 10 | | | m#1 | m#1 | m#1 |
| 9 | 2 | String | terminationDate | 10 | | | o | o | o |
| 6 | 3 | NV | mSecDealer | | | | m#1 | m#1 | m#1 |
| 7 | 1 | NV | regInfo | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | fileNumber | 17 | | | m#1 | m#1 | m#1 |
| 7 | 2 | NV | dateInfo | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | effectiveDate | 10 | | | m#1 | m#1 | m#1 |
| | 82 | String | terminationDate | 10 | | | o | o | o |
| 6 | 4 | NV | brokerDealer | | | | m#1 | m#1 | m#1 |
| 7 | 1 | NV | regInfo | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | fileNumber | 17 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 7 | 2 | NV | dateInfo | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | effectiveDate | 10 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | terminationDate | 10 | | | o | o | o |
| 6 | 5 | NV | investmentAdvisor | | | | m#1 | m#1 | m#1 |
| 7 | 1 | NV | sec | | | | m#1 | m#1 | m#1 |
| 8 | 1 | NV | regInfo | | | | m#1 | m#1 | m#1 |
| 9 | 1 | String | fileNumber | 17 | | | m#1 | m#1 | m#1 |
| 9 | 2 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 8 | 2 | NV | dateInfo | | | | m#1 | m#1 | m#1 |
| 9 | 1 | String | effectiveDate | 10 | | | m#1 | m#1 | m#1 |
| 9 | 2 | String | terminationDate | 10 | | | o | o | o |
| 7 | 2 | NV | state | | | | m#1 | m#1 | m#1 |
| 8 | 1 | NV | regInfo | | | | m#1 | m#1 | m#1 |
| 9 | 1 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 9 | 2 | String | state | | US IAR STATE TYPE | | m#1 | m#1 | m#1 |
| 8 | 2 | NV | dateInfo | | | 53 | m#1 | m#1 | m#1 |
| 9 | 1 | String | effectiveDate | 10 | | | m#1 | m#1 | m#1 |
| 9 | 2 | String | terminationDate | 10 | | | o | o | o |
| 7 | 3 | NV | exemptAdvisor | | | | m#1 | m#1 | m#1 |
| 8 | 1 | NV | regInfo | | | | m#1 | m#1 | m#1 |
| 9 | 1 | String | fileNumber | 17 | | | m#1 | m#1 | m#1 |
| 9 | 2 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 8 | 2 | NV | dateInfo | | | | m#1 | m#1 | m#1 |
| 9 | 1 | String | effectiveDate | 10 | | | m#1 | m#1 | m#1 |
| 9 | 2 | String | terminationDate | 10 | | | o | o | o |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-------------------------------------|------------|-----------------------------|-----------|-----|------|------|
| 6 | 6 | NV | gsBrokerDealer | | | | m#1 | m#1 | m#1 |
| 7 | 1 | NV | regInfo | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | fileNumber | 17 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | bankId | 256 | | | m#1 | m#1 | m#1 |
| 7 | 2 | NV | dateInfo | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | effectiveDate | 10 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | terminationDate | 10 | | | o | o | o |
| 6 | 7 | NV | otherReg | | | | m#1 | m#1 | m#1 |
| 7 | 1 | NV | regInfo | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | description | 256 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | fileNumber | 17 | | | m#1 | m#1 | m#1 |
| 8 | 3 | String | cik | 10 | | | m#1 | m#1 | m#1 |
| 7 | 2 | NV | dateInfo | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | effectiveDate | 10 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | terminationDate | 10 | | | o | o | o |
| 6 | 8 | NV | anotherReg | | | | m#1 | m#1 | m#1 |
| 7 | 1 | NV | regInfo | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | description | 256 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | registrationId | 256 | | | m#1 | m#1 | m#1 |
| 7 | 2 | NV | dateInfo | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | effectiveDate | 10 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | terminationDate | 10 | | | o | o | o |
| 5 | 3 | NV | nonScheduleABCCControlPersonNatural | | | | m#1 | m#1 | m#1 |
| 6 | 1 | NV | name | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | firstName | 50 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | middleName | 30 | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | lastName | 50 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | cik | 10 | | | m#1 | m#1 | m#1 |
| 6 | 3 | String | crd | 9 | | | m#1 | m#1 | m#1 |
| 6 | 4 | NV | dateInfo | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | effectiveDate | 10 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | terminationDate | 10 | | | o | o | o |
| 5 | 4 | String | description | 10000 | | | m#1 | m#1 | m#1 |
| 5 | 5 | NV | contact | | | | m#1 | m#1 | m#1 |
| 6 | 1 | NV | addressInfo | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | residentialAddressFlag | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 7 | 2 | NV | address | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | street1 | 40 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | street2 | 40 | | | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|--------------------------------------|------------|---|-----------|-----|------|------|
| 8 | 3 | String | city | 30 | | | m#1 | m#1 | m#1 |
| 8 | 4 | String | stateOrCountry | | | | m#1 | m#1 | m#1 |
| 8 | 5 | String | zipCode | 10 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | phoneNumber | 20 | | | m#1 | m#1 | m#1 |
| | 63 | String | faxNumber | 20 | | | m#1 | m#1 | m#1 |
| 3 | 60 | NV | section1215DPublicReportingCompanies | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | section1215DPublicReportingCompany | | | 200 | m#1 | m#1 | m#1 |
| 4 | 1 | String | name | 256 | | | m#1 | m#1 | m#1 |
| 4 | 2 | String | cik | 10 | | | m#1 | m#1 | m#1 |
| 4 | 3 | NV | reportingSchedules | | | | m#1 | m#1 | m#1 |
| 5 | 1 | NV | reportingSchedule | | SECTION 12 15D REPORTING SCHEDULE | 5 | m#1 | m#1 | m#1 |
| 3 | 61 | String | miscellaneous | 10000 | | | m#1 | m#1 | m#1 |
| 3 | 62 | NV | disclosureAnswers | | | | NA | NA | NA |
| 4 | 1 | NV | criminalDisclosure | | | | NA | NA | NA |
| 5 | 1 | String | isConvictedOfFelony | | YES NO TYPE | | m | m | m |
| 5 | 2 | String | isChargedWithFelony | | YES NO TYPE | | m | m | m |
| 5 | 3 | String | isOrgConvictedOfFelony | | YES NO TYPE | | m | m | m |
| 5 | 4 | String | isOrgChargedWithFelony | | YES NO TYPE | | m | m | m |
| 4 | 2 | NV | regulatoryDisclosure | | | | NA | NA | NA |
| 5 | 1 | String | isMadeFalseStatement | | YES NO TYPE | | m | m | m |
| 5 | 2 | String | isViolatedRegulation | | YES NO TYPE | | m | m | m |
| 5 | 3 | String | isCauseOfDenial | | YES NO TYPE | | m | m | m |
| 5 | 4 | String | isOrderAgainst | | YES NO TYPE | | m | m | m |
| 5 | 5 | String | isImposedPenalty | | YES NO TYPE | | m | m | m |
| 5 | 6 | String | isUnEthical | | YES NO TYPE | | m | m | m |
| 5 | 7 | String | isFoundInViolationOfRegulation | | YES NO TYPE | | m | m | m |
| 5 | 8 | String | isFoundInCauseOfDenial | | YES NO TYPE | | m | m | m |
| 5 | 9 | String | isOrderAgainstActivity | | YES NO TYPE | | m | m | m |
| 5 | 10 | String | isDeniedLicense | | YES NO TYPE | | m | m | m |
| 5 | 11 | String | isFoundMadeFalseStatement | | YES NO TYPE | | m | m | m |
| 5 | 12 | String | isFoundInViolationOfRules | | YES NO TYPE | | m | m | m |
| 5 | 13 | String | isFoundInCauseOfSuspension | | YES NO TYPE | | m | m | m |
| 5 | 14 | String | isDisciplined | | YES NO TYPE | | m | m | m |
| 5 | 15 | String | isAuthorizedToActAttorney | | YES NO TYPE | | m | m | m |
| 5 | 16 | String | isRegulatoryComplaint | | YES NO TYPE | | m | m | m |
| 4 | 3 | NV | civilDisclosure | | | | NA | NA | NA |
| 5 | 1 | String | isEnjoined | | YES NO TYPE | | m | m | m |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|--|------------|--------------------------------|-----------|-----|------|------|
| 5 | 2 | String | isFoundInViolationOfRegulation | | YES NO TYPE | | m | m | m |
| 5 | 3 | String | isDismissed | | YES NO TYPE | | m | m | m |
| 5 | 4 | String | isNamedInCivilProceeding | | YES NO TYPE | | m | m | m |
| 3 | 63 | String | hasAnnualReceiptsLessThan7Million | | YES NO TYPE | | m | m | m |
| 3 | 64 | String | isAffiliatedWithReceiptsMoreThan7Million | | YES NO TYPE | | m | m | m |
| 3 | 65 | NV | scheduleA | | | | m# | m# | m# |
| 4 | 1 | NV | businesses | | | | m#1 | m#1 | m#1 |
| 5 | 1 | NV | business | | | 200 | o | o | o |
| 6 | 1 | String | name | 256 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | controPersonPR | | YES NO TYPE | | o | o | o |
| 6 | 3 | String | emplIDNumber | 256 | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | deFeNp | | | | o | o | o |
| 7 | 1 | String | de | | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | fe | | | | m#1 | m#1 | m#1 |
| 6 | 5 | String | irsNum | 10 | | | m#1 | m#1 | m#1 |
| 6 | 6 | NV | baseInformation | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | titleStatus | 256 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | statusAcquired | 10 | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | ownershipCode | | OWNERSHIP_CODE | | m#1 | m#1 | m#1 |
| 7 | 4 | String | isControPerson | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 7 | 5 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 7 | 6 | String | foreignBusIdNo | 256 | | | m#1 | m#1 | m#1 |
| 4 | 2 | NV | persons | | | | m#1 | m#1 | m#1 |
| 5 | 1 | NV | person | | | 200 | m#1 | m#1 | m#1 |
| 6 | 1 | NV | name | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | firstName | 50 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | middleName | 30 | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | lastName | 50 | | | m#1 | m#1 | m#1 |
| 6 | 4 | NV | baseInformation | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | titleStatus | 256 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | statusAcquired | 10 | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | ownershipCode | | OWNERSHIP_CODE | | m#1 | m#1 | m#1 |
| 7 | 4 | String | isControPerson | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 7 | 5 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 3 | 66 | NV | scheduleB | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | businesses | | | | NA | NA | NA |
| 5 | 5 | NV | business | | | 200 | NA | NA | NA |
| 6 | 1 | String | owningEntity | 256 | | | m#1 | m#1 | m#1 |
| 6 | 2 | NV | baseInfo | | | | m#1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|--------------------------------|-----------|------------------|------------------|------------------|
| 6 | 1 | String | name | 256 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | controPersonPR | | YES NO TYPE | | o | o | o |
| 6 | 3 | String | empIDNumber | 256 | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | deFeNp | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | de | | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | fe | | | | m#1 | m#1 | m#1 |
| 6 | 5 | String | irsNum | 10 | | | m#1 | m#1 | m#1 |
| 6 | 6 | NV | baseInformation | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | titleStatus | 256 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | statusAcquired | 10 | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | ownershipCode | | OWNERSHIP_CODE | | m#1 | m#1 | m#1 |
| 7 | 4 | String | isControPerson | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 7 | 5 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 7 | 6 | String | foreignBusIdNo | 256 | | | o | o | o |
| 4 | 2 | NV | persons | | | | m#1 | m#1 | m#1 |
| 5 | 1 | NV | person | | | 200 | m#1 | m#1 | m#1 |
| 6 | 1 | String | owningEntity | 256 | | | m#1 | m#1 | m#1 |
| 6 | 2 | NV | baseInfo | | | | m#1 | m#1 | m#1 |
| 6 | 1 | NV | name | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | firstName | 50 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | middleName | 30 | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | lastName | 50 | | | m#1 | m#1 | m#1 |
| 6 | 4 | NV | baseInformation | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | titleStatus | 256 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | statusAcquired | 10 | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | ownershipCode | | OWNERSHIP_CODE | | m#1 | m#1 | m#1 |
| 7 | 4 | String | isControPerson | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 7 | 5 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 3 | 67 | NV | scheduleC | | | | o | o | o |
| 4 | 1 | NV | directBusinesses | | | | m#1 | m#1 | m#1 |
| 5 | 1 | NV | business | | | 200 | m#1 | m#1 | m#1 |
| 6 | 1 | NV | type | | | | m#1 ¹ | m#1 ¹ | m#1 ¹ |
| 7 | 1 | String | add | | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | delete | | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | amend | | | | m#1 | m#1 | m#1 |
| 7 | 4 | String | newAdd | | | | m#1 | m#1 | m#1 |
| 6 | 2 | NV | baseInformation | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | name | 256 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | controPersonPR | | YES NO TYPE | | m#1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|-----------------------|-----------|------------------|------------------|------------------|
| 7 | 3 | String | empIDNumber | 256 | | | m#1 | m#1 | m#1 |
| 7 | 4 | String | deFeNp | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | de | | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | fe | | | | m#1 | m#1 | m#1 |
| 7 | 5 | String | irsNum | 10 | | | m#1 | m#1 | m#1 |
| 7 | 6 | NV | baseInformation | | | | m#1 | m#1 | m#1 |
| 8 | 1 | String | titleStatus | 256 | | | m#1 | m#1 | m#1 |
| 8 | 2 | String | statusAcquired | 10 | | | m#1 | m#1 | m#1 |
| 8 | 3 | String | ownershipCode | | <u>OWNERSHIP_CODE</u> | | m#1 | m#1 | m#1 |
| 8 | 4 | String | isControPerson | | <u>YES_NO_TYPE</u> | | m#1 | m#1 | m#1 |
| 8 | 5 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 8 | 6 | String | foreignBusIdNo | 256 | | | o | o | o |
| 4 | 2 | NV | directPersons | | | | m#1 | m#1 | m#1 |
| 5 | 1 | NV | person | | | 200 | m#1 | m#1 | m#1 |
| 6 | 1 | NV | type | | | | m#1 ¹ | m#1 ¹ | m#1 ¹ |
| 7 | 1 | String | add | | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | delete | | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | amend | | | | m#1 | m#1 | m#1 |
| 7 | 4 | String | newAdd | | | | m#1 | m#1 | m#1 |
| 6 | 2 | NV | baseInformation | | | | m#1 | m#1 | m#1 |
| 6 | 1 | NV | name | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | firstName | 50 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | middleName | 30 | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | lastName | 50 | | | m#1 | m#1 | m#1 |
| 6 | 4 | NV | baseInformation | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | titleStatus | 256 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | statusAcquired | 10 | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | ownershipCode | | <u>OWNERSHIP_CODE</u> | | m#1 | m#1 | m#1 |
| 7 | 4 | String | isControPerson | | <u>YES_NO_TYPE</u> | | m#1 | m#1 | m#1 |
| 7 | 5 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 4 | 3 | NV | indirectBusinesses | | | | o | o | o |
| 5 | 1 | NV | business | | | 200 | o | o | o |
| 6 | 1 | NV | type | | | | m#1 ¹ | m#1 ¹ | m#1 ¹ |
| 7 | 1 | String | add | | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | delete | | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | amend | | | | m#1 | m#1 | m#1 |
| 7 | 4 | String | newAdd | | | | m#1 | m#1 | m#1 |
| 6 | 2 | NV | baseInformation | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | owningEntity | 256 | | | m#1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|--------------------------------|-----------|------------------|------------------|------------------|
| 7 | 2 | NV | baseInfo | | | | m#1 | m#1 | m#1 |
| 6 | 1 | String | name | 256 | | | m#1 | m#1 | m#1 |
| 6 | 2 | String | controPersonPR | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 6 | 3 | String | empIDNumber | 256 | | | m#1 | m#1 | m#1 |
| 6 | 4 | String | deFeNp | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | de | | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | fe | | | | m#1 | m#1 | m#1 |
| 6 | 5 | String | irsNum | 10 | | | m#1 | m#1 | m#1 |
| 6 | 6 | NV | baseInformation | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | titleStatus | 256 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | statusAcquired | 10 | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | ownershipCode | | OWNERSHIP CODE | | m#1 | m#1 | m#1 |
| 7 | 4 | String | isControPerson | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 7 | 5 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 7 | 6 | String | foreignBusIdNo | 256 | | | o | o | o |
| 4 | 4 | NV | indirectPersons | | | | m#1 | m#1 | m#1 |
| 5 | 1 | NV | person | | | 200 | m#1 | m#1 | m#1 |
| 6 | 1 | NV | type | | | | m#1 ¹ | m#1 ¹ | m#1 ¹ |
| 7 | 1 | String | add | | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | delete | | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | amend | | | | m#1 | m#1 | m#1 |
| 7 | 4 | String | newAdd | | | | m#1 | m#1 | m#1 |
| 6 | 2 | NV | baseInformation | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | owningEntity | 256 | | | m#1 | m#1 | m#1 |
| 7 | 2 | NV | baseInfo | | | | m#1 | m#1 | m#1 |
| 6 | 1 | NV | name | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | firstName | 50 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | middleName | 30 | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | lastName | 50 | | | m#1 | m#1 | m#1 |
| 6 | 4 | NV | baseInformation | | | | m#1 | m#1 | m#1 |
| 7 | 1 | String | titleStatus | 256 | | | m#1 | m#1 | m#1 |
| 7 | 2 | String | statusAcquired | 10 | | | m#1 | m#1 | m#1 |
| 7 | 3 | String | ownershipCode | | OWNERSHIP CODE | | m#1 | m#1 | m#1 |
| 7 | 4 | String | isControPerson | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 7 | 5 | String | crdNumber | 9 | | | m#1 | m#1 | m#1 |
| 3 | 68 | NV | drpInfo | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | criminalDisclosure | | | 1 | m#1 | m#1 | m#1 |
| 5 | 1 | NV | criminalDrp | | | 1000 | m#1 | m#1 | m#1 |
| 6 | 1 | NV | headerData | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|---------------------------------|------------|---------------------------------|-----------|-----|------|------|
| 7 | 1 | NV | baseHeader | | | 1 | m#1 | m#1 | m#1 |
| 8 | 1 | NV | type | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | add | | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | String | amend | | | 1 | m#1 | m#1 | m#1 |
| 8 | 2 | String | apDrpFiledCount | 10 | | 1 | m#1 | m#1 | m#1 |
| 8 | 3 | NV | drpFor | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | applicant | | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | String | applicantAndAP | | | 1 | m#1 | m#1 | m#1 |
| 9 | 3 | String | ap | | | 1 | m#1 | m#1 | m#1 |
| 7 | 2 | NV | respondingTo | | | 1 | m#1 | m#1 | m#1 |
| 8 | 1 | String | responseQuestion | | CRIMINAL RESPON DING TO TYPE | 4 | m#1 | m#1 | m#1 |
| 6 | 2 | NV | applicantInfo | | | 1 | m#1 | m#1 | m#1 |
| 7 | 1 | NV | drpInfo | | | 1 | m#1 | m#1 | m#1 |
| 8 | 1 | NV | filedDisclosure | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | NV | advBDU4Filing | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | crdNumber | 9 | | 1 | o | o | o |
| 10 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | NV | maFiling | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | String | drpDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 10 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 | m#1 |
| 9 | 3 | NV | matFiling | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 9 | 4 | NV | maiFiling | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | String | drpDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 10 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 | m#1 |
| 8 | 2 | NV | detailedDisclosure | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | NV | eventDRP | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | event | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | chargesBroughtAgainstControlled | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | NV | chargedControlInfo | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | isEngagedInMARBusiness | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|-----------------------------|-----------|-----|------|------|
| 12 | 3 | String | relationshipToCharged | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | hasFelonyCharges | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | NV | court | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | NV | criminalCourt | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | fedCourt | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | milCourt | | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | stateCourt | | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | String | foreignCourt | | | 1 | m#1 | m#1 | m#1 |
| 13 | 5 | String | intlCourt | | | 1 | m#1 | m#1 | m#1 |
| 13 | 6 | String | other | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | other | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 5 | NV | dateFirstCharged | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 6 | NV | actionAppealedTo | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | NV | appealedTo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | NV | criminalCourt | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | fedCourt | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | milCourt | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | String | stateCourt | | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | foreignCourt | | | 1 | m#1 | m#1 | m#1 |
| 14 | 5 | String | intlCourt | | | 1 | m#1 | m#1 | m#1 |
| 14 | 6 | String | other | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | other | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | appealedToCourtName | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 7 | NV | statusDateInfo | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 8 | NV | baseInformation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | NV | chargesBroughtIn | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-----------------------------|------------|------------------------------------|-----------|-----|------|------|
| 13 | 3 | NV | address | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | street2 | 40 | | 1 | o | o | o |
| 14 | 3 | String | city | 30 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 | m#1 |
| 14 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | NV | status | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | pending | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | onAppeal | | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | final | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | NV | charges | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | charge | | | 100 | m#1 | m#1 | m#1 |
| 12 | 1 | NV | baseInformation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | charge | 10000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | numberOfCounts | 10 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | NV | felonyOrMisdemeanor | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | felony | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | misdemeanor | | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | String | plea | 1000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 5 | String | productType | 1000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 6 | String | investmentProductType | 1000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 7 | String | amendedReducedDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | NV | dispositionDisclosureDetail | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | NV | dispositionType | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | type | | DISPOSITION_TYPES | 13 | m#1 | m#1 | m#1 |
| 14 | 2 | String | appealType | | APPEAL_TYPES | 4 | m#1 | m#1 | m#1 |
| 14 | 3 | String | explanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | otherDisp | 256 | | 1 | m#1 | m#1 | m#1 |
| 14 | 5 | String | otherAppeal | 256 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | date | 3000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | sentencePenaltyType | 3000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | NV | incarcerationInfo | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | NV | duration | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | NV | startDate | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-------------------------|------------|-------------|-----------|-----|------|------|
| 15 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | notDetermined | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | endDate | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | notDetermined | | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | concurrentEndDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 5 | String | explanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 5 | NV | monetaryPenalty | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | Decimal | totalFine | 16 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | Decimal | reducedAmount | 16 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | paidStatus | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | paidInFullDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | NV | notPaidInfo | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | Decimal | amountUNPAID | 16 | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | explanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | Decimal | finalAmount | 16 | | 1 | m#1 | m#1 | m#1 |
| 7 | 2 | NV | drpRemoveReason | | | 1 | m#1 | m#1 | m#1 |
| 8 | 1 | String | isRegistered | | | 1 | m#1 | m#1 | m#1 |
| 8 | 2 | NV | isFiledError | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | explainTheCircumstances | 1000 | | 1 | m#1 | m#1 | m#1 |
| 8 | 3 | NV | isOlderThan10Years | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | explainTheCircumstances | 1000 | | 1 | m#1 | m#1 | m#1 |
| 6 | 3 | NV | apInfo | | | 1 | m#1 | m#1 | m#1 |
| 7 | 1 | NV | associatedPerson | | | 500 | m#1 | m#1 | m#1 |
| 8 | 1 | NV | apType | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | firmInfo | 256 | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | NV | naturalPersonInfo | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | firstName | 50 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | middleName | 30 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | String | lastName | 50 | | 1 | m#1 | m#1 | m#1 |
| 10 | 4 | String | suffix | 10 | | 1 | o | o | o |
| 8 | 2 | NV | registrationInfo | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | isSECRegistered | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | String | secRegistrationNumber | 150 | | 1 | m#1 | m#1 | m#1 |
| 9 | 3 | String | crdNumber | 9 | | 1 | o | o | o |
| 8 | 3 | NV | drpRemovalInformation | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | apNotAssociated | | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | String | eventResolved | | | 1 | m#1 | m#1 | m#1 |
| 9 | 3 | String | eventOccurTenYearsAgo | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|---------------------------------|------------|-----------------------------|-----------|-----|------|------|
| 9 | 4 | NV | isFiledError | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | explainTheCircumstances | 1000 | | 1 | m#1 | m#1 | m#1 |
| 9 | 5 | NV | isORDERTHAN10YEARS | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | explainTheCircumstances | 1000 | | 1 | m#1 | m#1 | m#1 |
| 8 | 4 | NV | drpInfo | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | NV | filedDisclosure | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | advBDU4Filing | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | crdNumber | 9 | | 1 | o | o | o |
| 11 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | NV | maFiling | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | drpDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | NV | matFiling | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 10 | 4 | NV | maiFiling | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | drpDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | NV | detailedDisclosure | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | eventDRP | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | event | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | chargesBroughtAgainstControlled | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | NV | chargedControllInfo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | isEngagedInMARBusiness | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | relationshipToCharged | 10000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | hasFelonyCharges | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 12 | 4 | NV | court | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | NV | criminalCourt | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | fedCourt | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | milCourt | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | String | stateCourt | | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | foreignCourt | | | 1 | m#1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|------------------------------------|-----------|-----|------|------|
| 14 | 5 | String | intnlCourt | | | 1 | m#1 | m#1 | m#1 |
| 14 | 6 | String | other | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | other | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 5 | NV | dateFirstCharged | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 6 | NV | actionAppealedTo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | NV | appealedTo | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | criminalCourt | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | fedCourt | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | milCourt | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | String | stateCourt | | | 1 | m#1 | m#1 | m#1 |
| 15 | 4 | String | foreignCourt | | | 1 | m#1 | m#1 | m#1 |
| 15 | 5 | String | intnlCourt | | | 1 | m#1 | m#1 | m#1 |
| 15 | 6 | String | other | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | other | 256 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | appealedToCourtName | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 7 | NV | statusDateInfo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 8 | NV | baseInformation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | NV | chargesBroughtIn | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | address | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | street2 | 40 | | 1 | o | o | o |
| 15 | 3 | String | city | 30 | | 1 | m#1 | m#1 | m#1 |
| 15 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 | m#1 |
| 15 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | NV | status | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | pending | | | 1 | m#1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-----------------------------|------------|-----------------------------------|-----------|-----|------|------|
| 14 | 2 | String | onAppeal | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | String | final | | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | NV | charges | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | NV | charge | | | 100 | m#1 | m#1 | m#1 |
| 13 | 1 | NV | baseInformation | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | charge | 10000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | numberOfCounts | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | felonyOrMisdemeanor | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | felony | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | misdemeanor | | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | plea | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 5 | String | productType | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 6 | String | investmentProductType | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 7 | String | amendedReducedDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | NV | dispositionDisclosureDetail | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | NV | dispositionType | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | type | | DISPOSITION TYPES | 13 | m#1 | m#1 | m#1 |
| 15 | 2 | String | appealType | | APPEAL TYPES | 4 | m#1 | m#1 | m#1 |
| 15 | 3 | String | explanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 15 | 4 | String | otherDisp | 256 | | 1 | m#1 | m#1 | m#1 |
| 15 | 5 | String | otherAppeal | 256 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | date | 3000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | String | sentencePenaltyType | 3000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | NV | incarcerationInfo | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | NV | duration | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | NV | startDate | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | notDetermined | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | endDate | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | notDetermined | | | 1 | m#1 | m#1 | m#1 |
| 15 | 4 | String | concurrentEndDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 15 | 5 | String | explanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 5 | NV | monetaryPenalty | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | Decimal | totalFine | 16 | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|-------------------------------|-----------|-----|------|------|
| 15 | 2 | Decimal | reducedAmount | 16 | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | paidStatus | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | paidInFullDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | NV | notPaidInfo | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | Decimal | amountUNPAID | 16 | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | explanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 15 | 4 | Decimal | finalAmount | 16 | | 1 | m#1 | m#1 | m#1 |
| 4 | 2 | NV | regulatoryDisclosure | | | 1 | m#1 | m#1 | m#1 |
| 5 | 1 | NV | regulatoryDrp | | | 1000 | m#1 | m#1 | m#1 |
| 6 | 1 | NV | headerData | | | 1 | m#1 | m#1 | m#1 |
| 7 | 1 | NV | baseHeader | | | 1 | m#1 | m#1 | m#1 |
| 8 | 1 | NV | type | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | add | | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | String | amend | | | 1 | m#1 | m#1 | m#1 |
| 8 | 2 | String | apDrpFiledCount | 10 | | 1 | m#1 | m#1 | m#1 |
| 8 | 3 | NV | drpFor | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | applicant | | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | String | applicantAndAP | | | 1 | m#1 | m#1 | m#1 |
| 9 | 3 | String | ap | | | 1 | m#1 | m#1 | m#1 |
| 7 | 2 | NV | respondingTo | | | 1 | m#1 | m#1 | m#1 |
| 8 | 1 | String | responseQuestion | | REGULATORY RESPONDING TO TYPE | 16 | m#1 | m#1 | m#1 |
| 6 | 2 | NV | applicantInfo | | | 1 | m#1 | m#1 | m#1 |
| 7 | 1 | NV | drpInfo | | | 1 | m#1 | m#1 | m#1 |
| 8 | 1 | NV | filedDisclosure | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | NV | advBDU4Filing | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | crdNumber | 9 | | 1 | o | o | o |
| 10 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | NV | maFiling | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | String | drpDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 10 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 | m#1 |
| 9 | 3 | NV | matFiling | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 9 | 4 | NV | maiFiling | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|------------------------------------|-----------|-----|------|------|
| 10 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | String | drpDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | String | accessionNumber | 20 | | 1 | m#1 | m#1 | m#1 |
| 8 | 2 | NV | detailedDisclosure | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | NV | initiatedDRP | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | baseInformation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | chargesBroughtIn | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | address | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | street2 | 40 | | 1 | o | o | o |
| 13 | 3 | String | city | 30 | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 | m#1 |
| 13 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | NV | status | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | pending | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | onAppeal | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | final | | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | NV | statusDateInfo | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | NV | dateInitiated | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 4 | NV | initiatedBy | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | initiator | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | sec | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | otherFederalAuthority | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | state | | | 1 | m#1 | m#1 | m#1 |
| 12 | 4 | String | sro | | | 1 | m#1 | m#1 | m#1 |
| 12 | 5 | String | foreignFRA | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|----------------------------|------------|--|-----------|-----|------|------|
| 12 | 6 | String | cftc | | | 1 | m#1 | m#1 | m#1 |
| 12 | 7 | String | federalBankingAgency | | | 1 | m#1 | m#1 | m#1 |
| 12 | 8 | String | nationalCUAdmin | | | 1 | m#1 | m#1 | m#1 |
| 12 | 9 | String | other | | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | other | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 5 | NV | sanctionsSought | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | sanction | | SANCTION BASE TYPE, PRINCIPAL SANCTION RELIEF BASE | 18 | m#1 | m#1 | m#1 |
| 11 | 2 | String | otherSanctions | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 6 | NV | principalProductTypes | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | product | | PRINCIPAL PRODUCT OPTION TYPE, PRINCIPAL PRODUCT TYPE EXTENDED | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | productOther | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 7 | String | otherProductTypes | 1000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 8 | String | allegationsDescription | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 9 | NV | pendingInformation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | servedInformation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | limitationsRestrictions | 1000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 10 | NV | appealInformation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | appealBroughtInInformation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | address | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | street2 | 40 | | 1 | o | o | o |
| 13 | 3 | String | city | 30 | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | String | stateOrCountry | | STATE COUNTRY CODE | 1 | m#1 | m#1 | m#1 |
| 13 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | docketName | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | dateInformation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-------------------------|------------|--|-----------|-----|------|------|
| 12 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | String | details | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 5 | String | limitationsRestrictions | 1000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 11 | NV | resolutionInformation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | date | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | NV | types | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | judgement | | REGULATORY RESOLUTION TYPE | 12 | m#1 | m#1 | m#1 |
| 12 | 2 | String | judgementOther | 3000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | appealJudgement | | APPEAL TYPES, APPEAL EXTENDED TYPE | 5 | m#1 | m#1 | m#1 |
| 12 | 4 | String | appealJudgementOther | 1000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 5 | String | explanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 6 | String | isFinalOrder | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | details | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | sanctionsOrdered | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | NV | sanctions | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | sanction | | SANCTION BASE TYPE, PRINCIPAL SANCTION RELIEF BASE | 18 | m#1 | m#1 | m#1 |
| 13 | 2 | String | otherSanctions | 10000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | sanctionDetails | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | NV | barred | | | unbounded | m#1 | m#1 | m#1 |
| 14 | 1 | NV | duration | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | NV | durationType | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | NV | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 18 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 18 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|-------------|-----------|-----|------|------|
| 18 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | NV | startDate | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | endDate | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | description | 10000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | NV | enjoined | | | unbounded | m#1 | m#1 | m#1 |
| 14 | 1 | NV | duration | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | NV | durationType | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | NV | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 18 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 18 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 18 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | NV | startDate | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | endDate | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | description | 10000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | NV | suspended | | | unbounded | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|---------------------------|------------|-----------------------------|-----------|-----|------|------|
| 14 | 1 | NV | duration | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | NV | durationType | | | 1 | NA | NA | NA |
| 16 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | NV | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 18 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 18 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 18 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | NV | startDate | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | endDate | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | description | 10000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | String | isReqaulificationRequired | | YES_NO_TYPE | 1 | m#1 | m#1 | m#1 |
| 13 | 5 | NV | requailificationDetails | | | unbounded | m#1 | m#1 | m#1 |
| 14 | 1 | NV | timeToReqaulifyRetrain | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | NV | durationType | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | NV | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 18 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 18 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 18 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | typeRequired | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | conditionState | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | satisfied | 10 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | notSatisfied | 10000 | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-------------------------|------------|-------------|-----------|-----|------|------|
| 13 | 6 | NV | monetarySanctions | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | Decimal | amountOrdered | 16 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | Decimal | waivedPortion | 16 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | Decimal | finalAmount | 18 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | NV | paymentState | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | satisfied | 10 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | notSatisfied | 3000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 4 | Decimal | totalAmountOrdered | 16 | | 1 | m#1 | m#1 | m#1 |
| 7 | 2 | NV | drpRemoveReason | | | 1 | m#1 | m#1 | m#1 |
| 8 | 1 | String | isRegistered | | | 1 | m#1 | m#1 | m#1 |
| 8 | 2 | NV | isFiledError | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | explainTheCircumstances | 10000 | | 1 | m#1 | m#1 | m#1 |
| 6 | 3 | NV | apInfo | | | 1 | m#1 | m#1 | m#1 |
| 7 | 1 | NV | associatedPerson | | | 500 | m#1 | m#1 | m#1 |
| 8 | 1 | NV | apType | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | firmInfo | 256 | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | NV | naturalPersonInfo | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | firstName | 50 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | middleName | 30 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | String | lastName | 50 | | 1 | m#1 | m#1 | m#1 |
| 10 | 4 | String | suffix | 10 | | 1 | m#1 | m#1 | m#1 |
| 8 | 2 | NV | registrationInfo | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | isSECRRegistered | | YES_NO_TYPE | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | String | secRegistrationNumber | 150 | | 1 | m#1 | m#1 | m#1 |
| 9 | 3 | String | crdNumber | 9 | | 1 | o | o | o |
| 8 | 3 | NV | drpRemovalInformation | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | apNotAssociated | | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | String | eventResolved | | | 1 | m#1 | m#1 | m#1 |
| 9 | 3 | NV | isFiledError | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | explainTheCircumstances | 10000 | | 1 | m#1 | m#1 | m#1 |
| 8 | 4 | NV | drpInfo | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | NV | filedDisclosure | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | advBDU4Filing | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | crdNumber | 9 | | 1 | o | o | o |
| 11 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | NV | maFiling | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|------------------------------------|-----------|-----|------|------|
| 11 | 3 | String | drpDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | NV | matFiling | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 10 | 4 | NV | maiFiling | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | drpDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | NV | detailedDisclosure | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | initiatedDRP | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | baseInformation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | NV | chargesBroughtIn | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | NV | address | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | street2 | 40 | | 1 | o | o | o |
| 14 | 3 | String | city | 30 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 | m#1 |
| 14 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | NV | status | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | pending | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | onAppeal | | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | final | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | NV | statusDateInfo | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | dateInitiated | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|----------------------------|------------|--|-----------|-----|------|------|
| 13 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | NV | initiatedBy | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | NV | initiator | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | sec | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | otherFederalAuthority | | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | state | | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | String | sro | | | 1 | m#1 | m#1 | m#1 |
| 13 | 5 | String | foreignFRA | | | 1 | m#1 | m#1 | m#1 |
| 13 | 6 | String | cftc | | | 1 | m#1 | m#1 | m#1 |
| 13 | 7 | String | federalBankingAgency | | | 1 | m#1 | m#1 | m#1 |
| 13 | 8 | String | nationalCUAdmin | | | 1 | m#1 | m#1 | m#1 |
| 13 | 9 | String | other | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | other | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 5 | NV | sanctionsSought | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | | sanction | | SANCTION BASE TYPE, PRINCIPAL SANCTION RELIEF BASE | 18 | m#1 | m#1 | m#1 |
| 12 | 2 | String | otherSanctions | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 6 | NV | principalProductTypes | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | product | | PRINCIPAL PRODUCT OPTION TYPE, PRINCIPAL PRODUCT TYPE EXTENDED | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | productOther | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 7 | String | otherProductTypes | 1000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 8 | String | allegationsDescription | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 9 | NV | pendingInformation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | NV | servedInformation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | limitationsRestrictions | 1000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 10 | NV | appealInformation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | NV | appealBroughtInInformation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | NV | address | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-------------------------|------------|--|-----------|-----|------|------|
| 14 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | street2 | 40 | | 1 | o | o | o |
| 14 | 3 | String | city | 30 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 | m#1 |
| 14 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | docketName | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | dateInformation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 4 | String | details | 10000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 5 | String | limitationsRestrictions | 1000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 11 | NV | resolutionInformation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | NV | date | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | NV | types | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | judgement | | REGULATORY RESOLUTION TYPE | 12 | m#1 | m#1 | m#1 |
| 13 | 2 | String | judgementOther | 3000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | appealJudgement | | APPEAL TYPES, APPEAL EXTENDED TYPE | 5 | m#1 | m#1 | m#1 |
| 13 | 4 | String | appealJudgementOther | 1000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 5 | String | explanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 6 | String | isFinalOrder | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | details | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | sanctionsOrdered | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | NV | sanctions | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | sanction | | SANCTION BASE TYPE, PRINCIPAL SANCTION RELIEF BASE | 18 | m#1 | m#1 | m#1 |
| 14 | 2 | String | otherSanctions | 10000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | NV | sanctionDetails | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | NV | barred | | | unbounded | m#1 | m#1 | m#1 |
| 15 | 1 | NV | duration | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|-------------|-----------|-----|------|------|
| 16 | 1 | NV | durationType | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 17 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 18 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 18 | 2 | NV | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 19 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 19 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 19 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | NV | startDate | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | endDate | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 15 | 4 | String | description | 10000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | NV | enjoined | | | unbounded | m#1 | m#1 | m#1 |
| 15 | 1 | NV | duration | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | NV | durationType | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 17 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 18 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 18 | 2 | NV | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 19 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 19 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 19 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | NV | startDate | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|---------------------------|------------|-----------------------------|-----------|-----|------|------|
| 15 | 3 | NV | endDate | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | description | 10000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | suspended | | | unbounded | m#1 | m#1 | m#1 |
| 15 | 1 | NV | duration | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | NV | durationType | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 17 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 18 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 18 | 2 | NV | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 19 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 19 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 19 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | NV | startDate | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | endDate | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 15 | 4 | String | description | 10000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | isRequalificationRequired | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 14 | 5 | NV | requalificationDetails | | | undounded | NA | NA | NA |
| 15 | 1 | NV | timeToRequalifyRetrain | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | NV | durationType | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 17 | 3 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 18 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-------------------------|------------|-----------------------------------|-----------|-----|------|------|
| 18 | 2 | NV | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 19 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 19 | 2 | String | month | | | 1 | m#1 | m#1 | m#1 |
| 19 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | typeRequired | 1000 | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | conditionState | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | satisfied | 10 | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | notSatisfied | 10000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 6 | NV | monetarySanctions | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | Decimal | amountOrdered | 16 | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | Decimal | waivedPortion | 16 | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | Decimal | finalAmount | 18 | | 1 | m#1 | m#1 | m#1 |
| 15 | 4 | NV | paymentState | | | 1 | NA | NA | NA |
| 16 | 1 | String | satisfied | 10 | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | notSatisfied | 3000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | Decimal | totalAmountOrdered | 16 | | 1 | m#1 | m#1 | m#1 |
| 4 | 3 | NV | civilJudicialDisclosure | | | 1 | NA | NA | NA |
| 5 | 1 | NV | civilJudicialDrp | | | 1000 | NA | NA | NA |
| 6 | 1 | NV | headerData | | | 1 | NA | NA | NA |
| 7 | 1 | NV | baseHeader | | | 1 | NA | NA | NA |
| 8 | 1 | NV | type | | | 1 | NA | NA | NA |
| 9 | 1 | String | add | | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | String | amend | | | 1 | m#1 | m#1 | m#1 |
| 8 | 2 | String | apDrpFiledCount | 10 | | 1 | m#1 | m#1 | m#1 |
| 8 | 3 | NV | drpFor | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | applicant | | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | String | applicantAndAP | | | 1 | m#1 | m#1 | m#1 |
| 9 | 3 | String | ap | | | 1 | m#1 | m#1 | m#1 |
| 7 | 2 | NV | respondingTo | | | 1 | m#1 | m#1 | m#1 |
| 8 | 1 | String | responseQuestion | | CIVIL JUDICIAL RESPONDING TO TYPE | 1 | m#1 | m#1 | m#1 |
| 6 | 2 | NV | applicantInfo | | | 1 | m#1 | m#1 | m#1 |
| 7 | 1 | NV | drpInfo | | | 1 | m#1 | m#1 | m#1 |
| 8 | 1 | NV | filedDisclosre | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | advBDU4Filing | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | crdNumber | 9 | | 1 | o | o | o |
| 11 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | NV | maFiling | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|---|-----------|-----|------|------|
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | drpDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | NV | matFiling | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 10 | 4 | NV | maiFiling | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | drpDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 | m#1 |
| 8 | 2 | NV | detailedDisclosure | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | NV | baseInformation | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | chargesBroughtIn | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | address | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | street2 | 40 | | 1 | o | o | o |
| 12 | 3 | String | city | 30 | | 1 | m#1 | m#1 | m#1 |
| 12 | 4 | String | stateOrCountry | | STATE COUNTRY CODE | 1 | m#1 | m#1 | m#1 |
| 12 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | NV | status | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | pending | | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | onAppeal | | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | final | | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | NV | statusDateInfo | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 9 | 3 | NV | initiatedBy | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | initiator | | CIVIL JUDICIAL ACTION INITIATED BY TYPE | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | other | 256 | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-------------------------------|------------|--|-----------|-----|------|------|
| 9 | 4 | NV | plaintiffsInformation | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | plaintiffName | 3000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | isMissingPlantiffs | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 9 | 5 | NV | defendantInformation | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | defendantName | 1000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | isADefendant | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | String | involvementInformation | 256 | | 1 | m#1 | m#1 | m#1 |
| 9 | 6 | NV | sanctionsReliefSought | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | sanctionRelief | | , | 21 | m#1 | m#1 | m#1 |
| 11 | 1 | String | SANCTION_TYPE | | SANCTION BASE TYPE, PRINCIPAL SANCTION RELIEF BASE | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | CIVIL_JUDICIAL_SANCTIONS_TYPE | | CIVIL JUDICIAL SANCTIONS TYPE | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | other | 10000 | | 1 | m#1 | m#1 | m#1 |
| 9 | 7 | NV | notificationServedInformation | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 9 | 8 | NV | courtBroughtIn | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | civilJudicialCourt | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | fedCourt | | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | milCourt | | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | stateCourt | | | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | String | foreignCourt | | | 1 | m#1 | m#1 | m#1 |
| 11 | 5 | String | intlCourt | | | 1 | m#1 | m#1 | m#1 |
| 11 | 6 | String | other | | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | other | 256 | | 1 | m#1 | m#1 | m#1 |
| 9 | 9 | NV | principalProductTypes | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | product | | PRINCIPAL PRODUCT OPTION TYPE, PRINCIPAL PRODUCT TYPE EXTENDED | 35 | m#1 | m#1 | m#1 |
| 10 | 2 | String | productOther | 256 | | 1 | m#1 | m#1 | m#1 |
| 9 | 10 | String | otherProductTypes | 1000 | | 1 | m#1 | m#1 | m#1 |
| 9 | 11 | String | allegationsDescription | 10000 | | 1 | m#1 | m#1 | m#1 |
| 9 | 12 | NV | pendingInformation | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | servedInformation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|----------------------------|------------|--|-----------|-----|------|------|
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | limitationsRestrictions | 3000 | | 1 | m#1 | m#1 | m#1 |
| 9 | 13 | NV | appealInformation | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | appealBroughtInInformation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | address | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | street2 | 40 | | 1 | o | o | o |
| 12 | 3 | String | city | 30 | | 1 | m#1 | m#1 | m#1 |
| 12 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 | m#1 |
| 12 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | docketName | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | NV | dateInformation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 4 | String | details | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 5 | String | limitationsRestrictions | 1000 | | 1 | m#1 | m#1 | m#1 |
| 9 | 14 | NV | resolutionInformation | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | date | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | NV | types | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | judgement | | REGULATORY RESOLUTION TYPE, CIVIL JUDICIAL RESOLUTION TYPE | 12 | m#1 | m#1 | m#1 |
| 11 | 2 | String | judgementOther | 1000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | appealJudgement | | APPEAL TYPES, APPEAL EXTENDED TYPE | 5 | m#1 | m#1 | m#1 |
| 11 | 4 | String | appealJudgementOther | 1000 | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-------------------------------|------------|---|-----------|-----|------|------|
| 11 | 5 | String | explanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 6 | String | isFinalOrder | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | NV | details | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | sanctionsOrdered | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | NV | sanctions | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | sanctionRelief | | , | 21 | m#1 | m#1 | m#1 |
| 13 | 1 | String | SANCTION_TYPE | | SANCTION BASE TYPE, PRINCIPAL SANCTION RELIEF BASE | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | CIVIL_JUDICIAL_SANCTIONS_TYPE | | CIVIL JUDICIAL SANCTIONS TYPE | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | other | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | sanctionDetails | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | NV | barred | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | NV | duration | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | durationType | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 17 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | startDate | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | endDate | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | String | description | 10000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | NV | enjoined | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | NV | duration | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | durationType | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|-------------|-----------|-----|------|------|
| 15 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 17 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | startDate | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | endDate | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | String | description | 10000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | suspended | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | NV | duration | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | durationType | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 17 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | startDate | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | endDate | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|---------------------------|------------|-----------------------------|-----------|-----|------|------|
| 14 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | String | description | 10000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 4 | String | isRequalificationRequired | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 12 | 5 | NV | requalificationDetails | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | NV | timeToRequalifyRetrain | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | NV | durationType | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 15 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | NV | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 17 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | typeRequired | 1000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | NV | conditionState | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | satisfied | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | notSatisfied | 10000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 6 | NV | monetarySanctions | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | Decimal | amountOrdered | 16 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | Decimal | waivedPortion | 16 | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | Decimal | finalAmount | 18 | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | NV | paymentState | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | satisfied | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | notSatisfied | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | Decimal | totalAmountOrdered | 16 | | 1 | m#1 | m#1 | m#1 |
| 7 | 2 | NV | drpRemoveReason | | | 1 | m#1 | m#1 | m#1 |
| 8 | 1 | String | isRegistered | | | 1 | m#1 | m#1 | m#1 |
| 8 | 2 | NV | isFiledError | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | explainTheCircumstances | 1000 | | 1 | m#1 | m#1 | m#1 |
| 8 | 3 | NV | isOlderThan10Years | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | explainTheCircumstances | 1000 | | 1 | m#1 | m#1 | m#1 |
| 6 | 3 | NV | apInfo | | | 1 | m#1 | m#1 | m#1 |
| 7 | 1 | NV | associatedPerson | | | 500 | NA | NA | NA |
| 8 | 1 | NV | apType | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-------------------------|------------|-------------|-----------|-----|------|------|
| 9 | 1 | String | firmInfo | 256 | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | NV | naturalPersonInfo | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | firstName | 50 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | String | middleName | 30 | | 1 | o | o | o |
| 10 | 3 | String | lastName | 50 | | 1 | m#1 | m#1 | m#1 |
| 10 | 4 | String | suffix | 10 | | 1 | o | o | o |
| 8 | 2 | NV | registrationInfo | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | isSECRegistered | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | String | secRegistrationNumber | 150 | | 1 | m#1 | m#1 | m#1 |
| 9 | 3 | String | crdNumber | 9 | | 1 | o | o | o |
| 8 | 3 | NV | drpRemovalInformation | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | String | apNotAssociated | | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | String | eventResolved | | | 1 | m#1 | m#1 | m#1 |
| 9 | 3 | String | eventOccurTenYearsAgo | | | 1 | m#1 | m#1 | m#1 |
| 9 | 4 | NV | isFiledError | | | 1 | m#1 | m#1 | m#1 |
| 9 | 5 | String | isORDERTHAN10YEARS | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | String | explainTheCircumstances | 10000 | | 1 | m#1 | m#1 | m#1 |
| 8 | 4 | NV | drpInfo | | | 1 | m#1 | m#1 | m#1 |
| 9 | 1 | NV | filedDisclose | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | advBDU4Filing | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | crdNumber | 9 | | 1 | o | o | o |
| 12 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | NV | maFiling | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | drpDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | matFiling | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | NV | maiFiling | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | regNumber | 17 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | drpDate | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 | m#1 |
| 9 | 2 | NV | detailedDisclosure | | | 1 | m#1 | m#1 | m#1 |
| 10 | 1 | NV | baseInformation | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-------------------------------|------------|--|-----------|-----|------|------|
| 11 | 1 | NV | chargesBroughtIn | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | address | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | street2 | 40 | | 1 | o | o | o |
| 13 | 3 | String | city | 30 | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | String | stateOrCountry | | STATE COUNTRY CODE | 1 | m#1 | m#1 | m#1 |
| 13 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | NV | status | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | pending | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | onAppeal | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | final | | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 2 | NV | statusDateInfo | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 3 | NV | initiatedBy | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | initiator | | CIVIL JUDICIAL ACTION INITIATED BY TYPE | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | other | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 4 | NV | plaintiffsInformation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | plaintiffName | 3000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | isMissingPlantiffs | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 10 | 5 | NV | defendantInformation | | | 1 | NA | NA | NA |
| 11 | 1 | String | defendantName | 1000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | isADefendant | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | String | involvementInformation | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 6 | NV | sanctionsReliefSought | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | sanctionRelief | | , | 21 | m#1 | m#1 | m#1 |
| 12 | 1 | String | SANCTION_TYPE | | SANCTION BASE TYPE, PRINCIPAL SANCTION RELIEF BASE | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | CIVIL_JUDICIAL_SANCTIONS_TYPE | | CIVIL JUDICIAL SANCTIONS TYPE | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | other | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 7 | NV | notificationServedInformation | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|----------------------------|------------|--|-----------|-----|------|------|
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 8 | NV | courtBroughtIn | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | civilJudicialCourt | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | fedCourt | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | milCourt | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | stateCourt | | | 1 | m#1 | m#1 | m#1 |
| 12 | 4 | String | foreignCourt | | | 1 | m#1 | m#1 | m#1 |
| 12 | 5 | String | intlCourt | | | 1 | m#1 | m#1 | m#1 |
| 12 | 6 | String | other | | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | other | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 9 | NV | principalProductTypes | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | product | | PRINCIPAL_PRODUCT_OPTION_TYPE, PRINCIPAL_PRODUCT_TYPE_EXTENDED | 35 | m#1 | m#1 | m#1 |
| 11 | 2 | String | productOther | 256 | | 1 | m#1 | m#1 | m#1 |
| 10 | 10 | String | otherProductTypes | 1000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 11 | String | allegationsDescription | 10000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 12 | NV | pendingInformation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | servedInformation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | limitationsRestrictions | 3000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 13 | NV | appealInformation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | appealBroughtInInformation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | name | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | address | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | street2 | 40 | | 1 | o | o | o |
| 13 | 3 | String | city | 30 | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|-------------------------------|------------|--|-----------|-----|------|------|
| 13 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | docketName | 256 | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | dateInformation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 4 | String | details | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 5 | String | limitationsRestrictions | 1000 | | 1 | m#1 | m#1 | m#1 |
| 10 | 14 | NV | resolutionInformation | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | NV | date | | | 1 | m#1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 11 | 2 | NV | types | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | judgement | | REGULATORY RESOLUTION TYPE, CIVIL JUDICIAL RESOLUTION TYPE | 12 | m#1 | m#1 | m#1 |
| 12 | 2 | String | judgementOther | 1000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | String | appealJudgement | | APPEAL TYPES, APPEAL EXTENDED TYPE | 5 | m#1 | m#1 | m#1 |
| 12 | 4 | String | appealJudgementOther | 1000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 5 | String | explanation | 10000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 6 | String | isFinalOrder | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 11 | 3 | NV | details | | | 1 | m#1 | m#1 | m#1 |
| 12 | 1 | String | sanctionsOrdered | | YES NO TYPE | 1 | m#1 | m#1 | m#1 |
| 12 | 2 | NV | sanctions | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | sanctionRelief | | , | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | NV | SANCTION_TYPE | | SANCTION BASE TYPE, PRINCIPAL SANCTION RELIEF BASE | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | CIVIL_JUDICIAL_SANCTIONS_TYPE | | CIVIL JUDICIAL SANCTIONS TYPE | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | other | 10000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 3 | NV | sanctionDetails | | | 1 | m#1 | m#1 | m#1 |
| 13 | 1 | String | barred | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | duration | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|-------------|-----------|-----|------|------|
| 15 | 1 | String | durationType | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | NV | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 18 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 18 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 18 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | startDate | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | String | endDate | | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | description | | | 1 | m#1 | m#1 | m#1 |
| 13 | 2 | String | enjoined | | | unbounded | m#1 | m#1 | m#1 |
| 14 | 1 | String | duration | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | durationType | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 18 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 18 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 18 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | startDate | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | String | endDate | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|---------------------------|------------|-----------------------------|-----------|-----|------|------|
| 15 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | description | | | 1 | m#1 | m#1 | m#1 |
| 13 | 3 | String | suspended | | | unbounded | m#1 | m#1 | m#1 |
| 14 | 1 | String | duration | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | durationType | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | String | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 18 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 18 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 18 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | startDate | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | String | endDate | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | String | date | 10 | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | exact | | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | explanation | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | String | description | | | 1 | m#1 | m#1 | m#1 |
| 13 | 4 | String | isReqaulificationRequired | | YES_NO_TYPE | 1 | m#1 | m#1 | m#1 |
| 13 | 5 | String | requailificationDetails | | | unbounded | m#1 | m#1 | m#1 |
| 14 | 1 | String | timeToReqaulifyRetrain | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | durationType | | | 1 | m#1 | m#1 | m#1 |
| 16 | 1 | String | permanent | | | 1 | m#1 | m#1 | m#1 |
| 16 | 2 | String | noTimeSpecified | | | 1 | m#1 | m#1 | m#1 |
| 16 | 3 | NV | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 1 | String | limited | | | 1 | m#1 | m#1 | m#1 |
| 17 | 2 | NV | durationTime | | | 1 | m#1 | m#1 | m#1 |
| 18 | 1 | String | days | | | 1 | m#1 | m#1 | m#1 |
| 18 | 2 | String | months | | | 1 | m#1 | m#1 | m#1 |
| 18 | 3 | String | years | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | String | typeRequired | 1000 | | 1 | m#1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|------------------------|------------|-------------|-----------|-----|------|------|
| 14 | 3 | NV | conditionState | | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | satisfied | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | notSatisfied | 10000 | | 1 | m#1 | m#1 | m#1 |
| 13 | 6 | String | monetarySanctions | | | 1 | m#1 | m#1 | m#1 |
| 14 | 1 | Decimal | amountOrdered | | | 1 | m#1 | m#1 | m#1 |
| 14 | 2 | Decimal | waivedPortion | 16 | | 1 | m#1 | m#1 | m#1 |
| 14 | 3 | Decimal | finalAmount | 16 | | 1 | m#1 | m#1 | m#1 |
| 14 | 4 | NV | paymentState | 16 | | 1 | m#1 | m#1 | m#1 |
| 15 | 1 | String | satisfied | | | 1 | m#1 | m#1 | m#1 |
| 15 | 2 | String | notSatisfied | 3000 | | 1 | m#1 | m#1 | m#1 |
| 12 | 4 | Decimal | totalAmountOrdered | 16 | | 1 | m#1 | m#1 | m#1 |
| 3 | 70 | NV | scheduleD | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | type | | | | m#1 | m#1 | m#1 |
| 5 | 1 | String | add | | | | m#1 | m#1 | m#1 |
| 5 | 2 | String | delete | | | | m#1 | m#1 | m#1 |
| 5 | 3 | String | amend | | | | m#1 | m#1 | m#1 |
| 5 | 4 | String | newAdd | | | | m#1 | m#1 | m#1 |
| 4 | 2 | String | misc | 1000 | | | m#1 | m#1 | m#1 |
| 3 | 71 | NV | maSelfCertification | | | | m#1 | m#1 | m#1 |
| 4 | 1 | NV | signature | | | | m | m | m |
| 5 | 1 | String | signature | 150 | | | m | m | m |
| 5 | 2 | String | signerName | 150 | | | m | m | m |
| 5 | 3 | String | title | 150 | | | m | m | m |
| 5 | 4 | String | date | 10 | | | m | m | m |
| 4 | 2 | String | crdNumber | 9 | | | o | o | o |
| 3 | 72 | NV | maExecutionPage | | | | m | m | m |
| 4 | 1 | NV | signature | | | | m | m | m |
| 5 | 1 | String | signature | 150 | | | m | m | m |
| 5 | 2 | String | signerName | 150 | | | m | m | m |
| 5 | 3 | String | title | 150 | | | m | m | m |
| 5 | 4 | String | date | 10 | | | m | m | m |
| 4 | 2 | String | crdNumber | 9 | | | | | |
| 3 | 73 | | maNRSelfCertification | | | | m | m | m |
| 4 | 1 | NV | signature | | | | m | m | m |
| 5 | 1 | String | signature | 150 | | | m | m | m |
| 5 | 2 | String | signerName | 150 | | | m | m | m |
| 5 | 3 | String | title | 150 | | | m | m | m |
| 5 | 4 | String | date | 10 | | | m | m | m |
| 4 | 2 | String | crdNumber | 9 | | | o | o | o |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA | MA-A | MA/A |
|-------|-------|-----------|---|------------|-----------------------------|-----------|-----|------|------|
| 3 | 74 | NV | maNRExecutionPage | | | | | | |
| 4 | 1 | NV | signature | | | | m | m | m |
| 5 | 1 | String | signature | 150 | | | m | m | m |
| 5 | 2 | String | signerName | 150 | | | m | m | m |
| 5 | 3 | String | title | 150 | | | m | m | m |
| 5 | 4 | String | date | 10 | | | m | m | m |
| 4 | 2 | String | crdNumber | 9 | | | o | o | o |
| 3 | 75 | NV | documents | | | 1 | m | m | m |
| 4 | 1 | String | conformedName | 32 | | 1 | m | m | m |
| 4 | 2 | String | conformedDocumentType | | | 1 | m | m | m |
| 4 | 3 | String | description | 255 | | 1 | m#1 | m#1 | m#1 |
| 4 | 4 | String | contents | | | 1 | m#1 | m#1 | m#1 |
| 3 | 76 | NV | controls | | | | m#1 | m#1 | m#1 |
| 4 | 1 | String | isSoleProprietor | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 2 | String | hasNameChange | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 3 | String | hasDBAName | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 4 | String | hasPreviousDBAName | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 5 | String | hasAdditionalDBANames | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 6 | String | hasMATReg | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 7 | String | additionalRegs | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 8 | String | additionalOffices | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 9 | String | hasMailingAddress | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 10 | String | hasAdditionalWebsites | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 11 | String | hasBooksRecords | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 12 | String | isRegisteredFFRA | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 13 | String | isAffiliatedOtherBus | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 14 | String | independentBusinessEmployee | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 15 | String | receiveCompensationForMAAFromOtherClients | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 16 | String | isSucceedingApplicant | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 17 | String | isCPForApplicantPolicy | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 18 | String | isPRCompanyUnder1215 | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 19 | String | isCPForFirm | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 20 | String | hasOtherProductTypes | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 21 | String | wasSanctionsOrdered | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 22 | String | moneytarySanctions | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 23 | String | hasScheduleB | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 24 | String | isSection12Or15ReportingCompany | | YES NO TYPE | | m#1 | m#1 | m#1 |
| 4 | 25 | String | isOtherNonMAABusinessPrimary | | YES NO TYPE | | m#1 | m#1 | m#1 |

3.5 Mapping of Form MA-I Submission Schemas to Submission Types

Mapping of Form MA-I and Variants Submission Schema to Submission Type

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/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 | String | liveTestFlag | | | 1 | NA | NA |
| 4 | 2 | NV | filer | | | 1 | m | m |
| 5 | 1 | String | filerId | 10 | | 1 | m | m |
| 5 | 2 | String | filerCcc | 8 | | 1 | m | m |
| 5 | 3 | String | filerFileNumber | 17 | | 1 | o | o |
| 4 | 3 | NV | contact | | | 1 | o | o |
| 5 | 1 | String | name | 30 | | 1 | o | o |
| 5 | 2 | String | phoneNumber | 20 | | 1 | o | o |
| 4 | 4 | String | contactEmail | 80 | | 1 | m | m |
| 4 | 5 | NV | notifications | | | 1 | o | o |
| 5 | 1 | String | internetNotificationAddress | 80 | | unbounded | m | m |
| 2 | 3 | NV | formData | | | 1 | m | m |
| 3 | 1 | String | isAmendment | | YES_NO_TYPE | 1 | m | m |
| 3 | 2 | String | previousAccessionNumber | 20 | | 1 | m# | m# |
| 3 | 3 | String | isIndividual | | YES_NO_TYPE | 1 | m | NA |
| 3 | 4 | NV | applicantName | | | NA | NA | NA |
| 4 | 1 | String | firstName | 50 | | 1 | m | m |
| 4 | 2 | String | middleName | 30 | | 1 | m | m |
| 4 | 3 | String | lastName | 50 | | 1 | m | m |
| 4 | 4 | String | suffix | 10 | | 1 | o | o |
| 13 | 5 | String | applicantCrdNum | 9 | | 1 | o | o |
| 3 | 7 | String | hasMoreThanOneAdvisoryFirms | | YES_NO_TYPE | 1 | m | m |
| 3 | 8 | String | noOfAdvisoryFirms | 2 | | 1 | m | m |
| 3 | 9 | NV | municipalAdvisorOffices | | | 1 | o | o |
| 4 | 1 | NV | municipalAdvisorOffice | | | unbounded | o | o |
| 5 | 1 | NV | municipalFirm | | | 1 | o | o |
| 6 | 1 | NV | municipalFiler | | | 1 | m | m |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|-------------------------------|------------|--|-----------|------|--------|
| 7 | 1 | String | filerId | 10 | | 1 | o | o |
| 6 | 2 | String | municipalFirmName | 150 | | 1 | m | m |
| 6 | 3 | String | municipalDbName | 256 | | 1 | o | o |
| 6 | 4 | String | recentEmploymentCommencedDate | 10 | | 1 | m | m |
| 6 | 5 | String | isIndependentRelationship | | YES_NO_TYPE | 1 | m | m |
| 5 | 2 | NV | maRegistration | | | 1 | m | m |
| 6 | 1 | NV | secRegistration | | | 1 | m | m |
| 7 | 1 | String | fileNumber | 17 | | 1 | m# | m# |
| 6 | 2 | NV | notSecRegistered | | | 1 | m# | m# |
| 7 | 1 | NV | hasFiled | | | 1 | m# | m# |
| 8 | 1 | String | filingDate | 10 | | 1 | m# | m# |
| 8 | 2 | String | cik | 10 | | 1 | m# | m# |
| 7 | 2 | String | explanation | 256 | | 1 | m# | m# |
| 5 | 3 | NV | advisorOffices | | | 1 | m# | m# |
| 6 | 1 | NV | advisorOffice | | | unbounded | m# | m# |
| 7 | 1 | NV | locationInfo | | LOCATED AT SUPERVISED FROM | 2 | m# | m# |
| 7 | 2 | String | startDate | 10 | | 1 | m | m |
| 7 | 3 | NV | addressInfo | | | 1 | m | m |
| 8 | 1 | String | residentialAddressFlag | | YES_NO_TYPE | 1 | m | m |
| 8 | 2 | NV | address | | | 1 | m | m |
| 9 | 1 | String | street1 | 40 | | 1 | m | m |
| 9 | 2 | String | street2 | 40 | | 1 | o | o |
| 9 | 3 | String | city | 30 | | 1 | m | m |
| 9 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m | m |
| 9 | 5 | String | zipCode | 10 | | 1 | m | m |
| 3 | 10 | NV | otherNames | | | NA | NA | NA |
| 4 | 1 | NV | otherName | | | 10 | NA | NA |
| 5 | 1 | String | firstName | 50 | | 1 | o | o |
| 5 | 2 | String | middleName | 30 | | 1 | o | o |
| 5 | 3 | String | lastName | 50 | | 1 | o | o |
| 5 | 4 | String | suffix | 10 | | 1 | o | o |
| 3 | 11 | NV | residentialHistory | | | NA | NA | NA |
| 4 | 1 | NV | currentAddress | | | NA | NA | NA |
| 5 | 1 | String | startDate | 10 | | 1 | m | m |
| 5 | 2 | String | endDate | 10 | | 1 | o | o |
| 5 | 3 | NV | addressInfo | | | NA | NA | NA |
| 6 | 1 | String | street1 | 40 | | 1 | m | m |
| 6 | 2 | String | street2 | 40 | | 1 | o | o |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|-----------------------------|------------|------------------------------------|-----------|------|--------|
| 6 | 3 | String | city | 30 | | 1 | m | m |
| 6 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m | m |
| 6 | 5 | String | zipCode | 10 | | 1 | m | m |
| 4 | 2 | NV | priorAddresses | | | NA | NA | NA |
| 5 | 1 | NV | priorAddress | | | NA | NA | NA |
| 6 | 1 | String | startDate | 10 | | 1 | m# | m# |
| 6 | 2 | String | endDate | 10 | | 1 | m# | m# |
| 6 | 3 | NV | addressInfo | | | 1 | NA | NA |
| 7 | 1 | String | street1 | 40 | | 1 | m# | m# |
| 7 | 2 | String | street2 | 40 | | 1 | o | o |
| 7 | 3 | String | city | 30 | | 1 | m# | m# |
| 7 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m# | m# |
| 7 | 5 | String | zipCode | 10 | | 1 | m# | m# |
| 3 | 12 | NV | employmentHistory | | | NA | NA | NA |
| 4 | 1 | NV | currentEmployer | | | NA | NA | NA |
| 5 | 1 | String | startDate | 10 | | 1 | m | m |
| 5 | 2 | String | endDate | 10 | | 1 | o | o |
| 5 | 3 | String | name | 256 | | 1 | m | m |
| 5 | 4 | NV | addressInfo | | | 1 | m | m |
| 6 | 1 | String | city | 30 | | 1 | m | m |
| 6 | 2 | String | stateOrCountry | | YES_NO_TYPE | 1 | m | m |
| 6 | 3 | String | zipCode | 10 | | 1 | m | m |
| 5 | 5 | String | isRelatedToMunicipalAdvisor | | YES_NO_TYPE | 1 | m | m |
| 5 | 6 | String | isRelatedToInvestment | | YES_NO_TYPE | 1 | m | m |
| 5 | 7 | String | positionDescription | 256 | | 1 | m | m |
| 4 | 2 | NV | priorEmployers | | | NA | NA | NA |
| 5 | 1 | NV | priorEmployer | | | unbounded | NA | NA |
| 6 | 1 | String | startDate | 10 | | 1 | m# | m# |
| 6 | 2 | String | endDate | 10 | | 1 | m# | m# |
| 6 | 3 | String | name | 256 | | 1 | m# | m# |
| 6 | 4 | NV | addressInfo | | | 1 | m# | m# |
| 7 | 1 | String | city | 30 | | 1 | m# | m# |
| 7 | 2 | String | stateOrCountry | | YES_NO_TYPE | 1 | m# | m# |
| 7 | 3 | String | zipCode | 10 | | 1 | m# | m# |
| 6 | 5 | String | isRelatedToMunicipalAdvisor | | YES_NO_TYPE | 1 | m# | m# |
| 6 | 6 | String | isRelatedToInvestment | | YES_NO_TYPE | 1 | m# | m# |
| 6 | 7 | String | positionDescription | 256 | | 1 | m# | m# |
| 3 | 13 | String | isEngagedInOtherBusiness | | YES_NO_TYPE | 1 | m | m |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------------------|------------|------------------------------------|-----------|------|--------|
| 3 | 14 | NV | otherBusinesses | | | NA | NA | NA |
| 4 | 1 | NV | otherBusiness | | | 15 | o | o |
| 5 | 1 | String | startDate | 10 | | 1 | m# | m# |
| 5 | 2 | String | name | 256 | | 1 | m# | m# |
| 5 | 3 | NV | addressInfo | | | 1 | m# | m# |
| 6 | 1 | String | street1 | 40 | | 1 | m# | m# |
| 6 | 2 | String | street2 | 40 | | 1 | m# | m# |
| 6 | 3 | String | city | 30 | | 1 | m# | m# |
| 6 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m# | m# |
| 6 | 5 | String | zipCode | 10 | | 1 | m | m |
| 5 | 4 | String | isRelatedToMunicipalAdvisor | | YES_NO_TYPE | 1 | m# | m# |
| 5 | 5 | String | isRelatedToInvestment | | | 1 | m# | m# |
| 5 | 6 | String | natureOfBusiness | 256 | | 1 | m# | m# |
| 5 | 7 | String | positionDescription | 1000 | | 1 | m# | m# |
| 5 | 8 | String | approximateHoursOrMonths | 4 | | 1 | m# | m# |
| 5 | 9 | String | dutiesDescription | 3000 | | 1 | m# | m# |
| 3 | 15 | NV | disclosureQuestions | | | NA | NA | NA |
| 4 | 1 | NV | criminalDisclosure | | | NA | NA | NA |
| 5 | 1 | NV | criminalDisclosureCommonQuestion | | | NA | NA | NA |
| 6 | 1 | String | isConvictedOfFelony | | YES_NO_TYPE | 1 | m | m |
| 6 | 2 | String | isChargedWithFelony | | YES_NO_TYPE | 1 | m | m |
| 6 | 3 | String | isOrgConvictedOfFelony | | YES_NO_TYPE | 1 | m | m |
| 6 | 4 | String | isOrgChargedWithFelony | | YES_NO_TYPE | 1 | m | m |
| 5 | 2 | String | isConvictedOfMisdemeanor | | YES_NO_TYPE | 1 | m | m |
| 5 | 3 | String | isChargedWithMisdemeanor | | YES_NO_TYPE | 1 | m | m |
| 5 | 4 | String | isOrgConvictedOfMisdemeanor | | YES_NO_TYPE | 1 | m | m |
| 5 | 5 | String | isOrgChargedWithMisdemeanor | | YES_NO_TYPE | 1 | m | m |
| 4 | 2 | NV | regulatoryDisclosure | | | NA | NA | NA |
| 5 | 1 | NV | regulatoryDisclosureCommonQuestion | | | NA | NA | NA |
| 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 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|--------------------------------|------------|-----------------------------|-----------|------|--------|
| 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 | isRegulatoryComplaint | | YES NO TYPE | 1 | m | m |
| 5 | 2 | String | isViolatedSecurityAct | | YES NO TYPE | 1 | m | m |
| 5 | 3 | String | isWillFullyAided | | YES NO TYPE | 1 | m | m |
| 5 | 4 | String | isFailedToSupervise | | YES NO TYPE | 1 | m | m |
| 5 | 5 | String | isFoundWillFullyAided | | YES NO TYPE | 1 | m | m |
| 5 | 6 | String | isAssociationBared | | YES NO TYPE | 1 | m | m |
| 5 | 7 | String | isFinalOrder | | YES NO TYPE | NA | NA | NA |
| 5 | 8 | String | isWillFullyViolatedSecurityAct | | YES NO TYPE | 1 | m | m |
| 5 | 9 | String | isFailedReasonably | | YES NO TYPE | 1 | m | m |
| 4 | 3 | NV | investigationDisclosure | | | NA | NA | NA |
| 5 | 1 | String | isInvestigated | | YES NO TYPE | 1 | m | m |
| 4 | 4 | NV | civilDisclosure | | | NA | NA | NA |
| 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 | 5 | NV | complaintDisclosure | | | NA | NA | NA |
| 5 | 1 | String | isComplaintPending | | YES NO TYPE | 1 | m | m |
| 5 | 2 | String | isComplaintSettled | | YES NO TYPE | 1 | m | m |
| 5 | 3 | String | isFraudCasePending | | YES NO TYPE | 1 | m | m |
| 5 | 4 | String | isFraudCaseResultedAward | | YES NO TYPE | 1 | m | m |
| 5 | 5 | String | isFraudCaseSettled | | YES NO TYPE | 1 | m | m |
| 4 | 6 | NV | terminationDisclosure | | | NA | NA | NA |
| 5 | 1 | String | isViolatedIndustryStandard | | YES NO TYPE | 1 | m | m |
| 5 | 2 | String | isInvolvedInFraud | | YES NO TYPE | 1 | m | m |
| 5 | 3 | String | isFailedToSupervise | | YES NO TYPE | 1 | m | m |
| 4 | 7 | NV | financialDisclosure | | | NA | NA | NA |
| 5 | 1 | String | isCompromised | | YES NO TYPE | 1 | m | m |
| 5 | 2 | String | isBankruptcyPetition | | YES NO TYPE | 1 | m | m |
| 5 | 3 | String | isTrusteeAppointed | | YES NO TYPE | 1 | m | m |
| 5 | 4 | String | isBondRevoked | | YES NO TYPE | 1 | m | m |
| 4 | 8 | NV | judgmentLienDisclosure | | | NA | NA | NA |
| 5 | 1 | String | isLienAgainst | | YES NO TYPE | 1 | m | m |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------|------------|-------------|-----------|------|--------|
| 3 | 16 | NV | signatureInfo | | | NA | NA | NA |
| 4 | 1 | NV | signature | | | NA | NA | NA |
| 5 | 1 | String | dateSigned | 10 | | 1 | m# | m# |
| 5 | 2 | NV | nameOfApplicant | | | NA | NA | NA |
| 6 | 1 | String | firstName | 50 | | 1 | m# | m# |
| 6 | 2 | String | middleName | 30 | | 1 | m# | m# |
| 6 | 3 | String | lastName | 50 | | 1 | m# | m# |
| 6 | 4 | String | suffix | 10 | | 1 | m# | m# |
| 5 | 3 | String | signature | 150 | | 1 | m# | m# |
| 5 | 4 | String | title | 256 | | 1 | m# | m# |
| 4 | 2 | String | crdNumber | 9 | | 1 | m# | m# |
| 3 | 17 | NV | selfCertification | | | 1 | m# | m# |
| 4 | 1 | NV | signature | | | 1 | m# | m# |
| 5 | 1 | String | dateSigned | 10 | | 1 | m# | m# |
| 5 | 2 | NV | nameOfApplicant | | | NA | NA | NA |
| 6 | 1 | String | firstName | 50 | | 1 | m# | m# |
| 6 | 2 | String | middleName | 30 | | 1 | m# | m# |
| 6 | 3 | String | lastName | 50 | | 1 | m# | m# |
| 6 | 4 | String | suffix | 10 | | 1 | o | o |
| 5 | 3 | String | signature | 150 | | 1 | m# | m# |
| 5 | 4 | String | title | 256 | | 1 | m# | m# |
| 4 | 2 | String | crdNumber | 9 | | 1 | o | o |
| 3 | 18 | NV | drplInfo | | | 1 | m# | m# |
| 4 | 1 | NV | criminalDisclosure | | | NA | NA | NA |
| 5 | 1 | NV | criminalDrp | | | 100 | NA | NA |
| 6 | 1 | NV | baseHeader | | | NA | NA | NA |
| 7 | 1 | String | reponseType | | | 1 | m#1 | m#1 |
| 8 | 1 | String | add | | | 1 | m#1 | m#1 |
| 8 | 2 | String | amend | | | 1 | m#1 | m#1 |
| 7 | 2 | NV | filingInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | formADVBDFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | crdNumber | 9 | | 1 | m#1 | m#1 |
| 9 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | maFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|-------------------------|------------|---|-----------|------|--------|
| 8 | 3 | NV | maiFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 4 | NV | matFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 7 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 |
| 7 | 4 | NV | drpRemovalInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | isDrpRemovable | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 8 | 2 | NV | drpRemoveReason | | | 1 | m#1 | m#1 |
| 9 | 1 | String | isRegistered | | | 1 | m#1 | m#1 |
| 9 | 2 | NV | isFiledError | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explainTheCircumstances | 10000 | | 1 | m#1 | m#1 |
| 7 | 5 | String | status | | | 1 | m#1 | m#1 |
| 8 | 1 | String | pending | | | 1 | m#1 | m#1 |
| 8 | 2 | String | onAppeal | | | 1 | m#1 | m#1 |
| 8 | 3 | String | final | | | 1 | m#1 | m#1 |
| 6 | 2 | NV | criminalQuestions | | CRIMINAL DISCLOSURE QUESTIONS | 1 | m#1 | m#1 |
| 6 | 3 | NV | drpData | | | 1 | m#1 | m#1 |
| 7 | 1 | NV | chargeInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | String | isEngagedInMARBusiness | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 8 | 3 | String | relationshipToCharged | 10000 | | 1 | m#1 | m#1 |
| 7 | 2 | NV | formalCharges | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | courtType | | | 1 | m#1 | m#1 |
| 9 | 1 | String | isFederalCourt | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 9 | 2 | String | isMilitaryCourt | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 9 | 3 | String | isStateCourt | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 9 | 4 | String | isForeignCountryCourt | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 9 | 5 | String | isInternationalCourt | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 9 | 6 | String | isOther | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 8 | 2 | String | other | 256 | | 1 | m#1 | m#1 |
| 8 | 3 | NV | chargesInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------|------------|------------------------------------|-----------|------|--------|
| 10 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | address | | | 1 | m#1 | m#1 |
| 11 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 11 | 2 | String | street2 | 40 | | 1 | m#1 | m#1 |
| 11 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 11 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 |
| 11 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 9 | 2 | String | docketCaseName | 256 | | 1 | m#1 | m#1 |
| 7 | 3 | NV | eventDisclosureDetail | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | eventDetail | | | 1 | m#1 | m#1 |
| 9 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 9 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 9 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | chargeDetails | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | chargeDetail | | | 100 | m#1 | m#1 |
| 10 | 1 | String | charge | 10000 | | 1 | m#1 | m#1 |
| 10 | 2 | String | numberOfCounts | 10 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | felonyOrMisdemeanor | | | 1 | m#1 | m#1 |
| 11 | 1 | String | felony | | | 1 | m#1 | m#1 |
| 11 | 2 | String | misdemeanor | | | 1 | m#1 | m#1 |
| 10 | 4 | String | plea | 1000 | | 1 | m#1 | m#1 |
| 10 | 5 | String | productType | 1000 | | 1 | m#1 | m#1 |
| 10 | 6 | String | investmentProductType | 1000 | | 1 | m#1 | m#1 |
| 10 | 7 | String | amendedReducedDate | 10 | | 1 | m#1 | m#1 |
| 7 | 4 | NV | appealInformation | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | dispositionDetails | | | 1 | m#1 | m#1 |
| 9 | 1 | String | dispositionDetail | | | 100 | m#1 | m#1 |
| 8 | 2 | String | isFelonyCharge | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 8 | 3 | NV | eventStatusDate | | | 1 | m#1 | m#1 |
| 9 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 9 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 9 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 10 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 |
| 8 | 4 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | courtType | | | 1 | m#1 | m#1 |
| 10 | 1 | String | court | | CRIMINAL_EVENT_C | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------|------------|---------------------------|-----------|------|--------|
| | | | | | <u>COURT TYPES</u> | | | |
| 10 | 2 | String | other | 1000 | | 1 | m#1 | m#1 |
| 9 | 2 | NV | chargesInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 11 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 |
| 11 | 3 | NV | address | | | 1 | m#1 | m#1 |
| 12 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 12 | 2 | String | street2 | 40 | | 1 | m#1 | m#1 |
| 12 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 12 | 4 | String | stateOrCountry | | <u>STATE COUNTRY CODE</u> | 1 | m#1 | m#1 |
| 12 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | docketCaseName | 256 | | 1 | m#1 | m#1 |
| 8 | 5 | String | dateAppealFiled | 10 | | 1 | m#1 | m#1 |
| 4 | 2 | NV | regulatoryDisclosure | | | NA | NA | NA |
| 5 | 1 | NV | regulatoryDrp | | | 100 | NA | NA |
| 6 | 1 | NV | baseHeader | | | 1 | m#1 | m#1 |
| 7 | 1 | String | reponseType | | | 1 | m#1 | m#1 |
| 8 | 1 | String | add | | | 1 | m#1 | m#1 |
| 8 | 2 | String | amend | | | 1 | m#1 | m#1 |
| 7 | 2 | NV | filingInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | formADVBD Filing | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | crdNumber | 9 | | 1 | m#1 | m#1 |
| 9 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | maFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 3 | NV | maiFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 4 | NV | matFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|--------------------------------|------------|--|-----------|------|--------|
| 7 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 |
| 7 | 4 | NV | drpRemovalInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | isDrpRemovable | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 8 | 2 | NV | drpRemoveReason | | | 1 | m#1 | m#1 |
| 9 | 1 | String | isRegistered | | | 1 | m#1 | m#1 |
| 9 | 2 | NV | isFiledError | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explainTheCircumstances | 10000 | | 1 | m#1 | m#1 |
| 7 | 5 | String | status | | | 1 | m#1 | m#1 |
| 8 | 1 | String | pending | | | 1 | m#1 | m#1 |
| 8 | 2 | String | onAppeal | | | 1 | m#1 | m#1 |
| 8 | 3 | String | final | | | 1 | m#1 | m#1 |
| 6 | 2 | String | regulatoryQuestions | | REGULATORY DISCLOSURE QUESTIONS | 24 | m#1 | m#1 |
| 6 | 3 | NV | drpData | | | 1 | m#1 | m#1 |
| 7 | 1 | NV | initiatedBy | | | 1 | m#1 | m#1 |
| 8 | 1 | String | Initiator | | | 1 | m#1 | m#1 |
| 8 | 2 | String | other | 256 | | 1 | m#1 | m#1 |
| 8 | 3 | String | name | 256 | | 1 | m#1 | m#1 |
| 7 | 2 | NV | sactionsSought | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | saction | | SANCTION BASE TYPE, PRINCIPAL SANCTION RELIEF BASE | 18 | m#1 | m#1 |
| 8 | 2 | String | otherExplanation | 3000 | | 1 | m#1 | m#1 |
| 7 | 3 | NV | dateInitiated | | | 1 | m#1 | m#1 |
| 8 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 8 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 8 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 9 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 7 | 4 | NV | regulatoryInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | regulatoryBroughtInInformation | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 10 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | address | | | 1 | m#1 | m#1 |
| 11 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 11 | 2 | String | street2 | 40 | | 1 | m#1 | m#1 |
| 11 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 11 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 |
| 11 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------------|------------|--|-----------|------|--------|
| 9 | 2 | String | docketCaseName | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | matterInformation | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | employingFirmInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 10 | 2 | String | registrationNumber | 17 | | 1 | o | o |
| 10 | 3 | String | crdNumber | 9 | | 1 | o | o |
| 9 | 2 | NV | principalProductTypes | | | 35 | m#1 | m#1 |
| 10 | 1 | String | product | | PRINCIPAL_PRODUCT_OPTION_TYPE , PRINCIPAL_PRODUCT_TYPE_EXTENDED | 1 | m#1 | m#1 |
| 10 | 2 | String | productOther | 1000 | | 1 | m#1 | m#1 |
| 9 | 3 | String | otherProductTypes | 1000 | | 1 | m#1 | m#1 |
| 9 | 4 | String | allegationsDescription | 10000 | | 1 | m#1 | m#1 |
| 8 | 3 | NV | pendingInformation | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | servedInformation | | | 1 | m#1 | m#1 |
| 10 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 10 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 11 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 11 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 |
| 9 | 2 | NV | limitationsRestrictions | | | 1 | m#1 | m#1 |
| 10 | 1 | String | hasLimitationsOrRestrictions | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 10 | 2 | String | details | 1000 | | 1 | m#1 | m#1 |
| 8 | 4 | NV | appealInformation | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | appealBroughtInInformation | | | 1 | m#1 | m#1 |
| 10 | 1 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 11 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 |
| 11 | 3 | NV | address | | | 1 | m#1 | m#1 |
| 12 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 12 | 2 | String | street2 | 40 | | 1 | m#1 | m#1 |
| 12 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 12 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 |
| 12 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | docketCaseName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | NV | dateInformation | | | 1 | m#1 | m#1 |
| 10 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 10 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------------|------------|--|-----------|------|--------|
| 11 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 11 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 |
| 9 | 3 | String | details | 10000 | | 1 | m#1 | m#1 |
| 9 | 4 | NV | limitationsRestrictions | | | 1 | m#1 | m#1 |
| 10 | 1 | String | hasLimitationsOrRestrictions | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 10 | 2 | String | details | 1000 | | 1 | m#1 | m#1 |
| 8 | 5 | NV | resolutionDetail | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | sactionsOrdered | | | 1 | m#1 | m#1 |
| 10 | 1 | | saction | | SANCTION BASE TYPE, PRINCIPAL SANCTION RELIEF BASE | 20 | m#1 | m#1 |
| 10 | 2 | String | otherExplanation | 20 | | 1 | m#1 | m#1 |
| 9 | 2 | Decimal | amountOrdered | 16 | | 1 | m#1 | m#1 |
| 8 | 6 | NV | sanctionDetails | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | barred | | | unbounded | m#1 | m#1 |
| 10 | 1 | NV | duration | | | 1 | m#1 | m#1 |
| 11 | 1 | NV | durationType | | | 1 | m#1 | m#1 |
| 12 | 1 | String | permanent | | | 1 | m#1 | m#1 |
| 12 | 2 | NV | durationTime | | | 1 | m#1 | m#1 |
| 13 | 1 | String | days | | | 1 | m#1 | m#1 |
| 13 | 2 | String | months | | | 1 | m#1 | m#1 |
| 13 | 3 | String | years | | | 1 | m#1 | m#1 |
| 10 | 2 | NV | startDate | | | 1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | endDate | | | 1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 |
| 10 | 4 | String | description | 3000 | | 1 | m#1 | m#1 |
| 9 | 2 | NV | enjoined | | | unbounded | m#1 | m#1 |
| 10 | 1 | NV | duration | | | 1 | m#1 | m#1 |
| 11 | 1 | NV | durationType | | | 1 | m#1 | m#1 |
| 12 | 1 | String | permanent | | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|---------------------------|------------|-----------------------------|-----------|------|--------|
| 12 | 2 | NV | durationTime | | | 1 | m#1 | m#1 |
| 13 | 1 | String | days | | | 1 | m#1 | m#1 |
| 13 | 2 | String | months | | | 1 | m#1 | m#1 |
| 13 | 3 | String | years | | | 1 | m#1 | m#1 |
| 10 | 2 | NV | startDate | | | 1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | endDate | | | 1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 |
| 10 | 4 | String | description | 3000 | | 1 | m#1 | m#1 |
| 9 | 3 | NV | suspended | | | unbounded | m#1 | m#1 |
| 10 | 1 | NV | duration | | | 1 | m#1 | m#1 |
| 11 | 1 | NV | durationType | | | 1 | m#1 | m#1 |
| 12 | 1 | String | permanent | | | 1 | m#1 | m#1 |
| 12 | 2 | NV | durationTime | | | 1 | m#1 | m#1 |
| 13 | 1 | String | days | | | 1 | m#1 | m#1 |
| 13 | 2 | String | months | | | 1 | m#1 | m#1 |
| 13 | 3 | String | years | | | 1 | m#1 | m#1 |
| 10 | 2 | NV | startDate | | | 1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | endDate | | | 1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 10 | 4 | String | description | 3000 | | 1 | m#1 | m#1 |
| 9 | 4 | String | isReqaulificationRequired | | YES_NO_TYPE | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------|------------|--------------------------------------|-----------|------|--------|
| 9 | 5 | NV | requalificationDetails | | | 1 | m#1 | m#1 |
| 10 | 1 | NV | timeToRequalifyRetrain | | | 1 | m#1 | m#1 |
| 11 | 1 | String | noTimePeriodSpecified | | | 1 | m#1 | m#1 |
| 11 | 2 | NV | durationTime | | | 1 | m#1 | m#1 |
| 12 | 1 | String | days | | | 1 | m#1 | m#1 |
| 12 | 2 | String | months | | | 1 | m#1 | m#1 |
| 12 | 3 | String | years | | | 1 | m#1 | m#1 |
| 10 | 2 | String | typeRequired | 1000 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | conditionState | | | 1 | m#1 | m#1 |
| 11 | 1 | String | satisfied | | | 1 | m#1 | m#1 |
| 12 | 1 | String | satisfied | | | 1 | m#1 | m#1 |
| 12 | 2 | NV | satisfiedDate | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | NV | notSatisfied | | | 1 | m#1 | m#1 |
| 12 | 1 | String | satisfied | | | 1 | m#1 | m#1 |
| 12 | 2 | String | explanation | 1000 | | 1 | m#1 | m#1 |
| 9 | 6 | NV | monetarySanctions | | | 1 | m#1 | m#1 |
| 10 | 1 | Decimal | totalAmountOrdered | 16 | | 1 | m#1 | m#1 |
| 10 | 2 | Decimal | amountOrdered | 16 | | 1 | m#1 | m#1 |
| 10 | 3 | Decimal | waivedPortion | 16 | | 1 | m#1 | m#1 |
| 10 | 4 | Decimal | finalAmount | 18 | | 1 | m#1 | m#1 |
| 10 | 5 | NV | paymentState | | | 1 | m#1 | m#1 |
| 11 | 1 | NV | paidInFull | | | 1 | m#1 | m#1 |
| 12 | 1 | String | amountPaidInFull | | | 1 | m#1 | m#1 |
| 12 | 2 | String | paidDate | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | NV | notPaidInFull | | | 1 | m#1 | m#1 |
| 12 | 1 | String | amountNotPaidInFull | | | 1 | m#1 | m#1 |
| 12 | 2 | String | explanation | 1000 | | 1 | o | o |
| 7 | 5 | NV | resolutionMatterInfo | | | 1 | m# | m# |
| 8 | 1 | String | type | | MATTER_RESOLVED_TYPE | 12 | m#1 | m#1 |
| 8 | 2 | String | appealType | | MATTER_APPEAL_TYPE | 5 | m#1 | m#1 |
| 8 | 3 | String | explanation | 10000 | | 1 | o | o |
| 8 | 4 | String | isFinalOrder | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 8 | 5 | NV | resolutionDate | | | 1 | m#1 | m#1 |
| 9 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 9 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 9 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 10 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|-------------------------|------------|--|-----------|------|--------|
| 4 | 3 | NV | investigationDisclosure | | | NA | NA | NA |
| 5 | 1 | NV | investigationDrp | | | 100 | NA | NA |
| 6 | 1 | NV | baseHeader | | | NA | NA | NA |
| 7 | 1 | String | reponseType | | | 1 | m#1 | m#1 |
| 8 | 1 | String | add | | | 1 | m#1 | m#1 |
| 8 | 2 | String | amend | | | 1 | m#1 | m#1 |
| 7 | 2 | NV | filingInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | formADVBDFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | crdNumber | 9 | | 1 | m#1 | m#1 |
| 9 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | maFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 3 | NV | maiFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 4 | NV | matFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 7 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 |
| 7 | 4 | NV | drpRemovalInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | isDrpRemovable | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 8 | 2 | NV | drpRemoveReason | | | 1 | m#1 | m#1 |
| 9 | 1 | String | isRegistered | | | 1 | m#1 | m#1 |
| 9 | 2 | NV | isFiledError | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explainTheCircumstances | 10000 | | 1 | m#1 | m#1 |
| 7 | 5 | String | status | | | 1 | m#1 | m#1 |
| 8 | 1 | String | pending | | | 1 | m#1 | m#1 |
| 8 | 2 | String | onAppeal | | | 1 | m#1 | m#1 |
| 8 | 3 | String | final | | | 1 | m#1 | m#1 |
| 6 | 2 | String | investigationQuestions | | INVESTIGATION DISCLOSURE QUESTIONS | 6 | m#1 | m#1 |
| 6 | 3 | String | drpData | | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|---------------------------|------------|--|-----------|------|--------|
| 7 | 1 | NV | crimeInvestigationInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | court | | CRIMINAL_EVENT_COURT_TYPES | 1 | m#1 | m#1 |
| 8 | 2 | String | other | 1000 | | 1 | m#1 | m#1 |
| 7 | 2 | NV | regulatoryInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | initiator | | | 1 | m#1 | m#1 |
| 9 | 1 | String | sec | | | 1 | m#1 | m#1 |
| 9 | 2 | String | cftc | | | 1 | m#1 | m#1 |
| 9 | 3 | String | otherFederalAuthority | | | 1 | m#1 | m#1 |
| 9 | 4 | String | state | | | 1 | m#1 | m#1 |
| 9 | 5 | String | sro | | | 1 | m#1 | m#1 |
| 9 | 6 | String | foreignFRA | | | 1 | m#1 | m#1 |
| 9 | 7 | String | otherForeignAuthority | | | 1 | m#1 | m#1 |
| 9 | 8 | String | other | | | 1 | m#1 | m#1 |
| 8 | 2 | String | other | 256 | | 1 | m#1 | m#1 |
| 7 | 3 | String | authorityName | 256 | | 1 | m#1 | m#1 |
| 7 | 4 | NV | noticeDate | | | 1 | m#1 | m#1 |
| 8 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 8 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 8 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 9 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 7 | 5 | String | investigationNature | 10000 | | 1 | m#1 | m#1 |
| 7 | 6 | | productType | | | 1 | m#1 | m#1 |
| 8 | 1 | String | product | | PRINCIPAL_PRODUCT_OPTION_TYPE, PRINCIPAL_PRODUCT_TYPE_EXTENDED | 1 | m#1 | m#1 |
| 8 | 2 | String | productOther | 1000 | | 1 | m#1 | m#1 |
| 7 | 7 | NV | caseClosedDate | | | 1 | m#1 | m#1 |
| 8 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 8 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 8 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 9 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 |
| 7 | 8 | NV | investigationResolvedInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | resolvedTypes | | INVESTIGATION_RESOLVED_TYPE | 1 | m#1 | m#1 |
| 8 | 2 | String | reason | 10000 | | 1 | m#1 | m#1 |
| 4 | 4 | NV | terminationDisclosure | | | 1 | m#1 | m#1 |
| 5 | 1 | NV | terminationDrp | | | 100 | m#1 | m#1 |
| 6 | 1 | NV | baseHeader | | | 1 | m#1 | m#1 |

DRAFT

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|-------------------------|------------|--|-----------|------|--------|
| 7 | 1 | String | reponseType | | | 1 | m#1 | m#1 |
| 8 | 1 | String | add | | | 1 | m#1 | m#1 |
| 8 | 2 | String | amend | | | 1 | m#1 | m#1 |
| 7 | 2 | NV | filingInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | formADVBDFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | crdNumber | 9 | | 1 | m#1 | m#1 |
| 9 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | maFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 3 | NV | maiFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 4 | NV | matFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 7 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 |
| 7 | 4 | NV | drpRemovalInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | isDrpRemovable | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 8 | 2 | NV | drpRemoveReason | | | 1 | m#1 | m#1 |
| 9 | 1 | String | isRegistered | | | 1 | m#1 | m#1 |
| 9 | 2 | NV | isFiledError | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explainTheCircumstances | 10000 | | 1 | m#1 | m#1 |
| 7 | 5 | String | status | | | 1 | m#1 | m#1 |
| 6 | 2 | String | terminationQuestions | | TERMINATION DISCLOSURE QUESTIONS | 6 | m#1 | m#1 |
| 6 | 3 | NV | drpData | | | 1 | m#1 | m#1 |
| 7 | 1 | NV | firmInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | String | registrationNumber | 17 | | NA | NA | NA |
| 8 | 3 | String | crdNumber | 9 | | 1 | o | o |
| 7 | 2 | String | terminationType | | TERMINATION TYPE | 1 | m#1 | m#1 |
| 7 | 3 | NV | terminationDate | | | 1 | m#1 | m#1 |
| 8 | 1 | String | exact | | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|-------------------------|------------|---|-----------|------|--------|
| 8 | 2 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 9 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 7 | 4 | String | allegation | 10000 | | 1 | m#1 | m#1 |
| 7 | 5 | NV | productType | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | product | | PRINCIPAL_PRODUCT_OPTION_TYPE, PRINCIPAL_PRODUCT_TYPE_EXTENDED | 35 | m#1 | m#1 |
| 8 | 2 | String | productOther | 1000 | | 1 | m#1 | m#1 |
| 4 | 5 | NV | judgementLienDisclosure | | | 1 | m#1 | m#1 |
| 5 | 1 | NV | judgementLienDrp | | | 100 | m#1 | m#1 |
| 6 | 1 | NV | baseHeader | | | 1 | m#1 | m#1 |
| 7 | 1 | String | responseType | | | 1 | m#1 | m#1 |
| 8 | 1 | String | add | | | 1 | m#1 | m#1 |
| 8 | 2 | String | amend | | | 1 | m#1 | m#1 |
| 7 | 2 | NV | filingInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | formADVBDFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | crdNumber | 9 | | 1 | m#1 | m#1 |
| 9 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | maFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 3 | NV | maiFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 4 | NV | matFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 7 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 |
| 7 | 4 | NV | drpRemovalInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | isDrpRemovable | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 8 | 2 | NV | drpRemoveReason | | | 1 | m#1 | m#1 |
| 9 | 1 | String | isRegistered | | | 1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|-------------------------|------------|---|-----------|------|--------|
| 9 | 2 | NV | isFiledError | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explainTheCircumstances | 10000 | | 1 | m#1 | m#1 |
| 7 | 5 | NV | status | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | pending | | | 1 | m#1 | m#1 |
| 8 | 2 | NV | onAppeal | | | 1 | m#1 | m#1 |
| 8 | 3 | NV | final | | | 1 | m#1 | m#1 |
| 6 | 2 | String | judgementQuestions | | JUDGEMENT LIEN DISCLOSURE QUESTIONS | 1 | m#1 | m#1 |
| 6 | 3 | NV | drpData | | | 1 | m#1 | m#1 |
| 7 | 1 | Decimal | judgementOrLienAmout | 16 | | 1 | m#1 | m#1 |
| 7 | 2 | String | judgementOrLienHolder | 256 | | 1 | m#1 | m#1 |
| 7 | 3 | String | judgmentOrLienType | | LIEN TYPE | 2 | m#1 | m#1 |
| 7 | 4 | NV | dateFiled | | | 1 | m#1 | m#1 |
| 8 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 8 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 8 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | exact | | | 1 | m#1 | m#1 |
| 9 | 2 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 10 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 7 | 5 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | court | | CRIMINAL EVENT COURT TYPES | 1 | m#1 | m#1 |
| 8 | 2 | String | other | 1000 | | 1 | m#1 | m#1 |
| 7 | 6 | NV | courtDetail | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | detail | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 10 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | address | | | 1 | m#1 | m#1 |
| 11 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 11 | 2 | String | street2 | 40 | | 1 | m#1 | m#1 |
| 11 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 11 | 4 | String | stateOrCountry | | STATE COUNTRY CODE | 1 | m#1 | m#1 |
| 11 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 9 | 2 | String | docketCaseName | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | date | | | 1 | m#1 | m#1 |
| 9 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 9 | 2 | String | exact | | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|---------------------------|------------|---|-----------|------|--------|
| 9 | 3 | String | explanationInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 10 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 7 | 7 | String | matterResolved | | LIEN RESOLVED TY PE LIEN RESOLVED TY PE EXTENDED | 1 | m#1 | m#1 |
| 7 | 8 | String | matterResolvedExplanation | 3000 | | 1 | m#1 | m#1 |
| 4 | 6 | NV | civilJudicialDisclosure | | | 1 | m#1 | m#1 |
| 5 | 1 | NV | civilJudicialDrp | | | 100 | m#1 | m#1 |
| 6 | 1 | NV | baseHeader | | | 1 | m#1 | m#1 |
| 7 | 1 | String | reponseType | | | 1 | m#1 | m#1 |
| 8 | 1 | String | add | | | 1 | m#1 | m#1 |
| 8 | 2 | String | amend | | | 1 | m#1 | m#1 |
| 7 | 2 | NV | filingInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | formADVBDFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | crdNumber | 9 | | 1 | m#1 | m#1 |
| 9 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | maFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 3 | NV | maiFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 4 | NV | matFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 7 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 |
| 7 | 4 | NV | drpRemovalInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | isDrpRemovable | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 8 | 2 | NV | drpRemoveReason | | | 1 | m#1 | m#1 |
| 9 | 1 | String | isRegistered | | | 1 | m#1 | m#1 |
| 9 | 2 | NV | isFiledError | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explainTheCircumstances | 10000 | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|-------------------------------|------------|--|-----------|------|--------|
| 7 | 5 | String | status | | | 1 | m#1 | m#1 |
| 8 | 1 | String | pending | | | 1 | m#1 | m#1 |
| 8 | 2 | String | onAppeal | | | 1 | m#1 | m#1 |
| 8 | 3 | String | final | | | 1 | m#1 | m#1 |
| 6 | 2 | String | civilJudicialQuestions | | CIVIL JUDICIAL DISCLOSURE QUESTIONS | 4 | m#1 | m#1 |
| 6 | 3 | NV | drpData | | | 1 | m#1 | m#1 |
| 7 | 1 | NV | initiatedBy | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | initiator | | CIVIL JUDICIAL ACTION INITIATED BY TYPE | 10 | m#1 | m#1 |
| 8 | 2 | String | other | 256 | | 1 | m#1 | m#1 |
| 7 | 2 | NV | plaintiffsInformation | | | 1 | m#1 | m#1 |
| 8 | 1 | String | plaintiffName | 10000 | | 1 | m#1 | m#1 |
| 8 | 2 | String | isPlaintiffsIdentified | | YES NO TYPE | 1 | m#1 | m#1 |
| 7 | 3 | NV | defendantInformation | | | 1 | m#1 | m#1 |
| 8 | 1 | String | defendantName | 10000 | | 1 | m#1 | m#1 |
| 8 | 2 | String | isADefendant | | YES NO TYPE | 1 | m#1 | m#1 |
| 8 | 3 | String | involvementInformation | 3000 | | 1 | m#1 | m#1 |
| 7 | 4 | NV | sactionsReliefSought | | SANCTION TYPE, CIVIL JUDICIAL SANCTIONS TYPE | 1 | m#1 | m#1 |
| 8 | 1 | NV | sanctionRelief | | | 21 | m#1 | m#1 |
| 8 | 2 | String | other | 3000 | | 1 | m#1 | m#1 |
| 7 | 5 | NV | filingDateCourtAction | | | 1 | m#1 | m#1 |
| 8 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 8 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 8 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 9 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 7 | 6 | NV | notificationServedInformation | | | 1 | m#1 | m#1 |
| 8 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 8 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 8 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 9 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 7 | 7 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | court | | CRIMINAL EVENT COURT TYPES | 1 | m#1 | m#1 |
| 8 | 2 | String | other | 1000 | | 1 | m#1 | m#1 |
| 7 | 8 | NV | civilJudicialInfo | | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------------|------------|--|-----------|------|--------|
| 8 | 1 | NV | courtInformation | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 10 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | address | | | 1 | m#1 | m#1 |
| 11 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 11 | 2 | String | street2 | 40 | | 1 | m#1 | m#1 |
| 11 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 11 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 |
| 11 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 9 | 2 | String | docketCaseName | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | | matterInformation | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | employingFirmInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 10 | 2 | String | registrationNumber | 17 | | 1 | o | o |
| 10 | 3 | String | crdNumber | 9 | | 1 | o | o |
| 9 | 2 | NV | principalProductTypes | | | 1 | m#1 | m#1 |
| 10 | 1 | String | product | | PRINCIPAL_PRODUCT_OPTION_TYPE, PRINCIPAL_PRODUCT_TYPE_EXTENDED | 1 | m#1 | m#1 |
| 10 | 2 | String | productOther | 1000 | | 1 | m#1 | m#1 |
| 9 | 3 | String | otherProductTypes | 1000 | | 1 | m#1 | m#1 |
| 9 | 4 | String | allegationsDescription | 10000 | | 1 | m#1 | m#1 |
| 8 | 3 | NV | pendingInformation | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | servedInformation | | | 1 | m#1 | m#1 |
| 10 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 10 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 11 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 11 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 9 | 2 | NV | limitationsRestrictions | | | 1 | m#1 | m#1 |
| 10 | 1 | String | hasLimitationsOrRestrictions | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 10 | 2 | String | details | 3000 | | 1 | m#1 | m#1 |
| 8 | 4 | NV | appealInformation | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | appealBroughtInInformation | | | 1 | m#1 | m#1 |
| 11 | 1 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 12 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 12 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 |
| 12 | 3 | NV | address | | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------------|------------|--|-----------|------|--------|
| 13 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 13 | 2 | String | street2 | 40 | | 1 | m#1 | m#1 |
| 13 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 13 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 |
| 13 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | docketCaseName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | NV | dateInformation | | | 1 | m#1 | m#1 |
| 10 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 10 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 11 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 11 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 |
| 9 | 3 | String | details | 10000 | | 1 | m#1 | m#1 |
| 9 | 4 | NV | limitationsRestrictions | | | 1 | m#1 | m#1 |
| 10 | 1 | String | hasLimitationsOrRestrictions | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 10 | 2 | String | details | 1000 | | 1 | m#1 | m#1 |
| 8 | 5 | NV | resolutionDetail | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | sactionsOrdered | | | 1 | m#1 | m#1 |
| 10 | 1 | String | saction | | SANCTION_BASE TYPE, PRINCIPAL SANCTION RELIEF BASE | 20 | m#1 | m#1 |
| 10 | 2 | String | otherExplanation | 10000 | | 1 | m#1 | m#1 |
| 9 | 2 | Decimal | amountOrdered | 16 | | 1 | m#1 | m#1 |
| 8 | 6 | NV | sanctionDetails | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | barred | | | unbounded | m#1 | m#1 |
| 10 | 1 | NV | duration | | | 1 | m#1 | m#1 |
| 11 | 1 | NV | durationType | | | 1 | m#1 | m#1 |
| 12 | 1 | String | permanent | | | 1 | m#1 | m#1 |
| 12 | 2 | NV | durationTime | | | 1 | m#1 | m#1 |
| 13 | 1 | String | days | | | 1 | m#1 | m#1 |
| 13 | 2 | String | months | | | 1 | m#1 | m#1 |
| 13 | 3 | String | years | | | 1 | m#1 | m#1 |
| 10 | 2 | NV | startDate | | | 1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | endDate | | | 1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------|------------|-------------|-----------|------|--------|
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 |
| 10 | 4 | String | description | 3000 | | 1 | m#1 | m#1 |
| 9 | 2 | NV | enjoined | | | unbounded | m#1 | m#1 |
| 10 | 1 | NV | duration | | | 1 | m#1 | m#1 |
| 11 | 1 | NV | durationType | | | 1 | m#1 | m#1 |
| 12 | 1 | String | permanent | | | 1 | m#1 | m#1 |
| 12 | 2 | NV | durationTime | | | 1 | m#1 | m#1 |
| 13 | 1 | String | days | | | 1 | m#1 | m#1 |
| 13 | 2 | String | months | | | 1 | m#1 | m#1 |
| 13 | 3 | String | years | | | 1 | m#1 | m#1 |
| 10 | 2 | NV | startDate | | | 1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | endDate | | | 1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 10000 | | 1 | m#1 | m#1 |
| 10 | 4 | String | description | 3000 | | 1 | m#1 | m#1 |
| 9 | 3 | NV | suspended | | | unbounded | m#1 | m#1 |
| 10 | 1 | NV | duration | | | 1 | m#1 | m#1 |
| 11 | 1 | NV | durationType | | | 1 | m#1 | m#1 |
| 12 | 1 | String | permanent | | | 1 | m#1 | m#1 |
| 12 | 2 | NV | durationTime | | | 1 | m#1 | m#1 |
| 13 | 1 | String | days | | | 1 | m#1 | m#1 |
| 13 | 2 | String | months | | | 1 | m#1 | m#1 |
| 13 | 3 | String | years | | | 1 | m#1 | m#1 |
| 10 | 2 | NV | startDate | | | 1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|---------------------------|------------|------------------------------------|-----------|------|--------|
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | endDate | | | 1 | m#1 | m#1 |
| 11 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 11 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 12 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 12 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 10 | 4 | String | description | 3000 | | 1 | m#1 | m#1 |
| 9 | 4 | String | isReqaulificationRequired | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 9 | 5 | NV | requailificationDetails | | | 1 | m#1 | m#1 |
| 10 | 1 | NV | timeToReqaulifyRetrain | | | 1 | m#1 | m#1 |
| 11 | 1 | String | noTimePeriodSpecified | | | 1 | m#1 | m#1 |
| 11 | 2 | NV | durationTime | | | 1 | m#1 | m#1 |
| 12 | 1 | String | days | | | 1 | m#1 | m#1 |
| 12 | 2 | String | months | | | 1 | m#1 | m#1 |
| 12 | 3 | String | years | | | 1 | m#1 | m#1 |
| 10 | 2 | String | typeRequired | 1000 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | conditionState | | | 1 | m#1 | m#1 |
| 11 | 1 | String | satisfied | | | 1 | m#1 | m#1 |
| 12 | 1 | String | satisfied | | | 1 | m#1 | m#1 |
| 12 | 2 | NV | satisfiedDate | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | NV | notSatisfied | | | 1 | m#1 | m#1 |
| 12 | 1 | String | satisfied | | | 1 | m#1 | m#1 |
| 12 | 2 | String | explanation | 1000 | | 1 | m#1 | m#1 |
| 9 | 6 | NV | monetarySanctions | | | 1 | m#1 | m#1 |
| 10 | 1 | Decimal | totalAmountOrdered | 16 | | 1 | m#1 | m#1 |
| 10 | 2 | Decimal | amountOrdered | 16 | | 1 | m#1 | m#1 |
| 10 | 3 | Decimal | waivedPortion | 16 | | 1 | m#1 | m#1 |
| 10 | 4 | Decimal | finalAmount | 18 | | 1 | m#1 | m#1 |
| 10 | 5 | NV | paymentState | | | 1 | m#1 | m#1 |
| 11 | 1 | NV | paidInFull | | | 1 | m#1 | m#1 |
| 12 | 1 | String | amountPaidInFull | | | 1 | m#1 | m#1 |
| 12 | 2 | String | paidDate | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | NV | notPaidInFull | | | 1 | m#1 | m#1 |
| 12 | 1 | String | amountNotPaidInFull | | | 1 | m#1 | m#1 |
| 12 | 2 | String | explanation | 1000 | | 1 | m#1 | m#1 |
| 7 | 9 | NV | resolutionInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | resolutionTypes | | CIVIL_JUDICIAL_TYP | 12 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|-----------------------------|------------|---|-----------|------|--------|
| | | | | | <u>E</u> | | | |
| 8 | 2 | String | otherDescription | 1000 | | 1 | m#1 | m#1 |
| 8 | 3 | String | appealType | | <u>APPEAL TYPES, APPEAL EXTENDED TYPE</u> | 5 | m#1 | m#1 |
| 8 | 4 | String | appealOther | 1000 | | 1 | m#1 | m#1 |
| 8 | 5 | String | explanantion | 10000 | | 1 | m#1 | m#1 |
| 8 | 6 | String | isFinalOrder | | <u>YES_NO_TYPE</u> | 1 | m#1 | m#1 |
| 8 | 7 | NV | resolutionDate | | | 1 | m#1 | m#1 |
| 9 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 9 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 9 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 10 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 4 | 7 | NV | customerComplaintDisclosure | | | 1 | m#1 | m#1 |
| 5 | 1 | NV | customerComplaintDrp | | | unbounded | m#1 | m#1 |
| 6 | 1 | NV | baseHeader | | | 1 | m#1 | m#1 |
| 7 | 1 | String | reponseType | | | 1 | m#1 | m#1 |
| 8 | 1 | String | add | | | 1 | m#1 | m#1 |
| 8 | 2 | String | amend | | | 1 | m#1 | m#1 |
| 7 | 2 | NV | filingInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | formADVBDFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | crdNumber | 9 | | 1 | m#1 | m#1 |
| 9 | 3 | String | disclosureNumber | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | maFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 3 | NV | maiFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 9 | 4 | String | accessionNumber | 20 | | 1 | m#1 | m#1 |
| 8 | 4 | NV | matFiling | | | 1 | m#1 | m#1 |
| 9 | 1 | String | filingName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | m#1 | m#1 |
| 9 | 3 | String | filingDate | 10 | | 1 | m#1 | m#1 |
| 7 | 3 | String | summary | 10000 | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|----------------------------|------------|--|-----------|------|--------|
| 7 | 4 | NV | drpRemovalInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | String | isDrpRemovable | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 8 | 2 | NV | drpRemoveReason | | | 1 | m#1 | m#1 |
| 9 | 1 | String | isRegistered | | | 1 | m#1 | m#1 |
| 9 | 2 | NV | isFiledError | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explainTheCircumstances | 10000 | | 1 | m#1 | m#1 |
| 7 | 5 | String | status | | | 1 | m#1 | m#1 |
| 8 | 1 | String | pending | | | 1 | m#1 | m#1 |
| 8 | 2 | String | onAppeal | | | 1 | m#1 | m#1 |
| 8 | 3 | String | final | | | 1 | m#1 | m#1 |
| 6 | 2 | String | customerComplaintQuestions | | CUSTOMER COMPLAINT DISCLOSURE QUESTIONS | 1 | m#1 | m#1 |
| 6 | 3 | NV | drpData | | | 1 | m#1 | m#1 |
| 7 | 1 | NV | disclosureStatus | | | 1 | m#1 | m#1 |
| 8 | 1 | String | isNotNamedAsParty | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 8 | 2 | NV | isNamedAsParty | | | 1 | m#1 | m#1 |
| 9 | 1 | String | isInvolveArbitration | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 9 | 2 | String | isInvolveLitigation | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 7 | 2 | String | customerName | 3000 | | 1 | m#1 | m#1 |
| 7 | 3 | String | customerResidence | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 |
| 7 | 4 | String | customerOtherResidence | 3000 | | 1 | m#1 | m#1 |
| 7 | 5 | NV | matterInformation | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | employingFirmInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | String | registrationNumber | 17 | | 1 | o | o |
| 9 | 3 | String | crdNumber | 9 | | 1 | o | o |
| 8 | 2 | NV | principalProductTypes | | | 1 | m#1 | m#1 |
| 9 | 1 | String | product | | PRINCIPAL PRODUCT OPTION TYPE, PRINCIPAL PRODUCT TYPE EXTENDED | 1 | m#1 | m#1 |
| 9 | 2 | String | productOther | 1000 | | 1 | m#1 | m#1 |
| 8 | 3 | String | otherProductTypes | 1000 | | 1 | m#1 | m#1 |
| 8 | 4 | String | allegationsDescription | 10000 | | 1 | m#1 | m#1 |
| 7 | 6 | NV | damageInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | Decimal | damageAmount | 16 | | 1 | m#1 | m#1 |
| 8 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 8 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 9 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------|------------|------------------------------------|-----------|------|--------|
| 7 | 7 | String | isOralComplaint | | YES_NO_TYPE | 1 | m#1 | m#1 |
| 7 | 8 | String | isWrittenComplaint | | | 1 | m#1 | m#1 |
| 7 | 9 | NV | arbitrationDetail | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | detail | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 10 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | address | | | 1 | m#1 | m#1 |
| 11 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 11 | 2 | String | street2 | 40 | | 1 | m#1 | m#1 |
| 11 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 11 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 |
| 11 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 9 | 2 | String | docketCaseName | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | date | | | 1 | m#1 | m#1 |
| 9 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 9 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 9 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 10 | 2 | String | provideExplanation | | | 1 | m#1 | m#1 |
| 7 | 10 | String | filingDateArbitration | 10 | | 1 | m#1 | m#1 |
| 7 | 11 | String | finalStatus | | ARBITRATION_TYPE | 8 | m#1 | m#1 |
| 7 | 12 | NV | statusDate | | | 1 | m#1 | m#1 |
| 8 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 8 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 8 | 3 | NV | explanationInfo | 1000 | | 1 | m#1 | m#1 |
| 9 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 9 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 |
| 7 | 13 | Decimal | monetaryJudgmentAmount | 16 | | 1 | m#1 | m#1 |
| 7 | 14 | NV | judgementInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | Decimal | totalAmount | 16 | | 1 | m#1 | m#1 |
| 8 | 2 | Decimal | contributionAmount | 16 | | 1 | m#1 | m#1 |
| 8 | 3 | NV | amountInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | Decimal | reducedAmount | 16 | | 1 | m#1 | m#1 |
| 9 | 2 | Decimal | totalFine | 18 | | 1 | m#1 | m#1 |
| 9 | 3 | NV | paidStatus | | | 1 | m#1 | m#1 |
| 10 | 1 | String | paidInFullDate | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | explanation | 3000 | | 1 | m#1 | m#1 |
| 7 | 15 | String | claimFiledWith | 1000 | | 1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------|------------|---|-----------|------|--------|
| 7 | 16 | NV | forumLocation | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | detail | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 10 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | address | | | 1 | m#1 | m#1 |
| 11 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 11 | 2 | String | street2 | 40 | | 1 | m#1 | m#1 |
| 11 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 11 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 |
| 11 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 9 | 2 | String | docketCaseName | 256 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | date | | | 1 | m#1 | m#1 |
| 9 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 9 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 9 | 3 | NV | explanationInfo | 1000 | | 1 | m#1 | m#1 |
| 10 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 10 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 |
| 7 | 17 | NV | dispositionType | | | 1 | m#1 | m#1 |
| 8 | 1 | String | dispositionTypes | | DISPOSITION_BASE_TYPE, RESOLUTION EXTENDED TYPE | 10 | m#1 | m#1 |
| 8 | 2 | NV | otherInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | other | 3000 | | 1 | m#1 | m#1 |
| 9 | 2 | NV | dispositionDate | | | 1 | m#1 | m#1 |
| 10 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 10 | 3 | NV | explanationInfo | 1000 | | 1 | m#1 | m#1 |
| 11 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 11 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 |
| 7 | 18 | NV | dispositionInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | compensationDetail | | | 1 | m#1 | m#1 |
| 9 | 1 | Decimal | totalAmount | 16 | | 1 | m#1 | m#1 |
| 9 | 2 | Decimal | contributionAmount | 16 | | 1 | m#1 | m#1 |
| 9 | 3 | NV | amountInfo | | | 1 | m#1 | m#1 |
| 10 | 1 | Decimal | reducedAmount | 16 | | 1 | m#1 | m#1 |
| 10 | 2 | Decimal | totalFine | 18 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | paidStatus | | | 1 | m#1 | m#1 |
| 11 | 1 | String | paidInFullDate | 10 | | 1 | m#1 | m#1 |

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| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------|------------|---|-----------|------|--------|
| 11 | 2 | String | explanation | 1000 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | court | | CRIMINAL EVENT COURT TYPES | 1 | m#1 | m#1 |
| 9 | 2 | String | other | 1000 | | 1 | m#1 | m#1 |
| 8 | 3 | NV | appealInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | detail | | | 1 | m#1 | m#1 |
| 10 | 1 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 11 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 |
| 11 | 3 | NV | address | | | 1 | m#1 | m#1 |
| 12 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 12 | 2 | String | street2 | 40 | | 1 | m#1 | m#1 |
| 12 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 12 | 4 | String | stateOrCountry | | STATE COUNTRY CODE | 1 | m#1 | m#1 |
| 12 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | docketCaseName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | NV | date | | | 1 | m#1 | m#1 |
| 10 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 10 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 11 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 11 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 7 | 19 | NV | resolutionType | | | 1 | m#1 | m#1 |
| 8 | 1 | String | dispositionTypes | | DISPOSITION BASE TYPE, RESOLUTION EXTENDED TYPE | 10 | m#1 | m#1 |
| 8 | 2 | NV | otherInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | other | 3000 | | 1 | m#1 | m#1 |
| 9 | 2 | NV | dispositionDate | | | 1 | m#1 | m#1 |
| 10 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 10 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 11 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 11 | 2 | String | provideExplanation | 3000 | | 1 | m#1 | m#1 |
| 7 | 20 | NV | resolutionInfo | | | 1 | m#1 | m#1 |
| 8 | 1 | NV | compensationDetail | | | 1 | m#1 | m#1 |
| 9 | 1 | Decimal | totalAmount | 16 | | 1 | m#1 | m#1 |
| 9 | 2 | Decimal | contributionAmount | 16 | | 1 | m#1 | m#1 |
| 9 | 3 | NV | amountInfo | | | 1 | m#1 | m#1 |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-I | MA-I/A |
|-------|-------|-----------|------------------------|------------|--|-----------|------|--------|
| 10 | 1 | Decimal | reducedAmount | 16 | | 1 | m#1 | m#1 |
| 10 | 2 | Decimal | totalFine | 18 | | 1 | m#1 | m#1 |
| 10 | 3 | NV | paidStatus | | | 1 | m#1 | m#1 |
| 11 | 1 | String | paidInFullDate | 10 | | 1 | m#1 | m#1 |
| 11 | 2 | String | explanation | 1000 | | 1 | m#1 | m#1 |
| 8 | 2 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | String | court | | CRIMINAL_EVENT_COURT_TYPES | 1 | m#1 | m#1 |
| 9 | 2 | String | other | 1000 | | 1 | m#1 | m#1 |
| 8 | 3 | NV | appealInfo | | | 1 | m#1 | m#1 |
| 9 | 1 | NV | detail | | | 1 | m#1 | m#1 |
| 10 | 1 | NV | courtInfo | | | 1 | m#1 | m#1 |
| 11 | 1 | String | name | 256 | | 1 | m#1 | m#1 |
| 11 | 2 | String | docketOrCaseNo | 256 | | 1 | m#1 | m#1 |
| 11 | 3 | NV | address | | | 1 | m#1 | m#1 |
| 12 | 1 | String | street1 | 40 | | 1 | m#1 | m#1 |
| 12 | 2 | String | street2 | 40 | | 1 | m#1 | m#1 |
| 12 | 3 | String | city | 30 | | 1 | m#1 | m#1 |
| 12 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m#1 | m#1 |
| 12 | 5 | String | zipCode | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | docketCaseName | 256 | | 1 | m#1 | m#1 |
| 9 | 2 | NV | date | | | 1 | m#1 | m#1 |
| 10 | 1 | String | date | 10 | | 1 | m#1 | m#1 |
| 10 | 2 | String | exact | | | 1 | m#1 | m#1 |
| 10 | 3 | NV | explanationInfo | | | 1 | m#1 | m#1 |
| 11 | 1 | String | explanation | | | 1 | m#1 | m#1 |
| 11 | 2 | String | provideExplanation | 1000 | | 1 | m#1 | m#1 |
| 7 | 21 | String | appealDetail | 10000 | | 1 | m#1 | m#1 |
| 3 | 19 | NV | documents | | | 500 | m# | m# |
| 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# |

3.6 Mapping of Form MA-W Submission Schemas to Submission Types

Mapping of Form MA-W Submission Schema to Submission Type

DRAFT

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-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 | String | liveTestFlag | | | 1 | NA |
| 4 | 2 | NV | filer | | | 1 | m |
| 5 | 1 | String | filerId | 10 | | 1 | m |
| 5 | 2 | String | filerCcc | 8 | | 1 | m |
| 5 | 3 | String | filerFileNumber | 17 | | 1 | m |
| 4 | 3 | NV | contact | | | | m |
| 5 | 1 | String | name | 30 | | 1 | m |
| 5 | 2 | String | phoneNumber | 20 | | 1 | m |
| 4 | 4 | String | contactEmail | 80 | | 1 | m |
| 4 | 5 | NV | notifications | | | 1 | o |
| 5 | 1 | String | internetNotificationAddress | 80 | | unbounded | o |
| 2 | 3 | NV | formData | | | 1 | m |
| 3 | 1 | String | fullLegalName | 150 | | 1 | m |
| 3 | 2 | String | fileNumber | 17 | | 1 | m |
| 3 | 3 | NV | contactPersonInfo | | | 1 | m |
| 4 | 1 | NV | nameAddressPhone | | | 1 | m |
| 5 | 1 | NV | individualName | | | 1 | m |
| 6 | 1 | String | firstName | 50 | | 1 | m |
| 6 | 2 | String | middleName | 30 | | 1 | m |
| 6 | 3 | String | lastName | 50 | | 1 | m |
| 5 | 2 | String | name | 256 | | 1 | m |
| 5 | 3 | NV | addressInfo | | | 1 | m |
| 6 | 1 | String | residentialAddressFlag | | | NA | NA |
| 6 | 2 | NV | address | | | 1 | m |
| 7 | 1 | String | street1 | 40 | | 1 | m |
| 7 | 2 | String | street2 | 40 | | 1 | o |
| 7 | 3 | String | city | 30 | | 1 | m |
| 7 | 4 | String | stateOrCountry | | STATE_COUNTRY_CODE | 1 | m |
| 7 | 5 | String | zipCode | 10 | | 1 | m |
| 5 | 4 | String | phoneNumber | 20 | | 1 | m |
| 4 | 2 | String | title | 60 | | 1 | o |
| 4 | 3 | String | email | 80 | | 1 | m |
| 3 | 4 | Decimal | amountOwedForPreppaidServices | 16 | | 1 | m# |
| 3 | 5 | Decimal | amountOwedFromBorrowedFunds | 16 | | 1 | m# |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-W |
|-------|-------|-----------|--------------------------------|------------|------------------------------------|-----------|------|
| 3 | 6 | String | isAdvisoryContract | | YES_NO_TYPE | 1 | m |
| 3 | 7 | NV | advisoryContractAssignments | | | 1 | m# |
| 4 | 1 | NV | advisoryContract | | | unbounded | m# |
| 5 | 1 | NV | individualName | | | NA | NA |
| 5 | 2 | String | firstName | 50 | | NA | NA |
| 5 | 3 | String | middleName | 30 | | NA | NA |
| 5 | 4 | String | lastName | 50 | | NA | NA |
| 5 | 5 | String | name | 256 | | unbounded | #m |
| 5 | 6 | NV | addressInfo | | | unbounded | #m |
| 5 | 7 | String | residentialAddressFlag | | | unbounded | #m |
| 5 | 8 | NV | address | | | unbounded | #m |
| 5 | 9 | String | street1 | 40 | | unbounded | #m |
| 5 | 10 | String | street2 | 40 | | unbounded | o |
| 5 | 11 | String | city | 30 | | unbounded | #m |
| 5 | 12 | String | stateOrCountry | | STATE_COUNTRY_CODE | unbounded | #m |
| 5 | 13 | String | zipCode | 10 | | unbounded | #m |
| 5 | 14 | String | phoneNumber | 20 | | unbounded | #m |
| 3 | 8 | String | isUnsatisfiedJudgementsOrLiens | | YES_NO_TYPE | 1 | m |
| 3 | 9 | String | isReceivedAnyPrepaidFee | | YES_NO_TYPE | 1 | m |
| 3 | 10 | String | isBorrowedNotRepaid | | YES_NO_TYPE | 1 | m |
| 3 | 11 | NV | booksAndRecords | | | 1 | m |
| 4 | 1 | NV | personLocation | | | unbounded | m |
| 5 | 1 | NV | personInfo | | | unbounded | m |
| 6 | 1 | NV | individualName | | | NA | NA |
| 6 | 2 | String | firstName | 50 | | NA | NA |
| 6 | 3 | String | middleName | 30 | | NA | NA |
| 6 | 4 | String | lastName | 50 | | NA | NA |
| 6 | 5 | String | name | 256 | | unbounded | m |
| 6 | 6 | NV | addressInfo | | | unbounded | m |
| 6 | 7 | String | residentialAddressFlag | | | unbounded | m |
| 6 | 8 | NV | address | | | unbounded | NA |
| 6 | 9 | String | street1 | 40 | | unbounded | o |
| 6 | 10 | String | street2 | 40 | | unbounded | m |
| 6 | 11 | String | city | 30 | | unbounded | m |
| 6 | 12 | String | stateOrCountry | | STATE_COUNTRY_CODE | unbounded | m |
| 6 | 13 | String | zipCode | 10 | | unbounded | m |
| 6 | 14 | String | phoneNumber | 20 | | unbounded | m |
| 5 | 2 | NV | locationInfo | | | unbounded | m |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-W |
|-------|-------|-----------|-------------------------|------------|------------------------------------|-----------|------|
| 6 | 1 | NV | nameAddressPhone | | | unbounded | m |
| 7 | 1 | NV | individualName | | | NA | NA |
| 7 | 2 | String | firstName | 50 | | NA | NA |
| 7 | 3 | String | middleName | 30 | | NA | NA |
| 7 | 4 | String | lastName | 50 | | NA | NA |
| 7 | 5 | String | name | 256 | | unbounded | o |
| 7 | 6 | NV | addressInfo | | | unbounded | m |
| 7 | 7 | String | residentialAddressFlag | | | unbounded | m |
| 7 | 8 | NV | address | | | unbounded | m |
| 7 | 9 | String | street1 | 40 | | unbounded | m |
| 7 | 10 | String | street2 | 40 | | unbounded | m |
| 7 | 11 | String | city | 30 | | unbounded | m |
| 7 | 12 | String | stateOrCountry | | STATE_COUNTRY_CODE | unbounded | m |
| 7 | 13 | String | zipCode | 10 | | unbounded | m |
| 7 | 14 | String | phoneNumber | 20 | | unbounded | m |
| 6 | 2 | String | description | 256 | | unbounded | m |
| 3 | 12 | NV | execution | | | 1 | m |
| 4 | 1 | NV | naturalPersonMucipal | | | NA | NA |
| 5 | 1 | String | signature | 150 | | NA | NA |
| 5 | 2 | String | signerName | 150 | | NA | NA |
| 5 | 3 | String | title | 150 | | NA | NA |
| 5 | 4 | String | date | 10 | | NA | NA |
| 4 | 2 | NV | soleProprietor | | | 1 | m# |
| 5 | 1 | String | signature | 150 | | 1 | m# |
| 5 | 2 | String | signerName | 150 | | 1 | m# |
| 5 | 3 | String | title | 150 | | 1 | m# |
| 5 | 4 | String | date | 10 | | 1 | m# |
| 4 | 3 | NV | municipalAdvisoryFirm | | | 1 | m# |
| 5 | 1 | String | signature | 150 | | 1 | m# |
| 5 | 2 | String | signerName | 150 | | 1 | m# |
| 5 | 3 | String | title | 150 | | 1 | m# |
| 5 | 4 | String | date | 10 | | 1 | m# |
| 3 | 13 | NV | statementOfFinancials | | | 1 | m# |
| 4 | 1 | NV | assetInfo | | | 1 | m# |
| 5 | 1 | NV | currentAssets | | | 1 | m# |
| 6 | 1 | Decimal | cash | 16 | | 1 | m# |
| 6 | 2 | Decimal | securititesAtMarket | 16 | | 1 | m# |
| 6 | 3 | Decimal | nonMarketableSecurities | 16 | | 1 | m# |
| 6 | 4 | Decimal | otherCurrentAssets | 16 | | 1 | m# |

| Level | Order | Data Type | Element/Attribute Name | Max Length | Choice List | Max Occur | MA-W |
|-------|-------|-----------|---------------------------------------|------------|-------------|-----------|------|
| 6 | 5 | Decimal | totalCurrentAssets | 18 | | 1 | m# |
| 5 | 2 | Decimal | totalFixedAsset | 16 | | 1 | m# |
| 5 | 3 | Decimal | totalAsset | 18 | | 1 | m# |
| 4 | 2 | NV | liabilityAndSharholdersEquityInfo | | | 1 | m# |
| 5 | 1 | NV | currentLiabilities | | | 1 | m# |
| 6 | 1 | Decimal | prepaidAdisoryFees | 16 | | 1 | m# |
| 6 | 2 | Decimal | shortTermLoansFromClients | 16 | | 1 | m# |
| 6 | 3 | Decimal | otherShortTermLoans | 16 | | 1 | m# |
| 6 | 4 | Decimal | otherCurrentLiabilities | 16 | | 1 | m# |
| 6 | 5 | Decimal | totalCurrentLiabilities | 18 | | 1 | m# |
| 5 | 2 | NV | fixedLiabilities | | | 1 | m# |
| 6 | 1 | Decimal | longTermDebtOwned | 16 | | 1 | m# |
| 6 | 2 | Decimal | otherLongTermDebt | 16 | | 1 | m# |
| 6 | 3 | Decimal | otherLongTermLiabilities | 16 | | 1 | m# |
| 6 | 4 | Decimal | totalFixedLiabilities | 18 | | 1 | m# |
| 5 | 3 | Decimal | totalShareholdersEquity | 18 | | 1 | m# |
| 5 | 4 | Decimal | totalLiabilitiesAndShareholdersEquity | 18 | | 1 | m# |

4 FORM MA SCHEMA DATA VALUE CONSTRAINTS

4.1 SUBMISSION_TYPE

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

| VALUE | DESCRIPTION |
|-------|---------------------------------------|
| MA | Initial Filing for Municipal Advisors |
| MA-A | Annual Filing for Municipal Advisors |
| MA/A | Amended Filing for Municipal Advisors |

4.2 YES_NO_TYPE

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

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

4.3 MONTH_TYPE

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

| VALUE |
|----------|
| January |
| February |
| March |
| April |
| May |
| June |

| VALUE |
|-----------|
| July |
| August |
| September |
| October |
| November |
| December |

4.4 CLIENT_TYPE

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

| VALUE |
|----------------------------------|
| Municipal Entities |
| Non-profit organizations |
| Corporations or other businesses |
| Other |
| Not Applicable |

4.5 SOLICITATION_PERSON_TYPE

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

| VALUE |
|-----------------------------------|
| Public pension funds |
| 529 Plans |
| Local government investment pools |

| VALUE |
|-----------------------------------|
| State government investment pools |
| Hospitals |
| Colleges |
| Other |
| Not Applicable |

4.6 COMPENSATION_TYPE

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

| VALUE |
|-------------------|
| Hourly Charges |
| Fixed Fees |
| Contingent Fees |
| Subscription Fees |
| Not Applicable |
| Other |

4.7 ENGAGED_ACTIVITY_TYPE

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

| VALUE |
|----------------------------------|
| Advice Insurance Of MS |
| Advice Investment Of Proceeds MS |
| Advice ME Investments |
| Advice ME Other |

| VALUE |
|----------------------|
| Investments |
| Advice Guaranteed IC |
| Advice Use Of MD |
| Solicitation Of IAB |
| Solicitation Other |
| Advice On Selection |
| Brokerage Of MEI |
| Other |

4.8 FIA_ASSOCIATED_PERSON_TYPE

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

| VALUE |
|---|
| Broker-dealer municipal securities dealer or government securities broker or dealer |
| Investment Company |
| Investment Adviser |
| Swap Dealer |
| Security-based swap dealer |
| Major swap participant |
| Major security-based swap participant |
| Commodity pool operator |
| Commodity trading advisor |

| VALUE |
|---|
| Futures commission merchant |
| Banking/Thrift institution |
| Trust Company |
| Accountant or accounting firm |
| Lawyer or law firm |
| Insurance company or agency |
| Pension consultant |
| Real estate broker or dealer |
| Sponsor or syndicator of limited partnerships |
| Engineer or engineering firm |
| Other municipal advisor |

4.9 SECTION_12_15D_REPORTING_SCHEDULE

These are the valid values for the <SECTION_12_15D_REPORTING_SCHEDULE > element in the submission file:

| VALUE |
|----------------------|
| Schedule A |
| Schedule B |
| Schedule C Section 4 |
| Schedule C Section 5 |

| VALUE |
|------------------------|
| Schedule D Section 8-A |

4.10 OWNERSHIP_CODE

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

| VALUE |
|-------|
| NA |
| A |
| B |
| C |
| D |
| E |
| F |

4.11 CRIMINAL_RESPONDING_TO_TYPE

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

| VALUE |
|-------|
| 9-A1 |
| 9-A2 |
| 9-B1 |
| 9-B2 |

4.12 DISPOSITION_TYPES

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

| VALUE |
|-------------------------------------|
| Acquitted |
| Amended |
| Convicted |
| Deferred Adjudication |
| Dismissed |
| Found not guilty |
| Pled guilty |
| Pled nolo contendere |
| Pled not guilty |
| Pre-trial diversion/intervention |
| Reduced |
| Other |
| Appealed |

4.13 APPEAL_TYPES

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

| VALUE |
|--|
| Affirmed |
| Vacated & Returned For Further Action |
| Vacated / Final |

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

4.14 REGULATORY_RESPONDING_TO_TYPE

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

| VALUE |
|-------|
| 9-C1 |
| 9-C2 |
| 9-C3 |
| 9-C4 |
| 9-C5 |
| 9-D1 |
| 9-D2 |
| 9-D3 |
| 9-D4 |
| 9-D5 |
| 9-E1 |
| 9-E2 |
| 9-E3 |
| 9-E4 |
| 9-F |
| 9-G |

4.15 SANCTION_BASE_TYPE

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

| VALUE |
|-----------------------|
| BarPermanent |
| BarTemporary |
| Censure |
| CivilAdminPenaltyFine |
| Denial |
| Expulsion |
| Prohibition |
| Reprimand |
| Rescission |
| Requalification |
| Revocation |
| Suspension |
| Undertaking |
| Other |

4.16 PRINCIPAL_SANCTION_RELIEF_BASE

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

| VALUE |
|------------------|
| Cease and Desist |
| Disgorgement |

| VALUE |
|-------------|
| Injunction |
| Restitution |

4.17 PRINCIPAL_PRODUCT_TYPE_EXTENDED

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

| VALUE |
|----------------------|
| AnnuityCharitable |
| BankingProduct |
| EquipmentLeasing |
| OilAndGas |
| PrimeBankInstrument |
| Promissory Note |
| Real Estate Security |
| Security Futures |
| Security-based Swap |
| Swap |
| Viatical Settlement |
| Other |

4.18 PRINCIPAL_PRODUCT_OPTION_TYPE

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

| VALUE |
|--|
| Annuity(ies) - Fixed |
| Annuity(ies) - Variable |
| 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 Sock(s) |

| VALUE |
|--------------------------|
| Unit Investment Trust(s) |

4.19 REGULATORY_RESOLUTION_TYPE

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

| VALUE |
|--|
| Acceptance Waiver & Consent (AWC) |
| Consent |
| Decision |
| Decision & Order of Offer of Settlement |
| Dismissed |
| Judgement Rendered |
| Order |
| Settled |
| Opinion |
| Withdrawn |
| Stipulation and Consent |
| Other |
| Appealed |

4.20 CIVIL_JUDICIAL_RESOLUTION_TYPE

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

| VALUE |
|--|
| Exemption |
| Restraining Order |
| Money Damage(s) (Private/Civil Complaint) |
| Opinion |

4.21 APPEAL_EXTENDED_TYPE

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

| VALUE |
|-----------------------------------|
| Vacated Nunc Pro Tunc / ab initio |

4.22 CIVIL_JUDICIAL_SANCTIONS_TYPE

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

| VALUE |
|---|
| Exemption |
| Money Damage(s) (Private/Civil Complaint) |
| Restraining Order |

4.23 CIVIL_JUDICIAL_ACTION_INITIATED_BY_TYPE

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

| VALUE |
|-------------------------|
| SEC |
| Other Federal Authority |
| State |

| VALUE |
|--|
| SRO |
| Foreign Financial Regulatory Authority |
| Commodities Exchange |
| Private Plaintiff |
| CFTC |
| Municipal Advisory Firm |
| Other |

4.24 CIVIL_JUDICIAL_RESPONDING_TO_TYPE

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

| VALUE |
|-------|
| 9-H1a |
| 9-H1b |
| 9-H1c |
| 9-H2 |

4.25 SANCTION_BASE_TYPE

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

| VALUE |
|-----------------------|
| BarPermanent |
| BarTemporary |
| Censure |
| CivilAdminPenaltyFine |
| Denial |
| Expulsion |
| Prohibition |
| Reprimand |
| Rescission |
| Requalification |
| Revocation |
| Suspension |
| Undertaking |
| Other |

5 FORM MA-I SCHEMA DATA VALUE CONSTRAINTS

5.1 SUBMISSION_TYPE

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

| VALUE | DESCRIPTION |
|--------|--|
| MA-I | Initial Filing for Natural Persons Who Engage in Municipal Advisory Activities |
| MA-I/A | Amended Filing for Natural Persons Who Engage in Municipal Advisory Activities |

5.2 YES_NO_TYPE

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

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

5.3 LOCATED_AT_SUPERVISED_FROM

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

| VALUE |
|------------|
| LOCATED |
| SUPERVISED |

5.4 CRIMINAL_DISCLOSURE_QUESTIONS

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

| VALUE |
|----------|
| 6A(1)(a) |
| 6A(1)(b) |

| VALUE |
|----------|
| 6A(2)(a) |
| 6A(2)(b) |
| 6B(1)(a) |
| 6B(1)(b) |
| 6B(2)(a) |
| 6B(2)(b) |

5.5 CRIMINAL_EVENT_COURT_TYPES

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

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

5.6 REGULATORY_DISCLOSURE_QUESTIONS

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

| VALUE |
|-------|
| 6C(1) |
| 6C(2) |
| 6C(3) |

| VALUE |
|----------|
| 6C(4) |
| 6C(5) |
| 6C(6) |
| 6C(7) |
| 6C(8) |
| 6D(1)(a) |
| 6D(1)(b) |
| 6D(1)(c) |
| 6D(1)(d) |
| 6D(1)(e) |
| 6D(2)(a) |
| 6D(2)(b) |
| 6E(1) |
| 6E(2) |
| 6E(3) |
| 6E(4) |
| 6E(5) |
| 6E(6) |
| 6E(7) |
| 6F |
| 6G(1) |

5.7 SANCTION_BASE_TYPE

| VALUE |
|-----------------------|
| BarPermanent |
| BarTemporary |
| Censure |
| CivilAdminPenaltyFine |
| Denial |
| Exemption |
| Expulsion |
| MoneyDamages |
| Prohibition |
| Reprimand |
| Rescission |
| Requalification |
| RestrainingOrder |
| Revocation |
| Suspension |
| Undertaking |

5.8 PRINCIPAL_SANCTION_RELIEF_BASE

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

| VALUE |
|------------------|
| Cease and Desist |
| Disgorgement |

| VALUE |
|-------------|
| Injunction |
| Restitution |

5.9 PRINCIPAL_PRODUCT_TYPE_EXTENDED

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

| VALUE |
|----------------------|
| AnnuityCharitable |
| BankingProduct |
| EquipmentLeasing |
| OilAndGas |
| PrimeBankInstrument |
| Promissory Note |
| Real Estate Security |
| Security Futures |
| Security-based Swap |
| Swap |
| Viatical Settlement |
| Other |

5.10 PRINCIPAL_PRODUCT_OPTION_TYPE

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

| VALUE |
|--|
| Annuity(ies) - Fixed |
| Annuity(ies) - Variable |
| 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 Sock(s) |

| VALUE |
|--------------------------|
| Unit Investment Trust(s) |

5.11 MATTER_RESOLVED_TYPE

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

| VALUE |
|--------------------------------------|
| Acceptance Waiver & Consent (AWC) |
| Decision & Order of Offer Settlement |
| Decision |
| Consent |
| Dismissed |
| Judgement Rendered |
| Settled |
| Withdrawn |
| Other (requires explanation) |
| Order |
| Stipulation and Consent |

5.12 MATTER_APPEAL_TYPE

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

| VALUE |
|-----------------------------------|
| Affirmed |
| Vacated Nunc Pro Tunc / ab initio |

| VALUE |
|--|
| Vacated & Returned For Further Action |
| Vacated / Final |
| Other (requires explanation) |

5.13 INVESTIGATION_DISCLOSURE_QUESTIONS

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

| VALUE |
|-------|
| 6G(2) |
| 6A |
| 6B |
| 6C |
| 6D |
| 6E |

5.14 INVESTIGATION_RESOLVED_TYPE

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

| VALUE |
|---|
| Closed Without Further Action |
| Closed - Regulatory Action Initiated |
| Other (Explain) |

5.15 TERMINATION_DISCLOSURE_QUESTIONS

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

| VALUE |
|-------|
| 6J(1) |
| 6J(2) |
| 6J(3) |

5.16 TERMINATION_TYPE

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

| VALUE |
|-----------------------|
| Discharged |
| Permitted to Resign |
| Voluntary Resignation |

5.17 JUDGEMENT_LIEN_DISCLOSURE_QUESTIONS

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

| VALUE |
|-------|
| 6M |

5.18 LIEN_TYPE

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

| VALUE |
|-------|
| Civil |

| VALUE |
|-------|
| Tax |

5.19 LIEN_RESOLVED_TYPE_EXTENDED

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

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

5.20 LIEN_RESOLVED_TYPE

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

| VALUE |
|------------|
| Discharged |
| Released |
| Removed |
| Satisfied |

5.21 CIVIL_JUDICIAL_DISCLOSURE_QUESTIONS

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

| VALUE |
|----------|
| 6H(1)(a) |
| 6H(1)(b) |
| 6H(1)(c) |
| 6H(2) |

5.22 CIVIL_JUDICIAL_ACTION_INITIATED_BY_TYPE

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

| VALUE |
|---|
| SEC |
| Other Federal Authority |
| State |
| SRO |
| Foreign Financial Regulatory Authority |
| Commodities Exchange |
| Private Plaintiff |
| CFTC |
| Municipal Advisory Firm |
| Other |

5.23 CIVIL_JUDICIAL_SANCTIONS_TYPE

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

| VALUE |
|---|
| Exemption |
| Money Damage(s) (Private/Civil Complaint) |
| Restraining Order |

5.24 APPEAL_TYPES

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

| VALUE |
|--------------------|
| Affirmed |
| Vacated & Returned |

| VALUE |
|--------------------|
| For Further Action |
| Vacated / Final |
| Other |

5.25 APPEAL_EXTENDED_TYPE

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

| VALUE |
|-----------------------------------|
| Vacated Nunc Pro Tunc / ab initio |

5.26 CIVIL_JUDICIAL_TYPE

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

| VALUE |
|--|
| Consent |
| Decision |
| Decision And Order of Offer Settlement |
| Judgement Rendered |
| Stipulation and Consent |
| Opinion |
| Settled |
| Withdrawn |
| Dismissed |
| Order |
| Appealed |
| Other |

5.27 CUSTOMER_COMPLAINT_DISCLOSURE_QUESTIONS

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

| VALUE |
|----------|
| 6I(1)(a) |
| 6I(1)(B) |

| VALUE |
|----------|
| 6I(2)(a) |
| 6I(2)(b) |
| 6I(2)(c) |

5.28 ARBITRATION_TYPE

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

| VALUE |
|--|
| Closed/ No Action |
| Withdrawn |
| Denied |
| Settled |
| Arbitration Award/Monetary Judgement(for claimants/plaintiffs) |
| Arbitration Award/Monetary Judgement(for respondents/defendants) |
| Evolved into Arbitration/CFTC reparation |
| Evolved into Civil litigation |

5.29 DISPOSITION_BASE_TYPE

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

| VALUE |
|---|
| Denied |
| Dismissed |
| Judgement (other than monetary) |
| No Action |
| Settlement that includes a monetary payment to customer |
| Settlement without a monetary payment to customer |
| Withdrawn |
| Other |

5.30 RESOLUTION_EXTENDED_TYPE

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

DRAFT

| VALUE |
|---|
| Monetary Judgement to Applicant (Agent/Representative) |
| Monetary Judgement to Customer |

6 FORM MA-W SCHEMA DATA VALUE CONSTRAINTS

6.1 SUBMISSION_TYPE

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

| VALUE | DESCRIPTION |
|-------|-------------------|
| MA-W | Withdrawal Filing |

6.2 YES_NO_TYPE

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

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

7 BASIC SUBMISSION CONSTRUCTION

7.1 General Formatting of XML Files

The following rules apply to the submission file of an XML-format Form MA 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>`

7.2 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.

7.2.1 Enclosing a Document

1. Allowable file extensions are .pdf, .txt, .htm, .jpg, .xml and .gif.
2. The allowable document types are shown in the DocTypeList table in Section 4.3.
3. 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.
4. 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.
5. The `<description>` is optional, but all other elements must be present and must have a value.

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.

6. The XML for an enclosed supporting document looks like this:

```
<documents>
  <document>
```

DRAFT

```
< 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>
```

8 ERROR REPORTING

EDGAR will generate an error for each violation of an XML schema constraint, as well as for each violation of a Form MA 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 8-1: 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 Form MA 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.

9 EXAMPLE FORM MA SUBMISSION FILES

Table 9-1: Sample Submission/Document Files provides a list of sample submission files.

Table 9-1: Sample Submission/Document Files

| Submission/Document Type | Sample File |
|--------------------------|-----------------|
| MA | MA_sample.xml |
| MA-A | MA-A_sample.xml |
| MA-I | MA-I_sample.xml |

Appendix A. STATE/COUNTRY CODES

These are the valid designators for the <stateOrCountry> 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 |
| PA | PENNSYLVANIA |

| Code | State/Country Name |
|------|------------------------------|
| 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 |
| C6 | BAHRAIN |

| Code | State/Country Name |
|------|---------------------------------------|
| 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 |
| H1 | ECUADOR |

| Code | State/Country Name |
|------|-----------------------------------|
| 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 |
| 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 |
| L6 | ITALY |

| Code | State/Country Name |
|------|--|
| 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 |
| T6 | NAMIBIA |

| Code | State/Country Name |
|------|----------------------------------|
| 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 |
| T2 | SEYCHELLES |

| Code | State/Country Name |
|------|--|
| 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, PROVINCE OF CHINA |
| 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 |
| U5 | WESTERN SAHARA |

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

Appendix B. 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 |

Appendix C. US_IAR_STATE_TYPE

| VALUE |
|-------|
| AL |
| AK |
| AZ |
| AR |
| CA |
| CO |
| CT |
| DE |
| DC |
| FL |
| GA |
| HI |
| ID |
| IL |
| IN |
| IA |
| KS |
| KY |
| LA |
| ME |
| MD |
| MA |
| MI |
| MN |
| MS |
| MO |
| MT |
| NE |
| NV |
| NH |
| NJ |
| NM |
| NY |
| NC |
| ND |
| OH |
| OK |
| OR |
| PA |
| RI |
| SC |
| SD |

DRAFT

| VALUE |
|-------|
| TN |
| TX |
| UT |
| VT |
| VA |
| VI |
| WA |
| WI |
| WV |
| WY |
| PR |
| GU |

Appendix D. NON_US_COUNTRY_CODES

| VALUE |
|-------|
| A0 |
| A1 |
| A2 |
| A3 |
| A4 |
| A5 |
| A6 |
| A7 |
| A8 |
| A9 |
| B0 |
| Z4 |
| B2 |
| Y6 |
| B3 |
| B4 |
| B5 |
| B6 |
| B7 |
| 1A |
| B8 |
| B9 |
| C1 |
| 1B |
| 1C |
| C3 |
| C4 |
| 1D |
| C5 |
| C6 |
| C7 |
| C8 |
| 1F |
| C9 |
| D1 |
| G6 |
| D0 |
| D2 |
| D3 |
| 1E |
| B1 |
| D4 |

DRAFT

| VALUE |
|-------|
| D5 |
| D6 |
| D9 |
| E0 |
| X2 |
| E2 |
| E3 |
| E4 |
| E8 |
| E9 |
| F0 |
| F2 |
| F3 |
| F4 |
| F6 |
| F7 |
| F8 |
| F9 |
| G0 |
| Y3 |
| G1 |
| G2 |
| L7 |
| 1M |
| G3 |
| G4 |
| 2N |
| G7 |
| 1G |
| G9 |
| G8 |
| H1 |
| H2 |
| H3 |
| H4 |
| 1J |
| A0 |
| A1 |
| A2 |
| A3 |
| A4 |
| A5 |
| A6 |
| A7 |

DRAFT

| VALUE |
|-------|
| A8 |
| A9 |
| B0 |
| Z4 |
| B2 |
| Y6 |
| B3 |
| B4 |
| B5 |
| B6 |
| B7 |
| 1A |
| B8 |
| B9 |
| C1 |
| 1B |
| 1C |
| C3 |
| C4 |
| 1D |
| C5 |
| C6 |
| C7 |
| C8 |
| 1F |
| C9 |
| D1 |
| G6 |
| D0 |
| D2 |
| D3 |
| 1E |
| B1 |
| D4 |
| D5 |
| D6 |
| D9 |
| E0 |
| X2 |
| E2 |
| E3 |
| E4 |
| E8 |
| E9 |

| VALUE |
|-------|
| F0 |
| F2 |
| F3 |
| F4 |
| F6 |
| F7 |
| F8 |
| F9 |
| G0 |
| Y3 |
| G1 |
| G2 |
| L7 |
| 1M |
| G3 |
| G4 |
| 2N |
| G7 |
| 1G |
| G9 |
| G8 |
| H1 |
| H2 |
| H3 |
| H4 |
| 1J |
| 1H |
| H5 |
| H7 |
| H6 |
| H8 |
| H9 |
| I0 |
| I3 |
| I4 |
| 2C |
| I5 |
| I6 |
| 2Q |
| 2M |
| J0 |
| J1 |

| VALUE |
|-------|
| J3 |
| J4 |
| J5 |
| J6 |
| GU |
| J8 |
| Y7 |
| J9 |
| S0 |
| K0 |
| K1 |
| K4 |
| X4 |
| K2 |
| K3 |
| K5 |
| K6 |
| K7 |
| K8 |
| K9 |
| L0 |
| L2 |
| Y8 |
| L3 |
| L6 |
| L8 |
| M0 |
| Y9 |
| M2 |
| 1P |
| M3 |
| J2 |
| M4 |
| M5 |
| M6 |
| 1N |
| M7 |
| 1R |
| M8 |
| M9 |
| N0 |
| N1 |

DRAFT

| VALUE |
|-------|
| N2 |
| 1Q |
| N4 |
| N5 |
| 1U |
| N6 |
| N7 |
| N8 |
| N9 |