4530 Disclosure Reporting XML Format

Effective October 1, 2017

Fields marked as optional may be required based on information contained within the filing. For example, Registered Representative information is not required unless the filing is related to a Registered Representative. See the "Notes" column for details.

Tag Name	Max Length	Format	Required/ Optional	Notes
<filings-4530>			R	Container for filings
<disclosure>			R	Container for disclosure
<id></id>	30	A/N	R	Member firm's unique ID for this filing
<date></date>	10	YYYY/MM/DD		Date disclosure was discovered
<firm-id>|</firm-id>	8	Number	R	Firm's CRD number
<branch-id></branch-id>	10	Number	O	Branch ID is optional unless the disclosure event is Related To a registered representative, in which case Branch ID is required. Enter the CRD Number of the location where the alleged activity occurred or where the representative is or was located. If the location cannot be determined, you may use the CRD Branch Number for the firm's CRD Main Office or Compliance department. You can no longer use the word MAIN or HOME as a valid entry.
<contact>			R	Container for contact information
<first-name></first-name>	30	A/N	R	Contact's first name
<last-name></last-name>	30	A/N	R	Contact's last name
<phone-number></phone-number>	20	Number	R	Contact's phone number
<email></email>	70	A/N	O	Contact's email address
</contact>			R	Close contact container
<related-to>			R	Container for related to information. At least one option must be selected.
<rep></rep>	1	Number	O	If complaint is related to Registered Rep, Use the value '1'.
<firm></firm>	1	Number	O	If complaint is related to Firm, Use the value '1'.
<affiliate></affiliate>	1	Number	O	If complaint is related to Affiliate, Use the value '1'.

Tag Name	Max Length	Format	Required/ Optional	Notes
`<ap></ap>`	1	Number	O	If complaint is related to a Non-Registered Rep Associated Person, Use the value '1'.
`<municipal></municipal>`	1	Number	O	If complaint is related to a Municipal Advisory Services, Use the value '1'.
`<other></other>`	1	Number	O	If complaint is related to Other, Use the value '1'.

Tag Name	Max Length	Format	Required/ Optional	Notes
`</related-to>`			R	Close related to container
`<event></event>`	2	Number	R	Disclosure Event Codes: **11** = (a)(1)(A) External Finding **12** = (a)(1)(B) Customer Complaint Involving Certain Allegations **13** = (a)(1)(C) Named in a Regulatory Proceeding **14** = (a)(1)(D) Subject to Other Regulatory Actions **15** = (a)(1)(E) Criminal Actions Involving Felonies and Certain Misdemeanors **16** = (a)(1)(F) Associated with a Financial Entity Subject to Certain Actions **17** = (a)(1)(G) Civil Litigation; Arbitration Matters; or Certain Claims for Damages **18** = (a)(1)(H) Statutory Disqualification **19** = (a)(2) Disciplinary Action Taken by a Firm Against an Associated Person **20** = (b) Internal Conclusion
`<product></product>`	2	Number	O	Required if Event Code is 12
`<customer>`			R	Container for customer information
`<first-name></first-name>`	30	A/N	O	Customer's first name
`<last-name></last-name>`	255	A/N	R	Customer's last name
`</customer>`			R	Close customer information

	10	YYYY/MM/DD	R	First date of Allegation Activity. Must be equal or prior to the <date> field entry. The system will allow zeros in the month or day fields for those instances where all such precise dates are not known (for example, when the specific day of the month is not known, but the month and year is known, you may enter "yyyy/mm/00").
<activity-date> </activity-date>				

Tag Name	Max Length	Format	Required/ Optional	Notes
<activity-date2> </activity-date2>	10	YYYY/MM/DD	R	Last date of Allegation Activity. Must be equal or prior to the filing submission date and equal or subsequent to the Activity From <activity-date> field entry. The system will allow zeros in the month or day fields for those instances where all such precise dates are not known (for example, when the specific day of the month is not known, but the month and year is known, you may enter "yyyy/mm/00"). If the activity is alleged or known to be ongoing, you should provide an explanation in the <comment> field.
<transaction>			R	Container for transaction information
<amount> </amount>	12	Number	O	Amount of the transaction
<disputed-amount>	12	Number	O	Container for the Disputed Amount Information. Required if Event Code is 12
<dsptd-amt-flag> </dsptd-amt-flag>	1	Number	O	Use 0 - exact amount is entered in <dsptd-amt> Use 1 - <dsptd-amt> is estimated to be $5,000 or more / cannot determine Use 2 - <dsptd-amt> is estimated to be under $5,000
<dsptd-amt> </dsptd-amt>	12	Number	O	Amount in dispute (Required if <dsptd-amt-flag> contains a zero, otherwise not allowed)
</disputed-amount>			O	Close disputed amount container
<securities>			R	Container for securities information. Must supply at least one and up to three securities if Event Code is 12.
<security>			R	Container for each security. Must supply at least one security entry. Can supply up to three securities. Use only one of the following two fields for each security being reported. Provide a security symbol OR a description, not both.

<symbol></symbol>	14	Alpha, periods (.)	O	Use this to provide the Security Description. You can type "NOT APPLICABLE" if reported event is not security related or if the issue symbol is not known.
<iss-descrpt></iss-descrpt>	255	A/N	O	Description of symbol. Can include "Not Applicable" as a valid value. Provide information for either symbol or description, not both.
</security>			R	Close security container
</securities>			R	Close securities container
</transaction>			R	Close transaction container
<investigator>			O	Container for investigator information
<first-name> </first-name>	30	A/N	O	Investigator's first name

Tag Name	Max Length	Format	Required/ Optional	Notes
<last-name> </last-name>	30	A/N	O	Investigator's last name
</investigator>				Close investigator container
<response-date> </response-date>	10	YYYY/MM/DD	O	Date that your firm responded to this complaint.
<representative>			O	Container for rep information. NOTE: If <rep> value is "1", then these values are Required.
<id></id>	12	Number	O	Rep CRD ID. If <rep> value is "1", then this value is required.
<location>			O	Container for location information
<city></city>	15	A/N	O	
<state></state>	2	Alpha	O	
</location>			O	Close location container
<supervisor>			O	Container for Rep's supervisor. If <rep> value is "1", then this value is required. 56
<first-name> </first-name>	30	A/N	O	First Name. If <rep> value is "1", then this value is required.
<last-name> </last-name>	30	A/N	O	Last Name. If <rep> value is "1", then this value is required.

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Tag Name	Max Length	Format	Required/ Optional	Notes
</supervisor>			O	Close supervisor container
</representative>				Close representative container
<disciplinary-action> </disciplinaryaction>	1	Alpha	O	Required if Event Code 19. Use W = Withholding of Compensation T = Termination I = Imposition of Fines S = Suspension
<comment> </comment>	2,000	A/N	O	Free form comment
<statutorydisqualification>			O	Container for SD information. Required if Event Code is 18.
<party-first-name> </party-first-name>	30	A/N	O	Party first name. Required if Event Code is 18.
<party-last-name> </party-last-name>	30	A/N	O	Party last name. Required if Event Code is 18.
<party-company> </party-company>	10	A/N	O	Required if Event Code is 18.
<explanation> </explanation>	50	Alpha	O	Required if Event Code is 18.
Tag Name	**Max Length**	**Format**	**Required/ Optional**	**Notes**
</statutory-disqualification>				Close SD container
</disclosure>			R	Close disclosure container
</filings-4530>			R	Close filings container

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