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EDGAR® Form ATS-N XML Technical Specification

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This draft EDGAR Form ATS-N 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 ATS-N 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 December 17, 2018. The final version of the technical specification will be made available if approved by the Commission on or about December 17, 2018, 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 ATS-N Electronic Data Gathering, Analysis, and Retrieval (EDGAR) Extensible Markup Language (XML) submission types. The following table lists the submission types for Form ATS-N.

Table 1-1: ATS-N Submission Types

SUBMISSION TYPE	DESCRIPTION
ATS-N	Initial Form ATS-N
ATS-N/MA	Material Amendment
ATS-N/UA	Updating Amendment
ATS-N/CA	Correcting Amendment
ATS-N/OFA	Order Display and Fair Access Amendment
ATS-N-C	Notice of Cessation
ATS-N-W	Withdrawal of Form ATS-N filing

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

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

The ATS-N 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/XML Website (<https://www.onlineforms.edgarfiling.sec.gov>).

In order to use the EDGAR FilerWeb or OnlineForms/XML 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/XML 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/XML 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).

2 EDGAR SCHEMA FILES

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

Table 2-1: ATS-N Schema Files

XML Schema File	Scope of File
eis_ATSN.xsd	Defines the elements for a ATS-N submission
eis_ATSN_CW.xsd	Defines the elements for an ATS-N-C or ATS-N-W submission
eis_Common_ATSN.xsd	Defines common elements for ATS-N submission
eis_ISO_StateCodes.xsd	Defines ISO State Country codes for all ATS-N submissions
eis_Common.xsd	Defines the common elements for all EDGAR submissions
eis_stateCodes	All State Codes

The schema files define the valid data elements for a Form ATS-N 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 ATS-N submission schema files. These are:

Table 2-2: Schema Language

Indicator	Purpose
<sequence>	Specifies that child elements must appear in a specific order. This indicator is used with each element hierarchy. Elements must always appear in the order shown in Section 3.4.
<choice>	Specifies that only one of the child elements can be present within the containing element.
<minOccurs>	Specifies the minimum number of times that an element can occur.
<maxOccurs>	Specifies the maximum number of times that an element can occur.

3 XML SCHEMAS

This section summarizes the restrictions and constraints imposed on the content of the ATS-N 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.
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.
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.

3.2 Data Type Constraints

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

Data Type	Constraints
Boolean	Indicate a "true" value with either a "1" or the word "true". Indicate a "false" value with either a "0" or the word "false". A Boolean element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.
date	Must be of the format YYYY-MM-DD. A date element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. Do not include a date element at all if your goal is to not provide an optional date.
integer	Only valid characters are 0-9. Cannot contain commas, a minus sign, a dollar sign, or parentheses. An integer element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.

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Data Type	Constraints										
Decimal	Only valid characters are 0-9 and a period. Cannot contain commas, dollar sign, or parentheses. EDGAR is equipped with storing a maximum of 24 digits (with no restriction on the number of digits after a floating point; if floating point is provided). A decimal element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. Do not include a decimal element at all if your goal is to not provide an optional number.										
String	<p>Should be no longer than the length shown in the tables in Section 3.4.</p> <p>EDGAR stores values in the <signatureName>, and <contactEmailAddress> elements exactly as provided. All other values are stored in the database as uppercase.</p> <p>You must use special escape sequences to represent these four characters:</p> <table border="1" data-bbox="620 569 1075 800"> <thead> <tr> <th>Character</th><th>Escape Sequence</th></tr> </thead> <tbody> <tr> <td><</td><td>&lt; or &#60;</td></tr> <tr> <td>></td><td>&gt; or &#62;</td></tr> <tr> <td>&</td><td>&amp; or &#38;</td></tr> <tr> <td>"</td><td>&quot; or &#34;</td></tr> </tbody> </table>	Character	Escape Sequence	<	< or <	>	> or >	&	& or &	"	" or "
Character	Escape Sequence										
<	< or <										
>	> or >										
&	& or &										
"	" or "										
NV	These fields cannot have a value. They are parent element nodes that contain other XML elements. These elements need to be present for proper validation.										
attr	Attribute property for an XML element.										

3.3 Applicability of Schema Elements

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

Value	Description
m	Mandatory.
m#	Conditional Mandatory. The element is mandatory if its parent element is included.
m#1	If <confirmingCopyFlag> is "true", then the element becomes mandatory.
m#2	If ATS-N filing to be amended then this element becomes mandatory.
m#3	If Exhibit 1 is not attached then this element becomes mandatory.
m#4	If Exhibit 2 is not attached then this element becomes mandatory.
m#5	If <rbPart2Item2aAreAfflPermittedToEnterInterest> is "Y" then this element <taPart2Item1aUnitNamesEnterInterest> becomes mandatory.
m#6	If <rbPart2Item1aArePermittedToEnterInterest> is "Y" then this element <rbPart2Item1bAreSevicesSametoAllSubscribers> becomes mandatory.
m#7	If <rbPart2Item1bAreSevicesSametoAllSubscribers> is "N" then this element <taPart2Item2bExplainDiff> becomes mandatory.
m#8	If <taPart2Item1aUnitNamesEnterInterest> is "Y" then this element <rbPart2Item1cAreThereArrangements> becomes mandatory.
m#9	If <rbPart2Item1cAreThereArrangements> is "Y" then this element <taPart2Item1cUnitsWithArrangements> becomes mandatory.
m#10	If <rbPart2Item2aAreAfflPermittedToEnterInterest> is "Y" then this element <taPart2Item2aAfflThatEnterInterest> becomes mandatory.
m#11	If <rbPart2Item2aAreAfflPermittedToEnterInterest> is "Y" then this element <rbPart2Item2bAreSevicesToAfflSametoSubscribers> becomes mandatory.

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Value	Description
m#12	If < rbPart2Item2bAreSevicesToAfflSametoSubscribers > is “N” then this element < taPart2Item2bExplainDiff > becomes mandatory
m#13	If < rbPart2Item2aAreAfflPermittedToEnterInterest> is “Y” then this element < rbPart2Item2cAreThereArrangementsWithAffl> becomes mandatory.
m#14	If < rbPart2Item2cAreThereArrangementsWithAffl> is “Y” then this element < taPart2Item2cYesAfflItDtls > becomes mandatory.
m#15	If < rbPart2Item3aCanSubscrOptOutWithOATIOfBD> is “Y” then this element < taPart2Item3aExplanOptOut> becomes mandatory.
m#17	If < rbPart2Item3aCanSubscrOptOutWithOATIOfBD > or < rbPart2Item3bCanSubscrOptOutWithOATIOfBD > is “Y” then this element < rbPart2Item3cAreOptOutSametoAllSubscribers > becomes mandatory
m#18	If < rbPart2Item3cAreOptOutSametoAllSubscribers> is “N” then this element < taPart2Item3cExplainDiff> becomes mandatory.
m#19	If < rbPart2Item4aAreThereArrangementsBtwBDAndTC> is “Y” then this element < taPart2Item4aTDAndATSServices> becomes mandatory.
m#20	If < rbPart2Item4aAreThereArrangementsBtwBDAndTC> is “Y” then this element < rbPart2Item4bAreThereArrangementsBtwAfflAndTC> becomes mandatory.
m#21	If < rbPart2Item4bAreThereArrangementsBtwAfflAndTC> is “Y” then this element < taPart2Item4bTDAndATSServices> becomes mandatory.
m#22	If < rbPart2Item5aDoesOfferProductsAndServices> is “Y” then this element < taPart2Item5aProductsAndServices> becomes mandatory.
m#23	If < rbPart2Item5aDoesOfferProductsAndServices> is “Y” then this element < rbPart2Item5bAreSevicesSametoAllSubscribersAndBD> becomes mandatory.
m#24	If < rbPart2Item5aDoesOfferProductsAndServices> is “N” then this element < taPart2Item5bExplainDiff> becomes mandatory.
m#25	If < rbPart2Item5cDoesAfflOfferProductsAndServices> is “Y” then this element < taPart2Item5cAfflProvidedProductsAndServices> becomes mandatory.
m#26	If < rbPart2Item5cDoesAfflOfferProductsAndServices> is “Y” then this element < rbPart2Item5dAreTCOfSevicesSametoAll > becomes mandatory
m#27	If < rbPart2Item5dAreTCOfSevicesSametoAll > is “N” then this element < taPart2Item5dExplainDiff > becomes mandatory
m#28	If < rbPart2Item6aDoesEmployeeAccessConfidentialInfo > is “Y” then this element < taPart2Item6aUnitAfflEmployeeServices > becomes mandatory
m#29	If < rbPart2Item6bDoesAnyEntitySupportServices > is “Y” then this element < taPart2Item6bServiceProvider > becomes mandatory
m#30	If < rbPart2Item6bDoesAnyEntitySupportServices> is “Y” then this element < rbPart2Item6cDoesServiceProviderUseATSServices> becomes mandatory
m#31	If < rbPart2Item6cDoesServiceProviderUseATSServices> is “Y” then this element < taPart2Item6cProviderAfflAndServicesUsed> becomes mandatory
m#32	If < rbPart2Item6cDoesServiceProviderUseATSServices> is “Y” then this element < rbPart2Item6dAreATSSevicesSametoAll > becomes mandatory
m#33	If < rbPart2Item6dAreATSSevicesSametoAll > is “N” then this element < taPart2Item6dExplainDiff > becomes mandatory
m#34	If < rbPart2Item7bCanSubscriberConsentToDisclosure> is “Y” then this element < taPart2Item7bExplainHowAndConditions> becomes mandatory
m#35	If < rbPart2Item7bCanSubscriberConsentToDisclosure> is “Y” then this element < rbPart2Item7cCanSubscriberWithdrawConsent> becomes mandatory
m#36	If < rbPart2Item7cCanSubscriberWithdrawConsent > is “Y” then this element < taPart2Item7cExplainHowAndConditions > becomes mandatory
m#37	If < taPart3Item1SubscriberType > is s3selected as “OTHER” then this element < taPart3Item1OtherSubscrbrDtls > becomes mandatory
m#38	Only If < rbPart3Item2blsThereOtherConditions > is “Y” then this element < taPart3Item2bSummaryOfCndtns > becomes mandatory

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Value	Description
m#39	Only If < taPart3Item2bSummaryOfCndtns> is "Y" then this element < rbPart3Item2clsConditionsSameForAll> becomes mandatory
m#40	Only if < rbPart3Item2clsConditionsSameForAll> is "N" then this element < taPart3Item2cSummaryOfDifferences> becomes mandatory
m#41	Only if < rbPart3Item3aIsExcludeSubscriber > is "Y" then this element < taPart3Item3aExcludngSumryDtls > becomes mandatory
m#42	Only if < taPart3Item3aExcludngSumryDtls> is "Y" then this element < rbPart3Item3bIsCondtnsSameForAll> becomes mandatory
m#43	Only if < rbPart3Item3bIsCondtnsSameForAll> is "N" then this element < taPart3Item3bSummaryOfDifferences> becomes mandatory
m#44	Only if < rbPart3Item4bIsHrsOfOperationsame > is "N" then this element < taPart3Item4bSumryDtls > becomes mandatory
m#45	Only if < rbPart3Item5aIsPermitOrdTrdnng> is "Y" then this element < taPart3Item5aProtocolused> becomes mandatory
m#46	Only if < rbPart3Item5aIsPermitOrdTrdnng> is "Y" then this element < rbPart3Item5bIsProtclsameForAll> becomes mandatory
m#47	Only if < rbPart3Item5bIsProtclsameForAll> is "N" then this element < taPart3Item5aProtocolSumryDtls> becomes mandatory
m#48	Only if < rbPart3Item5clsAnyOtherMeans> is Y"" then this element < taPart3Item5cOthrMeansDtls> becomes mandatory
m#49	Only if < taPart3Item5cOthrMeansDtls> is Y"" then this element < rbPart3Item5dIsTnCSameForAll> becomes mandatory
m#50	Only if < rbPart3Item5dIsTnCSameForAll> is "N" then this element < taPart3Item5dTnCSumryDtls> becomes mandatory
m#51	Only if < rbPart3Item6aIsCoLocRItdSrvcsOfrd> is "Y" then this element < taPart3Item6aCoLocRItdSrvcsDtls> becomes mandatory
m#52	Only if < rbPart3Item6aIsCoLocRItdSrvcsOfrd> is "Y" then this element < rbPart3Item6bIsTNCsameForAll> becomes mandatory
m#53	Only if < rbPart3Item6bIsTNCsameForAll> is "N" then this element < taPart3Item6bTNCSumryDtls> becomes mandatory
m#54	Only if < rbPart3Item6clsAnyOtherMeans> is "Y" then this element < taPart3Item6cSpeedMeansDtls> becomes mandatory
m#55	Only if < rbPart3Item6clsAnyOtherMeans> is "Y" then this element < rbPart3Item6dIsTnCSameForAll> becomes mandatory
m#56	Only if < rbPart3Item6dIsTnCSameForAll> is "N" then this element < taPart3Item6dTnCSumryDtls> becomes mandatory
m#57	Only if < rbPart3Item6elsAnyRducdSpOfCom> is "Y" then this element < taPart3Item6eRducdSpeedMeansDtls> becomes mandatory
m#58	Only if < rbPart3Item6elsAnyRducdSpOfCom> is "Y" then this element < rbPart3Item6fIsTnCSameForAll> becomes mandatory
m#59	Only if < rbPart3Item6fIsTnCSameForAll> is "N" then this element < taPart3Item6fTnCSumryDtls> becomes mandatory
m#60	Only if < rbPart3Item7bIsTnCSameForAll> is "N" then this element < taPart3Item7bTnCSumryDtls> becomes mandatory
m#61	Only if < rbPart3Item8aIsMinOrMaxSizeReqd> is "Y" then this element < taPart3Item8aOtiSizeReqrmns> becomes mandatory
m#62	Only if < rbPart3Item8aIsMinOrMaxSizeReqd> is "Y" then this element < rbPart3Item8bIsReqProcSameForAll> becomes mandatory
m#63	Only if < rbPart3Item8bIsReqProcSameForAll> is "N" then this element < taPart3Item8bDiffrncsInOtiReqrmnts> becomes mandatory

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Value	Description
m#64	Only if < rbPart3Item8clsOddLotsAcptdExecutd> is “Y” then this element < taPart3Item8cOddLtOrdRReqsProcDurs> becomes mandatory
m#65	Only if < rbPart3Item8clsOddLotsAcptdExecutd> is “Y” then this element < rbPart3Item8dlsReqsProcDurSameForAll> becomes mandatory
m#66	Only if < rbPart3Item8dlsReqsProcDurSameForAll> is “N” then this element < taPart3Item8dReqProcDurDiffDtls> becomes mandatory
m#67	Only if < rbPart3Item8elsMixLotOrdrsAcptdExecutd > is “Y” then this element < taPart3Item8eMixltOrdRReqsProcDtls > becomes mandatory
m#68	Only if < rbPart3Item8elsMixLotOrdrsAcptdExecutd > is “Y” then this element < rbPart3Item8flsRecProcSameForAll > becomes mandatory
m#69	Only if < rbPart3Item8flsRecProcSameForAll > is “N” then this element < taPart3Item8fReqProcDiffDtls > becomes mandatory
m#70	Only if < rbPart3Item9alsAnyMsgToIndicTI > is “Y” then this element < taPart3Item9aMsgUsgDtls > becomes mandatory
m#71	Only if < rbPart3Item9alsAnyMsgToIndicTI > is “Y” then this element < rbPart3Item9blsIndIntrstSameForAll> becomes mandatory
m#72	Only if < rbPart3Item9blsIndIntrstSameForAll> is “N” then this element < taPart3Item9bMsgUsgDtls> becomes mandatory
m#73	Only if < rbPart3Item10blsOpnReopnSameForAll> is “N” then this element < taPart3Item10bOpnReOpenDtls> becomes mandatory
m#74	Only if < rbPart3Item10dlsAnyDifBtwnExeProcTrdHrs> is “N” then this element < taPart3Item10dDiffDtls> becomes mandatory
m#75	Only if < rbPart3Item10elsAnyDifBtwnPreOpExecFlwngStpg> is “Y” then this element < taPart3Item10eDiffDtls> becomes mandatory
m#76	Only if < rbPart3Item11blsMeansFeciltsSameForAll> is “N” then this element < taPart3Item11bMeansFeciltsDtls> becomes mandatory
m#77	Only if < rbPart3Item11dlsProcsRulsSameForAll> is “N” then this element < taPart3Item11dDiffDtls> becomes mandatory
m#78	Only if < rbPart3Item12alsAnyFrmlInfrmlArngmnts> is “Y” then this element < taPart3Item12aArngmntTCDtls> becomes mandatory
m#79	Only if < rbPart3Item13alsOrdRtiSegmntd> is “Y” then this element < taPart3Item13aSegProcDurDtls> becomes mandatory
m#80	Only if < rbPart3Item13alsOrdRtiSegmntd> is “Y” then this element < rbPart3Item13blsSegmntatnSameForAll> becomes mandatory
m#81	Only if < rbPart3Item13blsSegmntatnSameForAll > is “N” then this element < taPart3Item13bSegDiffDtls > becomes mandatory
m#82	Only if < rbPart3Item13alsOrdRtiSegmntd> is “Y” then this element < rbPart3Item13dlsSegCatgDisclosd> becomes mandatory
m#83	Only if < rbPart3Item13dlsSegCatgDisclosd> is “Y” then this element < taPart3Item13dDsclosrContntDtls> becomes mandatory
m#84	Only if < rbPart3Item13dlsSegCatgDisclosd> is “Y” then this element < rbPart3Item13elsDsclosrSameForAll> becomes mandatory
m#85	Only if < rbPart3Item13elsDsclosrSameForAll> is “N” then this element < taPart3Item13eDsclosrDiffDtls> becomes mandatory
m#86	Only if < rbPart3Item14alsDsgToIntrctOrNot> is “Y” then this element < taPart3Item14aCntrPtyDtls> becomes mandatory
m#87	Only if < rbPart3Item14alsDsgToIntrctOrNot> is “Y” then this element < rbPart3Item14blsSelectnSameForAll> becomes mandatory
m#88	Only if < rbPart3Item14blsSelectnSameForAll> is “N” then this element < taPart3Item14bSelectnDiffDtls> becomes mandatory

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Value	Description
m#89	Only if < rbPart3Item15blsSubScrbOrdBnd> is "Y" then this element < taPart3Item15bSubscrBndDtIs> becomes mandatory
m#90	Only if < rbPart3Item15blsSubScrbOrdBnd > is "Y" then this element < rbPart3Item15clsDsplyProcSameForAll> becomes mandatory
m#91	Only if < rbPart3Item15clsDsplyProcSameForAll > is "N" then this element < taPart3Item5cDsplyProcDiffDtIs> becomes mandatory
m#92	Only if < rbPart3Item16alsInstRoutd> is "Y" then this element < rbPart3Item16blsRoutdBefrInstr> becomes mandatory
m#93	Only if < rbPart3Item16blsRoutdBefrInstr> is "Y" then this element < taPart3Item16bAffirmInstrDiffDtIs> becomes mandatory
m#94	Only if < rbPart3Item17alsDiffBtwnOrdTITrtmnt> is "Y" then this element < taPart3Item17aTrtmntDiffDtIs> becomes mandatory
m#95	Only if < rbPart3Item17blsTrtmntSameForAll> is "N" then this element < taPart3Item17bDiffDtIs> becomes mandatory
m#96	Only if < rbPart3Item18alsOutsdeTrdingHrs> is "Y" then this element < rbPart3Item18blsAnyDiffInTrdingOutSdHrs> becomes mandatory
m#97	Only if < rbPart3Item18blsAnyDiffInTrdingOutSdHrs> is "Y" then this element < taPart3Item18bDiffDtIs> becomes mandatory
m#98	Only if < rbPart3Item18alsOutsdeTrdingHrs> is "Y" then this element < rbPart3Item18clsTrtedDiffOutsdHrs> becomes mandatory
m#99	Only if < rbPart3Item18alsOutsdeTrdingHrs> is "Y" and < rbPart3Item18clsTrtedDiffOutsdHrs > is "N" then this element < taPart3Item18cTrtmntDiffDtIs > becomes mandatory
m#100	Only if < rbPart3Item20blsSuspndProcdurSameFrAll> is "N" then this element < taPart3Item20bDiffDtIs> becomes mandatory
m#101	Only if < rbPart3Item21blsMtrlArngmtSameFrAll> is "N" then this element < taPart3Item21bDiffDtIs> becomes mandatory
m#102	Only if < rbPart3Item22blsMtrlArngmtSameFrAll> is "N" then this element < taPart3Item22bDiffDtIs> becomes mandatory
m#103	Only if < rbPart3Item23blsSrcSameFrAll> is "N" then this element < taPart3Item23bDiffDtIs> becomes mandatory
m#104	Only if < rbPart3Item24alsSubScrbOrdR> is "Y" then this element < rbPart3Item24blsCmplyRule301> becomes mandatory
m#105	Only if < rbPart3Item24blsCmplyRule301> is "Y" then this element < taPart3Item24biTickrSymbol> becomes mandatory
m#106	Only if < rbPart3Item24blsCmplyRule301> is "Y" then this element < taPart3Item24biiDsplyOnNsa> becomes mandatory
m#107	Only if < rbPart3Item24blsCmplyRule301> is "Y" then this element < taPart3Item24biilAcesToOrdInNms> becomes mandatory
m#108	Only if < rbPart3Item25alsAvgDlyTradinVolExcd> is "Y" then this element < rbPart3Item25blsCmplyRule301> becomes mandatory
m#109	Only if < rbPart3Item25blsCmplyRule301> is "Y" then this element < taPart3Item25biTickrSymbol> becomes mandatory
m#110	Only if < rbPart3Item25blsCmplyRule301> is "Y" then this element < taPart3Item25biiDWrtNStndrds> becomes mandatory
m#111	Only if < rbPart3Item26lsOrdRFlOExecStatsPublshd> is "Y" then this element < cbPart3Item26iInfoRqstdUndrExbt4AvlblAtWebst> becomes mandatory
m#112	Only if < rbPart3Item26lsOrdRFlOExecStatsPublshd> is "Y" then this element < cbPart3Item26iilInfoRqstdUndrExbt5AvlblAtWebst> becomes mandatory

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Value	Description
c#1	If then the element becomes mandatory. If then the element becomes optional. If then the element becomes not applicable.
c#2	If then the element becomes mandatory. If then the element becomes optional. If then the element becomes not applicable.
o	Optional.
o#1	If then the element becomes optional. If then the element becomes not applicable.
o#2	If then the element becomes optional. If then the element becomes not applicable.
na	Does not apply to the submission type. EDGAR uses this field for server-side processing. Do not provide a value for this element.
na#1	If then the element becomes required. Other wise it it not applicable.
na#2	If then the element becomes mandatory. If then the element becomes not applicable.

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3.4 Mapping of Form ATS-N Submission Schemas to Submission Type

Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/JA	ATS-N/CA	ATS-N/OFA	Max Occur
1	1	NV	edgarSubmission			m	m	m	m	m	1
2	1	String	schemaVersion	5		na	na	na	na	na	1
2	2	NV	headerData			m	m	m	m	m	1
3	1	String	submissionType		SUBMISSION TYPE	m	m	m	m	m	1
3	2	String	accessionNumber			na	m	m	m	m	1
3	3	NV	filerInfo			m	m	m	m	m	1
4	1	String	liveTestFlag		LIVE TEST TYPE	m	m	m	m	m	1
4	2	NV	filer			m	m	m	m	m	1
5	1	NV	filerCredentials			m	m	m	m	m	1
6	1	String	cik			m	m	m	m	m	1
6	2	String	ccc	8		m	m	m	m	m	1
5	2	String	fileNumber			na	m#2	m#2	m#2	m#2	1
4	3	NV	contact			m	m	m	m	m	1
5	1	String	contactName	30		m	m	m	m	m	1
5	2	String	contactPhoneNumber	20		m	m	m	m	m	1
5	3	String	contactEmailAddress	80		m	m	m	m	m	1
4	4	NV	notifications			m	m	m	m	m	1
5	1	String	notificationEmailAddress	80		o	o	o	o	o	3
4	5	NV	flags			o	o	o	o	o	1
5	1	Boolean	overrideInternetFlag			o	o	o	o	o	1
5	2	Boolean	confirmingCopyFlag			o	o	o	o	o	1
5	3	String	confirmingCopyFileNumber			m#1	m#1	m#1	m#1	m#1	1
2	3	NV	formData			m	m	m	m	m	1
3	1	NV	cover			m	m	m	m	m	1
4	1	String	txNMSSstockATSName	150		m	m	m	m	m	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
4	2	String	txMPID	10		m	m	m	m	m	1
4	3	Boolean	rbOperatesPursuantToFormATS			m	o	o	o	o	1
4	4	String	taStatementAboutAmendment	1000		na	m	m	m	m	1
3	2	NV	partOne			m	m	m	m	m	1
4	1	Boolean	rbPart1Item1IsBd			m	m	m	m	m	1
4	2	String	txPart1Item2ATSName	150		m	m	m	m	m	1
4	3	NV	atsNames			o	o	o	o	o	1
5	1	NV	atsName			o	o	o	o	o	1
5	1	attr String	txPart1Item3ATSName			o	o	o	o	o	1
4	4	String	txPart1Item4aBdFileNumber			m	m	m	m	m	1
4	5	String	txPart1Item4aBdCrdNumber	9		m	m	m	m	m	1
4	6	String	txPart1Item5aNsaFullName	150		m	m	m	m	m	1
4	7	date	part1Item5bEffectiveMembershipDate			m	m	m	m	m	1
4	8	String	txtPart1Item5cNmsStockMPID	10		m	m	m	m	m	1
4	9	String	txtPart1Item6uwebsite	150		o	o	o	o	o	1
4	10	NV	part1Item7PrimarySite			m	m	m	m	m	1
5	1	String	street1	150		m	m	m	m	m	1
5	2	String	street2	150		o	o	o	o	o	1
5	3	String	city	150		m	m	m	m	m	1
5	4	String	zip	10		m	m	m	m	m	1
5	5	String	state		ISO STATE AND OUTLYING AREA CODE USA	m	m	m	m	m	1
4	11	NV	part1Item7SecondarySiteRecords			m	m	m	m	m	1
5	1	NV	secondarySiteI7			m	m	m	m	m	5
6	1	String	street1	150		o	o	o	o	o	1
6	2	String	street2	150		o	o	o	o	o	1
6	3	String	city	150		o	o	o	o	o	1
6	4	String	zip	10		m	m	m	m	m	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
6	5	String	state		ISO STATE AND OUTLYIN G AREA CODE USA	m	m	m	m	m	1
4	12	Boolean	cbPart1Item8Exhibit1atWebsite			m#3	m#3	m#3	m#3	m#3	1
4	13	Boolean	cbPart1Item9Exhibit2atWebsite			m#4	m#4	m#4	m#4	m#4	1
3	3	NV	partTwo			m	m	m	m	m	1
4	1	Boolean	rbPart2Item1aArePermittedToEnterInterest			m	m	m	m	m	1
4	1	NV	part2Item1aArePermittedToEnterInterest			m	m	m	m	m	1
4	1	attr String	rbPart2Item1aArePermittedToEnterInterest			m	m	m	m	m	1
5	1	String	taPart2Item1aUnitNamesEnterInterest	30000		m#5	m#5	m#5	m#5	m#5	1
5	2	Boolean	rbPart2Item1bAreSevicesSametoAllSubscribers			m#6	m#6	m#6	m#6	m#6	1
5	2	NV	part2Item1bAreSevicesSametoAllSubscribers			m#6	m#6	m#6	m#6	m#6	1
5	2	attr String	rbPart2Item1bAreSevicesSametoAllSubscribers			m#6	m#6	m#6	m#6	m#6	1
6	1	String	taPart2Item2bExplainDiff	20000		m#7	m#7	m#7	m#7	m#7	1
5	3	Boolean	rbPart2Item1cAreThereArrangements			m#8	m#8	m#8	m#8	m#8	1
5	3	NV	part2Item1cAreThereArrangements			m#8	m#8	m#8	m#8	m#8	1
5	3	attr String	rbPart2Item1cAreThereArrangements			m#8	m#8	m#8	m#8	m#8	1
6	1	String	taPart2Item1cUnitsWithArrangements	10000		m#9	m#9	m#9	m#9	m#9	1
4	2	Boolean	rbPart2Item1dCanOATInterestBeRouted			m	m	m	m	m	1
4	3	Boolean	rbPart2Item2aAreAfflPermittedToEnterInterest			m	m	m	m	m	1
4	3	NV	affiliatesPermittedToEnterInterest			m	m	m	m	m	1
4	3	attr String	rbPart2Item2aAreAfflPermittedToEnterInterest			m	m	m	m	m	1
5	1	String	taPart2Item2aAfflThatEnterInterest	30000		m#10	m#10	m#10	m#10	m#10	1
5	2	Boolean	rbPart2Item2bAreSevicesToAfflSametoSubscribers			m#11	m#11	m#11	m#11	m#11	1
5	2	NV	part2Item2bAreSevicesToAfflSametoSubscribers			m#11	m#11	m#11	m#11	m#11	1
5	2	attr String	rbPart2Item2bAreSevicesToAfflSametoSubscribers			m#11	m#11	m#11	m#11	m#11	1
6	1	String	taPart2Item2bExplainDiff	20000		m#12	m#12	m#12	m#12	m#12	1
5	3	Boolean	rbPart2Item2cAreThereArrangementsWithAffl			m#13	m#13	m#13	m#13	m#13	1
5	3	NV	part2Item2cAnyFrmlInfrmlArrngmnts			m#13	m#13	m#13	m#13	m#13	1
5	3	attr String	rbPart2Item2cAreThereArrangementsWithAffl			m#13	m#13	m#13	m#13	m#13	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
6	1	String	taPart2Item2cYesAffltdtIs	20000		m#14	m#14	m#14	m#14	m#14	1
4	4	Boolean	rbPart2Item2dCanOATIBeRoutedByAffl			m	m	m	m	m	1
4	5	Boolean	rbPart2Item3aCanSubscrOptOutWithOATIOfBD			m	m	m	m	m	1
4	5	NV	part2Item3aCanSubscrOptOutWithOATIOfBD			m	m	m	m	m	1
4	5	attr String	rbPart2Item3aCanSubscrOptOutWithOATIOfBD			m	m	m	m	m	1
5	1	String	taPart2Item3aExplianOptOut	10000		m#15	m#15	m#15	m#15	m#15	1
4	6	Boolean	rbPart2Item3aCanSubscrOptOutWithOATIOfAffl			m	m	m	m	m	1
4	6	NV	part2Item3aCanSubscrOptOutWithOATIOfAffl			m	m	m	m	m	1
4	6	attr String	rbPart2Item3aCanSubscrOptOutWithOATIOfAffl			m	m	m	m	m	1
5	1	String	taPart2Item3bExplianOptOut	10000		m#16	m#16	m#16	m#16	m#16	1
5	2	Boolean	rbPart2Item3cAreOptOutSametoAllSubscribers			m#17	m#17	m#17	m#17	m#17	1
5	2	NV	part2Item3cAreOptOutSametoAllSubscribers			m#17	m#17	m#17	m#17	m#17	1
5	2	attr String	rbPart2Item3cAreOptOutSametoAllSubscribers			m#17	m#17	m#17	m#17	m#17	1
6	1	String	taPart2Item3cExplainDiff	10000		m#18	m#18	m#18	m#18	m#18	1
4	7	Boolean	rbPart2Item4aAreThereArrangementsBtwBDAndTC			m	m	m	m	m	1
4	7	NV	part2Item4aAreThereArrangementsBtwBDAndTC			m	m	m	m	m	1
4	7	attr String	rbPart2Item4aAreThereArrangementsBtwBDAndTC			m	m	m	m	m	1
5	1	String	taPart2Item4aTDAndATSServices	30000		m#19	m#19	m#19	m#19	m#19	1
5	2	Boolean	rbPart2Item4bAreThereArrangementsBtwAfflAndTC			m#20	m#20	m#20	m#20	m#20	1
5	2	NV	part2Item4bAreThereArrangementsBtwAfflAndTC			m#20	m#20	m#20	m#20	m#20	1
5	2	attr String	rbPart2Item4bAreThereArrangementsBtwAfflAndTC			m#20	m#20	m#20	m#20	m#20	1
6	1	String	taPart2Item4bTDAndATSServices	30000		m#21	m#21	m#21	m#21	m#21	1
4	8	Boolean	rbPart2Item5aDoesOfferProductsAndServices			m	m	m	m	m	1
4	8	NV	part2Item5aDoesOfferProductsAndServices			m	m	m	m	m	1
4	8	attr String	rbPart2Item5aDoesOfferProductsAndServices			m	m	m	m	m	1
5	1	String	taPart2Item5aProductsAndServices	30000		m#22	m#22	m#22	m#22	m#22	1
5	2	Boolean	rbPart2Item5bAreSevicesSametoAllSubscribersAn			m#23	m#23	m#23	m#23	m#23	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
			dBD								
5	2	NV	part2Item5bAreSevicesSametoAllSubscribersAndB D			m#23	m#23	m#23	m#23	m#23	1
5	2	attr String	rbPart2Item5bAreSevicesSametoAllSubscribersAn dBD			m#23	m#23	m#23	m#23	m#23	1
6	1	String	taPart2Item5bExplainDiff	20000		m#24	m#24	m#24	m#24	m#24	1
4	9	Boolean	rbPart2Item5cDoesAfflOfferProductsAndServices			m	m	m	m	m	1
4	9	NV	part2Item5cDoesAfflOfferProductsAndServices			m	m	m	m	m	1
4	9	attr String	rbPart2Item5cDoesAfflOfferProductsAndServices			m	m	m	m	m	1
5	1	String	taPart2Item5cAfflProvidedProductsAndServices	30000		m#25	m#25	m#25	m#25	m#25	1
5	2	Boolean	rbPart2Item5dAreTCOfSevicesSametoAll			m#26	m#26	m#26	m#26	m#26	1
5	2	NV	part2Item5dAreTCOfSevicesSametoAll			m#26	m#26	m#26	m#26	m#26	1
5	2	attr String	rbPart2Item5dAreTCOfSevicesSametoAll			m#26	m#26	m#26	m#26	m#26	1
6	1	String	taPart2Item5dExplainDiff	20000		m#27	m#27	m#27	m#27	m#27	1
4	10	Boolean	rbPart2Item6aDoesEmployeeAccessConfidentialInf o			m	m	m	m	m	1
4	10	NV	part2Item6aDoesEmployeeAccessConfidentialInfo			m	m	m	m	m	1
4	10	attr String	rbPart2Item6aDoesEmployeeAccessConfidentialInf o			m	m	m	m	m	1
5	1	String	taPart2Item6aUnitAfflEmployeeServices	30000		m#28	m#28	m#28	m#28	m#28	1
4	11	Boolean	rbPart2Item6bDoesAnyEntitySupportServices			m	m	m	m	m	1
4	11	NV	part2Item6bDoesAnyEntitySupportServices			m	m	m	m	m	1
4	11	attr String	rbPart2Item6bDoesAnyEntitySupportServices			m	m	m	m	m	1
5	1	String	taPart2Item6bServiceProvider	30000		m#29	m#29	m#29	m#29	m#29	1
5	2	Boolean	rbPart2Item6cDoesServiceProviderUseATSService s			m#30	m#30	m#30	m#30	m#30	1
5	2	NV	part2Item6cDoesServiceProviderUseATSServices			m#30	m#30	m#30	m#30	m#30	1
5	2	attr String	rbPart2Item6cDoesServiceProviderUseATSService s			m#30	m#30	m#30	m#30	m#30	1
6	1	String	taPart2Item6cProviderAfflAndServicesUsed	10000		m#31	m#31	m#31	m#31	m#31	1
6	2	Boolean	rbPart2Item6dAreATSSevicesSametoAll			m#32	m#32	m#32	m#32	m#32	1
6	2	NV	part2Item6dAreATSSevicesSametoAll			m#32	m#32	m#32	m#32	m#32	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
6	2	attr String	rbPart2Item6dAreATSSevicesSametoAll			m#32	m#32	m#32	m#32	m#32	1
7	1	String	taPart2Item6dExplainDiff	10000		m#33	m#33	m#33	m#33	m#33	1
4	12	String	taPart2Item7aDescrOfSafeGaurdsAndProcedures	30000		m	m	m	m	m	1
4	13	Boolean	rbPart2Item7bCanSubscriberConsentToDisclosure			m	m	m	m	m	1
4	13	NV	part2Item7bCanSubscriberConsentToDisclosure			m	m	m	m	m	1
4	13	attr String	rbPart2Item7bCanSubscriberConsentToDisclosure			m	m	m	m	m	1
5	1	String	taPart2Item7bExplainHowAndConditions	10000		m#34	m#34	m#34	m#34	m#34	1
5	2	Boolean	rbPart2Item7cCanSubscriberWithdrawConsent			m#35	m#35	m#35	m#35	m#35	1
5	2	NV	part2Item7cCanSubscriberWithdrawConsent			m#35	m#35	m#35	m#35	m#35	1
5	2	attr String	rbPart2Item7cCanSubscriberWithdrawConsent			m#35	m#35	m#35	m#35	m#35	1
6	1	String	taPart2Item7cExplainHowAndConditions	10000		m#36	m#36	m#36	m#36	m#36	1
4	14	String	taPart2Item7dSummaryOfRolesRespOfPersons	30000		m	m	m	m	m	1
3	4	NV	partThree			m	m	m	m	m	1
4	1	String	taPart3Item1SubscriberType		SUBSCRIBER_TYPE	m	m	m	m	m	12
4	2	String	taPart3Item1OtherSubscrbrDtIs	10000		m#37	m#37	m#37	m#37	m#37	1
4	3	Boolean	rbPart3Item2aRegisteredBD			m	m	m	m	m	1
4	4	Boolean	rbPart3Item2bIsThereOtherConditions			m	m	m	m	m	1
4	4	NV	part3Item2bSummaryOfConditions			m	m	m	m	m	1
4	4	attr String	rbPart3Item2bIsThereOtherConditions			m	m	m	m	m	1
5	1	String	taPart3Item2bSummaryOfCndtns	20000		m#38	m#38	m#38	m#38	m#38	1
5	2	Boolean	rbPart3Item2clsConditionsSameForAll			m#39	m#39	m#39	m#39	m#39	1
5	2	NV	part3Item2cSummaryOfConditions			m#39	m#39	m#39	m#39	m#39	1
5	2	attr String	rbPart3Item2clsConditionsSameForAll			m#39	m#39	m#39	m#39	m#39	1
6	1	String	taPart3Item2cSummaryOfDifferences	20000		m#40	m#40	m#40	m#40	m#40	1
4	5	Boolean	rbPart3Item2dIsThereWrittenAgreement			m	m	m	m	m	1
4	6	Boolean	rbPart3Item3aIsExcludeSubscriber			m	m	m	m	m	1
4	6	NV	part3Item3aSumryOfExcludngCondtns			m	m	m	m	m	1
4	6	attr String	rbPart3Item3aIsExcludeSubscriber			m	m	m	m	m	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
5	1	String	taPart3Item3aExcludngSumryDtIs	20000		m#41	m#41	m#41	m#41	m#41	1
5	2	Boolean	rbPart3Item3bIsCondtnsSameForAll			m#42	m#42	m#42	m#42	m#42	1
5	2	NV	part3Item3bSummaryOfConditions			m#42	m#42	m#42	m#42	m#42	1
5	2	attr String	rbPart3Item3bIsCondtnsSameForAll			m#42	m#42	m#42	m#42	m#42	1
6	1	String	taPart3Item3bSummaryOfDifferences	20000		m#43	m#43	m#43	m#43	m#43	1
4	7	String	taPart3Item4aHrsOfOperation	10000		m	m	m	m	m	1
4	8	Boolean	rbPart3Item4bIsHrsOfOperationsame			m	m	m	m	m	1
4	8	NV	part3Item4bSumryOfHrsOfOperation			m	m	m	m	m	1
4	8	attr String	rbPart3Item4bIsHrsOfOperationsame			m	m	m	m	m	1
5	1	String	taPart3Item4bSumryDtIs	10000		m#44	m#44	m#44	m#44	m#44	1
4	9	Boolean	rbPart3Item5aIsPermitOrdrTradng			m	m	m	m	m	1
4	9	NV	part3Item5aProtocolDetails			m	m	m	m	m	1
4	9	attr String	rbPart3Item5aIsPermitOrdrTradng			m	m	m	m	m	1
5	1	String	taPart3Item5aProtocolused	20000		m#45	m#45	m#45	m#45	m#45	1
5	2	Boolean	rbPart3Item5bIsProtclsameForAll			m#46	m#46	m#46	m#46	m#46	1
5	2	NV	part3Item5bProtocolDetails			m#46	m#46	m#46	m#46	m#46	1
5	2	attr String	rbPart3Item5bIsProtclsameForAll			m#46	m#46	m#46	m#46	m#46	1
6	1	String	taPart3Item5aProtocolSumryDtIs	20000		m#47	m#47	m#47	m#47	m#47	1
4	10	Boolean	rbPart3Item5cIsAnyOtherMeans			m	m	m	m	m	1
4	10	NV	part3Item5cOthrDtIs			m	m	m	m	m	1
4	10	attr String	rbPart3Item5cIsAnyOtherMeans			m	m	m	m	m	1
5	1	String	taPart3Item5cOthrMeansDtIs	30000		m#48	m#48	m#48	m#48	m#48	1
5	2	Boolean	rbPart3Item5dIsTnCSameForAll			m#49	m#49	m#49	m#49	m#49	1
5	2	NV	part3Item5dTnCDetails			m#49	m#49	m#49	m#49	m#49	1
5	2	attr String	rbPart3Item5dIsTnCSameForAll			m#49	m#49	m#49	m#49	m#49	1
6	1	String	taPart3Item5dTnCSumryDtIs	30000		m#50	m#50	m#50	m#50	m#50	1
4	11	Boolean	rbPart3Item6aIsCoLocRltdSrvcsOfrd			m	m	m	m	m	1
4	11	NV	part3Item6aProtocolDetails			m	m	m	m	m	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
4	11	attr String	rbPart3Item6alsCoLocRltdSrvcsOfrd			m	m	m	m	m	1
5	1	String	taPart3Item6aCoLocRltdSrvcsDtIs	30000		m#51	m#51	m#51	m#51	m#51	1
5	2	Boolean	rbPart3Item6blsTNCsameForAll			m#52	m#52	m#52	m#52	m#52	1
5	2	NV	part3Item6bTNCDetails			m#52	m#52	m#52	m#52	m#52	1
5	2	attr String	rbPart3Item6blsTNCsameForAll			m#52	m#52	m#52	m#52	m#52	1
6	1	String	taPart3Item6bTNCsumryDtIs	20000		m#53	m#53	m#53	m#53	m#53	1
4	12	Boolean	rbPart3Item6clsAnyOtherMeans			m	m	m	m	m	1
4	12	NV	part3Item6cOthrDetails			m	m	m	m	m	1
4	12	attr String	rbPart3Item6clsAnyOtherMeans			m	m	m	m	m	1
5	1	String	taPart3Item6cSpeedMeansDtIs	20000		m#54	m#54	m#54	m#54	m#54	1
5	2	Boolean	rbPart3Item6dlsTnCSameForAll			m#55	m#55	m#55	m#55	m#55	1
5	2	NV	part3Item6dTnCDetails			m#55	m#55	m#55	m#55	m#55	1
5	2	attr String	rbPart3Item6dlsTnCSameForAll			m#55	m#55	m#55	m#55	m#55	1
6	1	String	taPart3Item6dTnCsumryDtIs	20000		m#56	m#56	m#56	m#56	m#56	1
4	13	Boolean	rbPart3Item6elsAnyRducdSpOfCom			m	m	m	m	m	1
4	13	NV	part3Item6eRducdSpeedDetails			m	m	m	m	m	1
4	13	attr String	rbPart3Item6elsAnyRducdSpOfCom			m	m	m	m	m	1
5	1	String	taPart3Item6eRducdSpeedMeansDtIs	20000		m#57	m#57	m#57	m#57	m#57	1
5	2	Boolean	rbPart3Item6flsTnCSameForAll			m#58	m#58	m#58	m#58	m#58	1
5	2	NV	part3Item6fTnCDetails			m#58	m#58	m#58	m#58	m#58	1
5	2	attr String	rbPart3Item6flsTnCSameForAll			m#58	m#58	m#58	m#58	m#58	1
6	1	String	taPart3Item6fTnCsumryDtIs	20000		m#59	m#59	m#59	m#59	m#59	1
4	14	String	taPart3Item7AOrdrtypOfrdIPriority	30000		m	m	m	m	m	1
4	15	Boolean	rbPart3Item7blsTnCSameForAll			m	m	m	m	m	1
4	15	NV	part3Item7bTnCDetails			m	m	m	m	m	1
4	15	attr String	rbPart3Item7blsTnCSameForAll			m	m	m	m	m	1
5	1	String	taPart3Item7bTnCsumryDtIs	20000		m#60	m#60	m#60	m#60	m#60	1
4	16	Boolean	rbPart3Item8alsMinOrMaxSizeReqd			m	m	m	m	m	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
4	16	NV	part3Item8aSizeReqmnts			m	m	m	m	m	1
4	16	attr String	rbPart3Item8aIsMinOrMaxSizeReqd			m	m	m	m	m	1
5	1	String	taPart3Item8aOtiSizeReqrmns	10000		m#61	m#61	m#61	m#61	m#61	1
5	2	Boolean	rbPart3Item8bIsReqProcSameForAll			m#62	m#62	m#62	m#62	m#62	1
5	2	NV	part3Item8bReqProcDetails			m#62	m#62	m#62	m#62	m#62	1
5	2	attr String	rbPart3Item8bIsReqProcSameForAll			m#62	m#62	m#62	m#62	m#62	1
6	1	String	taPart3Item8bDiffncsInOtiReqrmnts	10000		m#63	m#63	m#63	m#63	m#63	1
4	17	Boolean	rbPart3Item8clsOddLotsAcptdExecutd			m	m	m	m	m	1
4	17	NV	part3Item8cOddLtOrdRReqs			m	m	m	m	m	1
4	17	attr String	rbPart3Item8clsOddLotsAcptdExecutd			m	m	m	m	m	1
5	1	String	taPart3Item8cOddLtOrdRReqsProcDurs	10000		m#64	m#64	m#64	m#64	m#64	1
5	2	Boolean	rbPart3Item8dIsReqsProcDurSameForAll			m#65	m#65	m#65	m#65	m#65	1
5	2	NV	part3Item8dOddLtOrdRReqsProcDurDtls			m#65	m#65	m#65	m#65	m#65	1
5	2	attr String	rbPart3Item8dIsReqsProcDurSameForAll			m#65	m#65	m#65	m#65	m#65	1
6	1	String	taPart3Item8dReqProcDurDiffDtls	10000		m#66	m#66	m#66	m#66	m#66	1
4	18	Boolean	rbPart3Item8eIsMixLotOrdrsAcptdExecutd			m	m	m	m	m	1
4	18	NV	part3Item8eMixLtOrdRDetails			m	m	m	m	m	1
4	18	attr String	rbPart3Item8eIsMixLotOrdrsAcptdExecutd			m	m	m	m	m	1
5	1	String	taPart3Item8eMixLtOrdRReqsProcDtls	10000		m#67	m#67	m#67	m#67	m#67	1
5	2	Boolean	rbPart3Item8fIsRecProcSameForAll			m#68	m#68	m#68	m#68	m#68	1
5	2	NV	part3Item8fRPDetails			m#68	m#68	m#68	m#68	m#68	1
5	2	attr String	rbPart3Item8fIsRecProcSameForAll			m#68	m#68	m#68	m#68	m#68	1
6	1	String	taPart3Item8fReqProcDiffDtls	10000		m#69	m#69	m#69	m#69	m#69	1
4	19	Boolean	rbPart3Item9aIsAnyMsgToIndicTI			m	m	m	m	m	1
4	19	NV	part3Item9aMsgDtls			m	m	m	m	m	1
4	19	attr String	rbPart3Item9aIsAnyMsgToIndicTI			m	m	m	m	m	1
5	1	String	taPart3Item9aMsgUsgDtls	30000		m#70	m#70	m#70	m#70	m#70	1
4	20	Boolean	rbPart3Item9bIsIndIntrstSameForAll			m#71	m#71	m#71	m#71	m#71	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
4	20	NV	part3Item9bMsgDtIs			m#71	m#71	m#71	m#71	m#71	1
4	20	attr String	rbPart3Item9bIsIndIntrstSameForAll			m#71	m#71	m#71	m#71	m#71	1
5	1	String	taPart3Item9bMsgUsgDtIs	10000		m#72	m#72	m#72	m#72	m#72	1
4	21	String	taPart3Item10aOpenReOpenDtIs	20000		m	m	m	m	m	1
4	22	Boolean	rbPart3Item10bIsOpnReopnSameForAll			m	m	m	m	m	1
4	22	NV	part3Item10bOpnReOpnProcDtIs			m	m	m	m	m	1
4	22	attr String	rbPart3Item10bIsOpnReopnSameForAll			m	m	m	m	m	1
5	1	String	taPart3Item10bOpnReOpenDtIs	10000		m#73	m#73	m#73	m#73	m#73	1
4	23	String	taPart3Item10cUnexeOrdrTIDtIs	20000		m	m	m	m	m	1
4	24	Boolean	rbPart3Item10dIsAnyDifBtwnExeProcTrdHrs			m	m	m	m	m	1
4	24	NV	part3Item10dDiffDtIs			m	m	m	m	m	1
4	24	attr String	rbPart3Item10dIsAnyDifBtwnExeProcTrdHrs			m	m	m	m	m	1
5	1	String	taPart3Item10dDiffDtIs	10000		m#74	m#74	m#74	m#74	m#74	1
4	25	Boolean	rbPart3Item10eIsAnyDifBtwnPreOpExecFlwngStpg			m	m	m	m	m	1
4	25	NV	part3Item10eDiffDtIs			m	m	m	m	m	1
4	25	attr String	rbPart3Item10eIsAnyDifBtwnPreOpExecFlwngStpg			m	m	m	m	m	1
5	1	String	taPart3Item10eDiffDtIs	20000		m#75	m#75	m#75	m#75	m#75	1
4	26	String	taPart3Item11aStrucOfNmsStk	30000		m	m	m	m	m	1
4	27	Boolean	rbPart3Item11bIsMeansFeciltsSameForAll			m	m	m	m	m	1
4	27	NV	part3Item11bMeansFeciltsDtIs			m	m	m	m	m	1
4	27	attr String	rbPart3Item11bIsMeansFeciltsSameForAll			m	m	m	m	m	1
5	1	String	taPart3Item11bMeansFeciltsDtIs	30000		m#76	m#76	m#76	m#76	m#76	1
4	28	String	taPart3Item11cRulsProcsOfNmsStk	30000		m	m	m	m	m	1
4	29	Boolean	rbPart3Item11dIsProcsRulsSameForAll			m	m	m	m	m	1
4	29	NV	part3Item11dDiffDtIs			m	m	m	m	m	1
4	29	attr String	rbPart3Item11dIsProcsRulsSameForAll			m	m	m	m	m	1
5	1	String	taPart3Item11dDiffDtIs	30000		m#77	m#77	m#77	m#77	m#77	1
4	30	Boolean	rbPart3Item12aIsAnyFrmlInfrmlArngmnts			m	m	m	m	m	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
4	30	NV	part3Item12aArngmntDtIs			m	m	m	m	m	1
4	30	attr String	rbPart3Item12aIsAnyFrmlInfrmlArngmnts			m	m	m	m	m	1
5	1	String	taPart3Item12aArngmntTCDtIs	20000		m#78	m#78	m#78	m#78	m#78	1
4	31	Boolean	rbPart3Item13aIsOrdrtiSegmntd			m	m	m	m	m	1
4	31	NV	part3Item13aSegmntDtIs			m	m	m	m	m	1
4	31	attr String	rbPart3Item13aIsOrdrtiSegmntd			m	m	m	m	m	1
5	1	String	taPart3Item13aSegProcdurDtIs	30000		m#79	m#79	m#79	m#79	m#79	1
5	2	Boolean	rbPart3Item13bIsSegmntatnSameForAll			m#80	m#80	m#80	m#80	m#80	1
5	2	NV	part3Item13bSegmntDtIs			m#80	m#80	m#80	m#80	m#80	1
5	2	attr String	rbPart3Item13bIsSegmntatnSameForAll			m#80	m#80	m#80	m#80	m#80	1
6	1	String	taPart3Item13bSegDiffDtIs	20000		m#81	m#81	m#81	m#81	m#81	1
5	3	Boolean	rbPart3Item13dIsSegCatgDisclosd			m#82	m#82	m#82	m#82	m#82	1
5	3	NV	part3Item13dDsclrContntDtIs			m#82	m#82	m#82	m#82	m#82	1
5	3	attr String	rbPart3Item13dIsSegCatgDisclosd			m#82	m#82	m#82	m#82	m#82	1
6	1	String	taPart3Item13dDsclosrContntDtIs	20000		m#83	m#83	m#83	m#83	m#83	1
6	2	Boolean	rbPart3Item13eIsDsclosrSameForAll			m#84	m#84	m#84	m#84	m#84	1
6	2	NV	part3Item13eArngmntDtIs			m#84	m#84	m#84	m#84	m#84	1
6	2	attr String	rbPart3Item13eIsDsclosrSameForAll			m#84	m#84	m#84	m#84	m#84	1
7	1	String	taPart3Item13eDsclosrDiffDtIs	10000		m#85	m#85	m#85	m#85	m#85	1
4	32	Boolean	rbPart3Item13cIsCustmrOrdrti			m	m	m	m	m	1
4	33	Boolean	rbPart3Item14aIsDsgToIntrctOrNot			m	m	m	m	m	1
4	33	NV	part3Item14aCntrPrtySelectnDtIs			m	m	m	m	m	1
4	33	attr String	rbPart3Item14aIsDsgToIntrctOrNot			m	m	m	m	m	1
5	1	String	taPart3Item14aCntrPrtyDtIs	30000		m#86	m#86	m#86	m#86	m#86	1
5	2	Boolean	rbPart3Item14bIsSelectnSameForAll			m#87	m#87	m#87	m#87	m#87	1
5	2	NV	part3Item14bSelectDtIs			m#87	m#87	m#87	m#87	m#87	1
5	2	attr String	rbPart3Item14bIsSelectnSameForAll			m#87	m#87	m#87	m#87	m#87	1
6	1	String	taPart3Item14bSelectnDiffDtIs	10000		m#88	m#88	m#88	m#88	m#88	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
4	34	Boolean	rbPart3Item15alsElectrncCommu			m	m	m	m	m	1
4	35	Boolean	rbPart3Item15blsSubScrbOrdBnd			m	m	m	m	m	1
4	35	NV	part3Item15bSubSctbDtIs			m	m	m	m	m	1
4	35	attr String	rbPart3Item15blsSubScrbOrdBnd			m	m	m	m	m	1
5	1	String	taPart3Item15bSubscrBndDtIs	30000		m#89	m#89	m#89	m#89	m#89	1
5	2	Boolean	rbPart3Item15clsDsplyProcSameForAll			m#90	m#90	m#90	m#90	m#90	1
5	2	NV	part3Item15cDsplyProcDtIs			m#90	m#90	m#90	m#90	m#90	1
5	2	attr String	rbPart3Item15clsDsplyProcSameForAll			m#90	m#90	m#90	m#90	m#90	1
6	1	String	taPart3Item5cDsplyProcDiffDtIs	20000		m#91	m#91	m#91	m#91	m#91	1
4	36	Boolean	rbPart3Item16alsInstRoutd			m	m	m	m	m	1
4	36	NV	part3Item16aAffirInstrDtIs			m	m	m	m	m	1
4	36	attr String	rbPart3Item16alsInstRoutd			m	m	m	m	m	1
5	1	Boolean	rbPart3Item16blsRoutdBefrInstr			m#92	m#92	m#92	m#92	m#92	1
5	1	NV	part3Item16bAffirmInstrDtIs			m#92	m#92	m#92	m#92	m#92	1
5	1	attr String	rbPart3Item16blsRoutdBefrInstr			m#92	m#92	m#92	m#92	m#92	1
6	1	String	taPart3Item16bAffirmInstrDiffDtIs	20000		m#93	m#93	m#93	m#93	m#93	1
4	37	Boolean	rbPart3Item17alsDiffBtwnOrdTITrtmnt			m	m	m	m	m	1
4	37	NV	part3Item17aAffirInstrDtIs			m	m	m	m	m	1
4	37	attr String	rbPart3Item17alsDiffBtwnOrdTITrtmnt			m	m	m	m	m	1
5	1	String	taPart3Item17aTrtmntDiffDtIs	20000		m#94	m#94	m#94	m#94	m#94	1
4	38	Boolean	rbPart3Item17blsTrtmntSameForAll			m	m	m	m	m	1
4	38	NV	part3Item17bTrtmntDtIs			m	m	m	m	m	1
4	38	attr String	rbPart3Item17blsTrtmntSameForAll			m	m	m	m	m	1
5	1	String	taPart3Item17bDiffDtIs	10000		m#95	m#95	m#95	m#95	m#95	1
4	39	Boolean	rbPart3Item18alsOutsdeTrdingHrs			m	m	m	m	m	1
4	39	NV	part3Item18aTrdingHrDtIs			m	m	m	m	m	1
4	39	attr String	rbPart3Item18alsOutsdeTrdingHrs			m	m	m	m	m	1
5	1	Boolean	rbPart3Item18blsAnyDiffInTrdingOutSdHrs			m#96	m#96	m#96	m#96	m#96	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
5	1	NV	part3Item18bOutsdHrsDiffDtIs			m#96	m#96	m#96	m#96	m#96	1
5	1	attr String	rbPart3Item18bIsAnyDiffInTrdingOutSdHrs			m#96	m#96	m#96	m#96	m#96	1
6	1	String	taPart3Item18bDiffDtIs	20000		m#97	m#97	m#97	m#97	m#97	1
5	2	Boolean	rbPart3Item18clsTrtedDiffOutsdHrs			m#98	m#98	m#98	m#98	m#98	1
5	2	NV	part3Item18cOutsdHrstrtmntDtIs			m#98	m#98	m#98	m#98	m#98	1
5	2	attr String	rbPart3Item18clsTrtedDiffOutsdHrs			m#98	m#98	m#98	m#98	m#98	1
6	1	String	taPart3Item18cTrtmntDiffDtIs	10000		m#99	m#99	m#99	m#99	m#99	1
4	40	String	taPart3Item19aSrvCUsGFeEs	30000		m	m	m	m	m	1
4	41	String	taPart3Item19bBundldSrvCUsGFeEs	30000		m	m	m	m	m	1
4	42	String	taPart3Item19cRbtDiscOfFeEs	30000		m	m	m	m	m	1
4	43	String	taPart3Item20aSusPndProcDUR	20000		m	m	m	m	m	1
4	44	Boolean	rbPart3Item20bIsSusPndProcDURSameFrAll			m	m	m	m	m	1
4	44	NV	part3Item20bSusPndProcDURDiffDtIs			m	m	m	m	m	1
4	44	attr String	rbPart3Item20bIsSusPndProcDURSameFrAll			m	m	m	m	m	1
5	1	String	taPart3Item20bDiffDtIs	10000		m#100	m#100	m#100	m#100	m#100	1
4	45	String	taPart3Item21aMtrlArngmntDtIs	10000		m	m	m	m	m	1
4	46	Boolean	rbPart3Item21bIsMtrlArngmntSameFrAll			m	m	m	m	m	1
4	46	NV	part3Item21bMtrlArngmntDiffDtIs			m	m	m	m	m	1
4	46	attr String	rbPart3Item21bIsMtrlArngmntSameFrAll			m	m	m	m	m	1
5	1	String	taPart3Item21bDiffDtIs	10000		m#101	m#101	m#101	m#101	m#101	1
4	47	String	taPart3Item22aMtrlArngmntDtIs	10000		m	m	m	m	m	1
4	48	Boolean	rbPart3Item22bIsMtrlArngmntSameFrAll			m	m	m	m	m	1
4	48	NV	part3Item22bMtrlArngmntDiffDtIs			m	m	m	m	m	1
4	48	attr String	rbPart3Item22bIsMtrlArngmntSameFrAll			m	m	m	m	m	1
5	1	String	taPart3Item22bDiffDtIs	10000		m#102	m#102	m#102	m#102	m#102	1
4	49	String	taPart3Item23aMrktDatSrc	30000		m	m	m	m	m	1
4	50	Boolean	rbPart3Item23bIsSrcSameFrAll			m	m	m	m	m	1
4	50	NV	part3Item23bMrktSrcDiffDtIs			m	m	m	m	m	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
4	50	attr String	rbPart3Item23blsSrcSameFrAll			m	m	m	m	m	1
5	1	String	taPart3Item23bDiffDtIs	20000		m#103	m#103	m#103	m#103	m#103	1
4	51	Boolean	rbPart3Item24alsSubScrbrOrd			m	m	m	m	m	1
4	51	NV	part3Item24aSubScrbrOrdDtIs			m	m	m	m	m	1
4	51	attr String	rbPart3Item24alsSubScrbrOrd			m	m	m	m	m	1
5	1	Boolean	rbPart3Item24blsCmplyRule301			m#104	m#104	m#104	m#104	m#104	1
5	1	NV	part3Item24bSubScrbrOrdDtIs			m#104	m#104	m#104	m#104	m#104	1
5	1	attr String	rbPart3Item24blsCmplyRule301			m#104	m#104	m#104	m#104	m#104	1
6	1	String	taPart3Item24biTickrSymbol	30000		m#105	m#105	m#105	m#105	m#105	1
6	2	String	taPart3Item24biidSplyOnNsa	30000		m#106	m#106	m#106	m#106	m#106	1
6	3	String	taPart3Item24biilAcesToOrdrlNms	30000		m#107	m#107	m#107	m#107	m#107	1
4	52	Boolean	rbPart3Item25alsAvgDlyTradinVolExcd			m	m	m	m	m	1
4	52	NV	part3Item25aSubScrbrOrdDtIs			m	m	m	m	m	1
4	52	attr String	rbPart3Item25alsAvgDlyTradinVolExcd			m	m	m	m	m	1
5	1	Boolean	rbPart3Item25blsCmplyRule301			m#108	m#108	m#108	m#108	m#108	1
5	1	NV	part3Item25bAccessDtIs			m#108	m#108	m#108	m#108	m#108	1
5	1	attr String	rbPart3Item25blsCmplyRule301			m#108	m#108	m#108	m#108	m#108	1
6	1	String	taPart3Item25biTickrSymbol	30000		m#109	m#109	m#109	m#109	m#109	1
6	2	String	taPart3Item25biidWrtnStndrds	30000		m#110	m#110	m#110	m#110	m#110	1
4	53	Boolean	rbPart3Item26lsOrdrlFloExecStatsPublshd			m	m	m	m	m	1
4	53	NV	part3Item26PlatFrmData			m	m	m	m	m	1
4	53	attr String	rbPart3Item26lsOrdrlFloExecStatsPublshd			m	m	m	m	m	1
5	1	boolean	cbPart3Item26iInfoRqstdUndrExbt4AvlblAtWebst			m#111	m#111	m#111	m#111	m#111	1
5	2	Boolean	cbPart3Item26iInfoRqstdUndrExbt5AvlblAtWebst			m#112	m#112	m#112	m#112	m#112	1
3	5	NV	partFour			m	m	m	m	m	1
4	1	String	txPart4ContactFirstName	40		m	m	m	m	m	1
4	2	String	txPart4ContactLastName	30		m	m	m	m	m	1
4	3	String	txPart4ContactTitle	60		m	m	m	m	m	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N	ATS-N/MA	ATS-N/UA	ATS-N/CA	ATS-N/OFA	Max Occur
4	4	String	txPart4ContactEmail			m	m	m	m	m	1
4	5	String	txPart4ContactTelephone	20		m	m	m	m	m	1
4	6	NV	part4PrimaryAddr			m	m	m	m	m	1
5	1	String	street1	150		m	m	m	m	m	1
5	2	String	street2	150		o	o	o	o	o	1
5	3	String	city	150		m	m	m	m	m	1
5	4	String	zip	10		m	m	m	m	m	1
5	5	String	state		ISO STATE AND OUTLYIN G AREA CODE USA	m	m	m	m	m	1
4	7	NV	part4MailingAddr			m	m	m	m	m	1
5	1	String	street1	150		o	o	o	o	o	1
5	2	String	street2	150		o	o	o	o	o	1
5	3	String	city	150		o	o	o	o	o	1
5	4	String	zip	10		o	o	o	o	o	1
5	5	String	state		ISO STATE AND OUTLYIN G AREA CODE USA	o	o	o	o	o	1
4	8	date	txAsOfDate			m	m	m	m	m	1
4	9	String	txSignatureName	150		m	m	m	m	m	1
4	10	String	txSignatureTitle	100		m	m	m	m	m	1
2	4	NV	documents			m	m	m	m	m	1
3	1	NV	document			m	m	m	m	m	un- limit ed
4	1	String	conformedName	32		m	m	m	m	m	1
4	2	String	conformedDocumentType	128	BASE DOCUMENT TYPE	m	m	m	m	m	1
4	3	String	contents			m	m	m	m	m	1

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3.5 Mapping of Form ATS-N-C Submission Schemas to Submission Type

Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N-C	Max Occur
1	1	NV	edgarSubmission			m	1
2	1	String	schemaVersion	5		na	1
2	2	NV	headerData			m	1
3	1	String	submissionType		SUBMISSION TYPE	m	1
3	2	String	accessionNumber			na	1
3	3	NV	filerInfo			m	1
4	1	String	liveTestFlag		LIVE TEST TYPE	m	1
4	2	NV	filer			m	1
5	1	NV	filerCredentials			m	1
6	1	String	cik	10		m	1
6	2	String	ccc	8		m	1
5	2	String	MPID	10		m	1
5	3	String	NMSStockATSName	150		m	1
4	3	NV	contact			m	1
5	1	String	contactName	30		m	1
5	2	String	contactPhoneNumber	20		m	1
5	3	String	contactEmailAddress	80		m	1
4	4	NV	notifications			m	1
5	1	String	notificationEmailAddress	80		o	0
4	5	NV	flags			o	1
5	1	Boolean	overrideInternetFlag			o	1
5	2	Boolean	confirmingCopyFlag			m#	1
5	3	String	confirmingCopyFileNumber			m#1	1
3	4	Boolean	rbOperatesPursuantToFormATS			o	1
3	5	Date	dateCeaseToOperate			m	1
2	3	NV	formData			m	1
3	1	NV	partFour			m	1
4	1	String	txPart4ContactFirstName	40		m	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N-C	Max Occur
4	2	String	txPart4ContactLastName	30		m	1
4	3	String	txPart4ContactTitle	60		m	1
4	4	String	txPart4ContactEmail			m	1
4	5	String	txPart4ContactTelephone	20		m	1
4	6	NV	part4PrimaryAddr			m	1
5	1	String	street1	150		m	1
5	2	String	street2	150		o	1
5	3	String	city	150		m	1
5	4	String	zip			m	1
5	5	String	state		ISO STATE AND OUTLYING ARE A CODE USA	m	1
4	7	NV	part4MailingAddr			m	1
5	1	String	street1	150		o	1
5	2	String	street2	150		o	1
5	3	String	city	150		o	1
5	4	String	zip			o	1
5	5	String	state		ISO STATE AND OUTLYING ARE A CODE USA	o	1
4	8	Date	txAsOfDate			m	1
4	9	String	txSignatureName	150		m	1
4	10	String	txSignatureTitle	100		m	1

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3.6 Mapping of Form ATS-N-W Submission Schemas to Submission Type

Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N-W	Max Occur
1	1	NV	edgarSubmission			m	1
2	1	String	schemaVersion	5		na	1
2	2	NV	headerData			m	1
3	1	String	submissionType		SUBMISSION TYPE	m	1
3	2	String	accessionNumber			na	1
3	3	NV	filerInfo			m	1
4	1	String	liveTestFlag		LIVE TEST TYPE	m	1
4	2	NV	filer			m	1
5	1	NV	filerCredentials			m	1
6	1	String	cik	10		m	1
6	2	String	ccc	8		m	1
5	2	String	MPID	10		m	1
5	3	String	NMSStockATSName	150		m	1
4	3	NV	contact			m	1
5	1	String	contactName	30		m	1
5	2	String	contactPhoneNumber	20		m	1
5	3	String	contactEmailAddress	80		m	1
4	4	NV	notifications			m	1
5	1	String	notificationEmailAddress	80		o	0
4	5	NV	flags			o	1
5	1	Boolean	overrideInternetFlag			o	1
5	2	Boolean	confirmingCopyFlag			m#	1
5	3	String	confirmingCopyFileNumber			m#1	1
3	4	Boolean	rbOperatesPursuantToFormATS			o	1
3	5	Date	dateCeaseToOperate			na	1
2	3	NV	formData			m	1
3	1	NV	partFour			m	1
4	1	String	txPart4ContactFirstName	40		m	1

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Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N-W	Max Occur
4	2	String	txPart4ContactLastName	30		m	1
4	3	String	txPart4ContactTitle	60		m	1
4	4	String	txPart4ContactEmail			m	1
4	5	String	txPart4ContactTelephone	20		m	1
4	6	NV	part4PrimaryAddr			m	1
5	1	String	street1	150		m	1
5	2	String	street2	150		o	1
5	3	String	city	150		m	1
5	4	String	zip			m	1
5	5	String	state		ISO STATE AND OUTLYING ARE A CODE USA	m	1
4	7	NV	part4MailingAddr			m	1
5	1	String	street1	150		o	1
5	2	String	street2	150		o	1
5	3	String	city	150		o	1
5	4	String	zip			o	1
5	5	String	state		ISO STATE AND OUTLYING ARE A CODE USA	o	1
4	8	Date	txAsOfDate			m	1
4	9	String	txSignatureName	150		m	1
4	10	String	txSignatureTitle	100		m	1

4 FORM ATS-N SCHEMA DATA VALUE CONSTRAINTS

4.1 SUBMISSION_TYPE

These are the valid values for elements with type < SUBMISSION_TYPE> in the submission file:

VALUE	CODE DESCRIPTION
ATS-N	Initial Form ATS-N
ATS-N/MA	Material Amendment
ATS-N/UA	Updating Amendment
ATS-N/CA	Correcting Amendment
ATS-N/OFA	Order Display and Fair Access Amendment
ATS-N-C	Notice of Cessation
ATS-N-W	Withdrawal of Form ATS-N filing

4.2 SUBSCRIBER_TYPE

These are the valid values for elements with type <SUBSCRIBER_TYPE> in the submission file:

VALUE
Investment Companies
Retail Investors
Issuers
Brokers
NMS Stock ATSs
Asset Managers
Principal Trading Firms
Hedge Funds
Market Makers
Banks
Dealers
Other

5 FORM ATS-N COMMON SCHEMA DATA VALUE CONSTRAINTS

5.1 BASE_DOCUMENT_TYPE

These are the valid values for elements with type <BASE_DOCUMENT_TYPE> in the submission file:

VALUE
ATS-N EX-1 SCHD A BD
ATS-N EX-2 SCHD B BD
ATS-N EX-3 REDLINE
ATS-N EX-4 AGG STATS
ATS-N EX-5 CATG MTRC
ATS-N PART2 ITM
ATS-N PART3 ITM
GRAPHIC

5.2 LIVE_TEST_TYPE

These are the valid values for elements with type <LIVE_TEST_TYPE> in the submission file:

VALUE
LIVE
TEST

6 ISO STATE CODES SCHEMA DATA VALUE CONSTRAINTS

6.1 ISO_STATE_AND_OUTLYING_AREA_CODE_USA

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

VALUE	CODE DESCRIPTION
US-AL	ALABAMA
US-AK	ALASKA
US-AZ	ARIZONA
US-AR	ARKANSAS
US-CA	CALIFORNIA
US-CO	COLORADO
US-CT	CONNECTICUT
US-DE	DELAWARE
US-DC	DISTRICT OF COLUMBIA
US-FL	FLORIDA
US-GA	GEORGIA
US-HI	HAWAII
US-ID	IDAHO
US-IL	ILLINOIS
US-IN	INDIANA
US-IA	IOWA
US-KS	KANSAS
US-KY	KENTUCKY
US-LA	LOUISIANA
US-ME	MAINE
US-MD	MARYLAND
US-MA	MASSACHUSETTS
US-MI	MICHIGAN
US-MN	MINNESOTA
US-MS	MISSISSIPPI
US-MO	MISSOURI
US-MT	MONTANA
US-NE	NEBRASKA
US-NV	NEVADA
US-NH	NEW HAMPSHIRE
US-NJ	NEW JERSEY
US-NM	NEW MEXICO
US-NY	NEW YORK

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VALUE	CODE DESCRIPTION
US-NC	NORTH CAROLINA
US-ND	NORTH DAKOTA
US-OH	OHIO
US-OK	OKLAHOMA
US-OR	OREGON
US-PA	PENNSYLVANIA
US-RI	RHODE ISLAND
US-SC	SOUTH CAROLINA
US-SD	SOUTH DAKOTA
US-TN	TENNESSEE
US-TX	TEXAS
US-UT	UTAH
US-VT	VERMONT
US-VA	VIRGINIA
US-WA	WASHINGTON
US-WV	WEST VIRGINIA
US-WI	WISCONSIN
US-WY	WYOMING
US-AS	AMERICAN SAMOA
US-GU	GUAM
US-MP	NORTHERN MARIANA ISLANDS
US-PR	PUERTO RICO
US-UM	UNITED STATES MINOR OUTLYING ISLANDS
US-VI	VIRGIN ISLANDS, U.S.

7 BASIC SUBMISSION CONSTRUCTION

7.1 General Formatting of XML Files

The following rules apply to the submission file of an XML-format Form ATS-N 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 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 an allowable file extension.
3. The <description> is optional, but all other elements must be present and must have a value.
4. The <contents> element must contain a MIME encoded document. You can use any standard 64-character set based MIME encoding algorithm to create a MIME document.
5. The XML for an enclosed supporting document looks like this:

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

8 ERROR REPORTING

EDGAR will generate an error for each violation of an XML schema constraint, as well as for each violation of an ATS-N 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-style sheet 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 an ATS-N submission generates messages that are rather technical in nature and require an understanding of the XML schema language. Whenever possible, EDGAR generates a more "friendly" error message to give a precise description of the error.

Appendix A. ACRONYMS

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