EDGAR® Form ATS-N
XML Technical Specification

Version 1.3   **January 2020**

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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 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 January 27, 2020, EDGAR Release 20.1 introduced the following changes:

- Changes to Schema:
  - ➢ Add new text area field when a filer selects "No" to Item 16b.
- Changes to Stylesheets:
  - ➢ Modified ATSN partIII.xsl to display text area if filer selects "No" to item 16b.

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.

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	Should be no longer than the length shown in the tables in Section 3.4. EDGAR stores values in the <signatureName>, and <contactEmailAddress> elements exactly as provided. All other values are stored in the database as uppercase. You must use special escape sequences to represent these four characters: <table><tr><td>**Character**</td><td>**Escape Sequence**</td></tr><tr><td><</td><td>< or <</td></tr><tr><td>></td><td>> or ></td></tr><tr><td>&</td><td>& or &</td></tr><tr><td>"</td><td>" or "</td></tr></table>
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 amendend 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.

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 < taPart2Item2cYesAfflteDtls > becomes mandatory.
m#15	If < rbPart2Item3aCanSubscrOptOutWithOATIOfBD> is "Y" then this element < taPart2Item3aExplianOptOut> 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 s3elected as "OTHER" then this element < taPart3Item1OtherSubscrbrDtls > becomes mandatory
m#38	Only If < rbPart3Item2bIsThereOtherConditions > is "Y" then this element < taPart3Item2bSummaryOfCndtns > becomes mandatory

Value	Description
m#39	Only If < taPart3Item2bSummaryOfCndtns> is "Y" then this element < rbPart3Item2cIsConditionsSameForAll> becomes mandatory
m#40	Only if < rbPart3Item2cIsConditionsSameForAll> 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 < rbPart3Item5aIsPermitOrdrTradng> is "Y" then this element < taPart3Item5aProtocolused> becomes mandatory
m#46	Only if < rbPart3Item5aIsPermitOrdrTradng> 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 < rbPart3Item5cIsAnyOtherMeans> 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 < rbPart3Item6aIsCoLocRltdSrvcsOfrd> is "Y" then this element < taPart3Item6aCoLocRltdSrvcsDtls> becomes mandatory
m#52	Only if < rbPart3Item6aIsCoLocRltdSrvcsOfrd> 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 < rbPart3Item6cIsAnyOtherMeans> is "Y" then this element < taPart3Item6cSpeedMeansDtls> becomes mandatory
m#55	Only if < rbPart3Item6cIsAnyOtherMeans> 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 < rbPart3Item6eIsAnyRducdSpOfCom> is "Y" then this element < taPart3Item6eRducdSpeedMeansDtls> becomes mandatory
m#58	Only if < rbPart3Item6eIsAnyRducdSpOfCom> 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

Value	Description
m#64	Only if < rbPart3Item8cIsOddLotsAcptdExecutd> is "Y" then this element < taPart3Item8cOddLtOrdrReqsnProcdurs> becomes mandatory
m#65	Only if < rbPart3Item8cIsOddLotsAcptdExecutd> is "Y" then this element < rbPart3Item8dIsReqsProcdurSameForAll> becomes mandatory
m#66	Only if < rbPart3Item8dIsReqsProcdurSameForAll> is "N" then this element < taPart3Item8dReqProcdurDiffDtls> becomes mandatory
m#67	Only if < rbPart3Item8eIsMixLotOrdrsAcptdExecutd > is "Y" then this element < taPart3Item8eMixltOrdrReqsProcDtls > becomes mandatory
m#68	Only if < rbPart3Item8eIsMixLotOrdrsAcptdExecutd > is "Y" then this element < rbPart3Item8fIsRecProcSameForAll > becomes mandatory
m#69	Only if < rbPart3Item8fIsRecProcSameForAll > is "N" then this element < taPart3Item8fReqProcDiffDtls > becomes mandatory
m#70	Only if < rbPart3Item9aIsAnyMsgToIndicTI > is "Y" then this element < taPart3Item9aMsgUsgDtls > becomes mandatory
m#71	Only if < rbPart3Item9aIsAnyMsgToIndicTI > is "Y" then this element < rbPart3Item9bIsIndIntrstSameForAll> becomes mandatory
m#72	Only if < rbPart3Item9bIsIndIntrstSameForAll> is "N" then this element < taPart3Item9bMsgUsgDtls> becomes mandatory
m#73	Only if < rbPart3Item10bIsOpnReopnSameForAll> is "N" then this element < taPart3Item10bOpnReOpenDtls> becomes mandatory
m#74	Only if < rbPart3Item10dIsAnyDifBtwnExeProcTrdHrs> is "N" then this element < taPart3Item10dDiffDtls> becomes mandatory
m#75	Only if < rbPart3Item10eIsAnyDifBtwnPreOpExecFlwngStpg> is "Y" then this element < taPart3Item10eDiffDtls> becomes mandatory
m#76	Only if < rbPart3Item11bIsMeansFeciltsSameForAll> is "N" then this element < taPart3Item11bMeansFeciltsDtls> becomes mandatory
m#77	Only if < rbPart3Item11dIsProcsRulsSameForAll> is "N" then this element < taPart3Item11dDiffDtls> becomes mandatory
m#78	Only if < rbPart3Item12aIsAnyFrmlInfrmlArngmnts> is "Y" then this element < taPart3Item12aArngmntTCDtls> becomes mandatory
m#79	Only if < rbPart3Item13aIsOrdrTiSegmntd> is "Y" then this element < taPart3Item13aSegProcdurDtls> becomes mandatory
m#80	Only if < rbPart3Item13aIsOrdrTiSegmntd> is "Y" then this element < rbPart3Item13bIsSegmntatnSameForAll> becomes mandatory
m#81	Only if < rbPart3Item13bIsSegmntatnSameForAll > is "N" then this element < taPart3Item13bSegDiffDtls > becomes mandatory
m#82	Only if < rbPart3Item13aIsOrdrTiSegmntd> is "Y" then this element < rbPart3Item13dIsSegCatgDisclosd> becomes mandatory
m#83	Only if < rbPart3Item13dIsSegCatgDisclosd> is "Y" then this element < taPart3Item13dDsclosrContntDtls> becomes mandatory
m#84	Only if < rbPart3Item13dIsSegCatgDisclosd> is "Y" then this element < rbPart3Item13eIsDsclosrSameForAll> becomes mandatory
m#85	Only if < rbPart3Item13eIsDsclosrSameForAll> is "N" then this element < taPart3Item13eDsclosrDiffDtls> becomes mandatory
m#86	Only if < rbPart3Item14aIsDsgToIntrctOrNot> is "Y" then this element < taPart3Item14aCntrPrtyDtls> becomes mandatory
m#87	Only if < rbPart3Item14aIsDsgToIntrctOrNot> is "Y" then this element < rbPart3Item14bIsSelectnSameForAll> becomes mandatory
m#88	Only if < rbPart3Item14bIsSelectnSameForAll> is "N" then this element < taPart3Item14bSelectnDiffDtls> becomes mandatory

Value	Description
m#89	Only if < rbPart3Item15bIsSubScrbOrdBnd> is "Y" then this element < taPart3Item15bSubscrBndDtls> becomes mandatory
m#90	Only if < rbPart3Item15bIsSubScrbOrdBnd > is "Y" then this element < rbPart3Item15cIsDsplyProcSameForAll> becomes mandatory
m#91	Only if < rbPart3Item15cIsDsplyProcSameForAll > is "N" then this element < taPart3Item5cDsplyProcDiffDtls> becomes mandatory
m#92	Only if < rbPart3Item16aIsInstRoutd> is "Y" then this element < rbPart3Item16bIsRoutdBefrInstr> becomes mandatory
m#93	Only if < rbPart3Item16bIsRoutdBefrInstr> is "Y" then this element < taPart3Item16bAffirmInstrDiffDtls> becomes mandatory
m#93.1	Only if < rbPart3Item16bIsRoutdBefrInstr> is "N" then this element < taPart3Item16bAffirmInstrDiffDtlsNo> becomes mandatory
m#94	Only if < rbPart3Item17aIsDiffBtwnOrdTlTrtmnt> is "Y" then this element < taPart3Item17aTrtmntDiffDtls> becomes mandatory
m#95	Only if < rbPart3Item17bIsTrtmntSameForAll> is "N" then this element < taPart3Item17bDiffDtls> becomes mandatory
m#96	Only if < rbPart3Item18aIsOutsdeTrdingHrs> is "Y" then this element < rbPart3Item18bIsAnyDiffInTrdingOutSdHrs> becomes mandatory
m#97	Only if < rbPart3Item18bIsAnyDiffInTrdingOutSdHrs> is "Y" then this element < taPart3Item18bDiffDtls> becomes mandatory
m#98	Only if < rbPart3Item18aIsOutsdeTrdingHrs> is "Y" then this element < rbPart3Item18cIsTrtedDiffOutsdHrs> becomes mandatory
m#99	Only if < rbPart3Item18aIsOutsdeTrdingHrs> is "Y" and < rbPart3Item18cIsTrtedDiffOutsdHrs > is "N" then this element < taPart3Item18cTrtmntDiffDtls > becomes mandatory
m#100	Only if < rbPart3Item20bIsSuspndProcdurSameFrAll> is "N" then this element < taPart3Item20bDiffDtls> becomes mandatory
m#101	Only if < rbPart3Item21bIsMtrlArngmtSameFrAll> is "N" then this element < taPart3Item21bDiffDtls> becomes mandatory
m#102	Only if < rbPart3Item22bIsMtrlArngmtSameFrAll> is "N" then this element < taPart3Item22bDiffDtls> becomes mandatory
m#103	Only if < rbPart3Item23bIsSrcSameFrAll> is "N" then this element < taPart3Item23bDiffDtls> becomes mandatory
m#104	Only if < rbPart3Item24aIsSubScrbrOrdr> is "Y" then this element < rbPart3Item24bIsCmplyRule301> becomes mandatory
m#105	Only if < rbPart3Item24bIsCmplyRule301> is "Y" then this element < taPart3Item24biTickrSymbol> becomes mandatory
m#106	Only if < rbPart3Item24bIsCmplyRule301> is "Y" then this element < taPart3Item24biiDsplyOnNsa> becomes mandatory
m#107	Only if < rbPart3Item24bIsCmplyRule301> is "Y" then this element < taPart3Item24biiIAcesToOrdrInNms> becomes mandatory
m#108	Only if < rbPart3Item25aIsAvgDlyTradinVolExcd> is "Y" then this element < rbPart3Item25bIsCmplyRule301> becomes mandatory
m#109	Only if < rbPart3Item25bIsCmplyRule301> is "Y" then this element < taPart3Item25biTickrSymbol> becomes mandatory
m#110	Only if < rbPart3Item25bIsCmplyRule301> is "Y" then this element < taPart3Item25biiDWrtnStndrds> becomes mandatory
m#111	Only if < rbPart3Item26IsOrdrFloExecStatsPublshd> is "Y" then this element < cbPart3Item26iInfoRqstdUndrExbt4AvlblAtWebst> becomes mandatory
m#112	Only if < rbPart3Item26IsOrdrFloExecStatsPublshd> is "Y" then this element < cbPart3Item26iiInfoRqstdUndrExbt5AvlblAtWebst> becomes mandatory

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.

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/UA	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

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	1	String	txNMSStockATSName	150		m	m	m	m	m	1
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	2000		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

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	4	String	zip	10		m	m	m	m	m	1
6	5	String	state		ISO_STATE_AND_OUTLYING_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

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	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
6	1	String	taPart2Item2cYesAfflteDtls	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

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	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	rbPart2Item5bAreSevicesSametoAllSubscribersAndBD			m#23	m#23	m#23	m#23	m#23	1
5	2	NV	part2Item5bAreSevicesSametoAllSubscribersAndBD			m#23	m#23	m#23	m#23	m#23	1
5	2	attr String	rbPart2Item5bAreSevicesSametoAllSubscribersAndBD			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	rbPart2Item6aDoesEmployeeAccessConfidentialInfo			m	m	m	m	m	1
4	10	NV	part2Item6aDoesEmployeeAccessConfidentialInfo			m	m	m	m	m	1
4	10	attr String	rbPart2Item6aDoesEmployeeAccessConfidentialInfo			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	rbPart2Item6cDoesServiceProviderUseATSServices			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	rbPart2Item6cDoesServiceProviderUseATSServices			m#30	m#30	m#30	m#30	m#30	1

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	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
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	taPart3Item1OtherSubscrbrDtls	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	rbPart3Item2cIsConditionsSameForAll			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	rbPart3Item2cIsConditionsSameForAll			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

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	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
5	1	String	taPart3Item3aExcludngSumryDtls	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	taPart3Item4bSumryDtls	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	taPart3Item5aProtocolSumryDtls	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	part3Item5cOthrDtls			m	m	m	m	m	1
4	10	attr String	rbPart3Item5cIsAnyOtherMeans			m	m	m	m	m	1
5	1	String	taPart3Item5cOthrMeansDtls	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

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	taPart3Item5dTnCSumryDtls	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
4	11	attr String	rbPart3Item6aIsCoLocRltdSrvcsOfrd			m	m	m	m	m	1
5	1	String	taPart3Item6aCoLocRltdSrvcsDtls	30000		m#51	m#51	m#51	m#51	m#51	1
5	2	Boolean	rbPart3Item6bIsTNCsameForAll			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	rbPart3Item6bIsTNCsameForAll			m#52	m#52	m#52	m#52	m#52	1
6	1	String	taPart3Item6bTNCSumryDtls	20000		m#53	m#53	m#53	m#53	m#53	1
4	12	Boolean	rbPart3Item6cIsAnyOtherMeans			m	m	m	m	m	1
4	12	NV	part3Item6cOthrDetails			m	m	m	m	m	1
4	12	attr String	rbPart3Item6cIsAnyOtherMeans			m	m	m	m	m	1
5	1	String	taPart3Item6cSpeedMeansDtls	20000		m#54	m#54	m#54	m#54	m#54	1
5	2	Boolean	rbPart3Item6dIsTnCSameForAll			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	rbPart3Item6dIsTnCSameForAll			m#55	m#55	m#55	m#55	m#55	1
6	1	String	taPart3Item6dTnCSumryDtls	20000		m#56	m#56	m#56	m#56	m#56	1
4	13	Boolean	rbPart3Item6eIsAnyRducdSpOfCom			m	m	m	m	m	1
4	13	NV	part3Item6eRducdSpeedDetails			m	m	m	m	m	1
4	13	attr String	rbPart3Item6eIsAnyRducdSpOfCom			m	m	m	m	m	1
5	1	String	taPart3Item6eRducdSpeedMeansDtls	20000		m#57	m#57	m#57	m#57	m#57	1
5	2	Boolean	rbPart3Item6fIsTnCSameForAll			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	rbPart3Item6fIsTnCSameForAll			m#58	m#58	m#58	m#58	m#58	1
6	1	String	taPart3Item6fTnCSumryDtls	20000		m#59	m#59	m#59	m#59	m#59	1
4	14	String	taPart3Item7AOrdrTypExplain	30000		m	m	m	m	m	1
4	15	Boolean	rbPart3Item7bIsTnCSameForAll			m	m	m	m	m	1
4	15	NV	part3Item7bTnCDetails			m	m	m	m	m	1

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	15	attr String	rbPart3Item7bIsTnCSameForAll			m	m	m	m	m	1
5	1	String	taPart3Item7bTnCSumryDtls	20000		m#60	m#60	m#60	m#60	m#60	1
4	16	Boolean	rbPart3Item8aIsMinOrMaxSizeReqd			m	m	m	m	m	1
4	16	NV	part3Item8aSizeReqrmnts			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	taPart3Item8bDiffrncsInOtiReqrmnts	10000		m#63	m#63	m#63	m#63	m#63	1
4	17	Boolean	rbPart3Item8cIsOddLotsAcptdExecutd			m	m	m	m	m	1
4	17	NV	part3Item8cOddltOrdrReqs			m	m	m	m	m	1
4	17	attr String	rbPart3Item8cIsOddLotsAcptdExecutd			m	m	m	m	m	1
5	1	String	taPart3Item8cOddLtOrdrReqsnProcdurs	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	part3Item8dOddLtOrdrReqsnProcdurDtls			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

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	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
4	20	NV	part3Item9bMsgDtls			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	taPart3Item9bMsgUsgDtls	10000		m#72	m#72	m#72	m#72	m#72	1
4	21	String	taPart3Item10aOpenReOpenDtls	20000		m	m	m	m	m	1
4	22	Boolean	rbPart3Item10bIsOpnReopnSameForAll			m	m	m	m	m	1
4	22	NV	part3Item10bOpnReOpnProcDtls			m	m	m	m	m	1
4	22	attr String	rbPart3Item10bIsOpnReopnSameForAll			m	m	m	m	m	1
5	1	String	taPart3Item10bOpnReOpenDtls	10000		m#73	m#73	m#73	m#73	m#73	1
4	23	String	taPart3Item10cUnexeOrdrTIDtls	20000		m	m	m	m	m	1
4	24	Boolean	rbPart3Item10dIsAnyDifBtwnExeProcTrdHrs			m	m	m	m	m	1
4	24	NV	part3Item10dDiffDtls			m	m	m	m	m	1
4	24	attr String	rbPart3Item10dIsAnyDifBtwnExeProcTrdHrs			m	m	m	m	m	1
5	1	String	taPart3Item10dDiffDtls	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	part3Item10eDiffDtls			m	m	m	m	m	1
4	25	attr String	rbPart3Item10eIsAnyDifBtwnPreOpExecFlwngStpg			m	m	m	m	m	1
5	1	String	taPart3Item10eDiffDtls	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	part3Item11bMeansFeciltsDtls			m	m	m	m	m	1
4	27	attr String	rbPart3Item11bIsMeansFeciltsSameForAll			m	m	m	m	m	1
5	1	String	taPart3Item11bMeansFeciltsDtls	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	part3Item11dDiffDtls			m	m	m	m	m	1

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	29	attr String	rbPart3Item11dIsProcsRulsSameForAll			m	m	m	m	m	1
5	1	String	taPart3Item11dDiffDtls	30000		m#77	m#77	m#77	m#77	m#77	1
4	30	Boolean	rbPart3Item12aIsAnyFrmlInfrmlArngmnts			m	m	m	m	m	1
4	30	NV	part3Item12aArngmntDtls			m	m	m	m	m	1
4	30	attr String	rbPart3Item12aIsAnyFrmlInfrmlArngmnts			m	m	m	m	m	1
5	1	String	taPart3Item12aArngmntTCDtls	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	part3Item13aSegmntDtls			m	m	m	m	m	1
4	31	attr String	rbPart3Item13aIsOrdrTiSegmntd			m	m	m	m	m	1
5	1	String	taPart3Item13aSegProcdurDtls	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	part3Item13bSegmntDtls			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	taPart3Item13bSegDiffDtls	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	part3Item13dDsclrContntDtls			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	taPart3Item13dDsclosrContntDtls	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	part3Item13eArngmntDtls			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	taPart3Item13eDsclosrDiffDtls	10000		m#85	m#85	m#85	m#85	m#85	1
4	32	Boolean	rbPart3Item13cIsCustmrOrdr			m	m	m	m	m	1
4	33	Boolean	rbPart3Item14aIsDsgToIntrctOrNot			m	m	m	m	m	1
4	33	NV	part3Item14aCntrPrtySelectnDtls			m	m	m	m	m	1
4	33	attr String	rbPart3Item14aIsDsgToIntrctOrNot			m	m	m	m	m	1
5	1	String	taPart3Item14aCntrPrtyDtls	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

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	2	NV	part3Item14bSelectDtls			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	taPart3Item14bSelectnDiffDtls	10000		m#88	m#88	m#88	m#88	m#88	1
4	34	Boolean	rbPart3Item15aIsElectrncCommu			m	m	m	m	m	1
4	35	Boolean	rbPart3Item15bIsSubScrbOrdBnd			m	m	m	m	m	1
4	35	NV	part3Item15bSubSctbDtls			m	m	m	m	m	1
4	35	attr String	rbPart3Item15bIsSubScrbOrdBnd			m	m	m	m	m	1
5	1	String	taPart3Item15bSubscrBndDtls	30000		m#89	m#89	m#89	m#89	m#89	1
5	2	Boolean	rbPart3Item15cIsDsplyProcSameForAll			m#90	m#90	m#90	m#90	m#90	1
5	2	NV	part3Item15cDsplyProcDtls			m#90	m#90	m#90	m#90	m#90	1
5	2	attr String	rbPart3Item15cIsDsplyProcSameForAll			m#90	m#90	m#90	m#90	m#90	1
6	1	String	taPart3Item5cDsplyProcDiffDtls	20000		m#91	m#91	m#91	m#91	m#91	1
4	36	Boolean	rbPart3Item16aIsInstRoutd			m	m	m	m	m	1
4	36	NV	part3Item16aAffirInstrDtls			m	m	m	m	m	1
4	36	attr String	rbPart3Item16aIsInstRoutd			m	m	m	m	m	1
5	1	Boolean	rbPart3Item16bIsRoutdBefrInstr			m#92	m#92	m#92	m#92	m#92	1
5	1	NV	part3Item16bAffirmInstrDtls			m#92	m#92	m#92	m#92	m#92	1
5	1	attr String	rbPart3Item16bIsRoutdBefrInstr			m#92	m#92	m#92	m#92	m#92	1
6	1	String	taPart3Item16bAffirmInstrDiffDtls	20000		m#93	m#93	m#93	m#93	m#93	1
6	1	String	taPart3Item16bAffirmInstrDiffDtlsNo	20000		m#93.1	m#93.1	m#93.1	m#93.1	m#93.1	1
4	37	Boolean	rbPart3Item17aIsDiffBtwnOrdTlTrtmnt			m	m	m	m	m	1
4	37	NV	part3Item17aAffirInstrDtls			m	m	m	m	m	1
4	37	attr String	rbPart3Item17aIsDiffBtwnOrdTlTrtmnt			m	m	m	m	m	1
5	1	String	taPart3Item17aTrtmntDiffDtls	20000		m#94	m#94	m#94	m#94	m#94	1
4	38	Boolean	rbPart3Item17bIsTrtmntSameForAll			m	m	m	m	m	1
4	38	NV	part3Item17bTrtmntDtls			m	m	m	m	m	1
4	38	attr String	rbPart3Item17bIsTrtmntSameForAll			m	m	m	m	m	1
5	1	String	taPart3Item17bDiffDtls	10000		m#95	m#95	m#95	m#95	m#95	1

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	39	Boolean	rbPart3Item18aIsOutsdeTrdingHrs			m	m	m	m	m	1
4	39	NV	part3Item18aTrdingHrDtls			m	m	m	m	m	1
4	39	attr String	rbPart3Item18aIsOutsdeTrdingHrs			m	m	m	m	m	1
5	1	Boolean	rbPart3Item18bIsAnyDiffInTrdingOutSdHrs			m#96	m#96	m#96	m#96	m#96	1
5	1	NV	part3Item18bOutsdHrsDiffDtls			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	taPart3Item18bDiffDtls	20000		m#97	m#97	m#97	m#97	m#97	1
5	2	Boolean	rbPart3Item18cIsTrtedDiffOutsdHrs			m#98	m#98	m#98	m#98	m#98	1
5	2	NV	part3Item18cOutsdHrstrtmntDtls			m#98	m#98	m#98	m#98	m#98	1
5	2	attr String	rbPart3Item18cIsTrtedDiffOutsdHrs			m#98	m#98	m#98	m#98	m#98	1
6	1	String	taPart3Item18cTrtmntDiffDtls	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	part3Item20bSuspndProcdurDiffDtls			m	m	m	m	m	1
4	44	attr String	rbPart3Item20bIsSuspndProcdurSameFrAll			m	m	m	m	m	1
5	1	String	taPart3Item20bDiffDtls	10000		m#100	m#100	m#100	m#100	m#100	1
4	45	String	taPart3Item21aMtrlArngmntDtls	10000		m	m	m	m	m	1
4	46	Boolean	rbPart3Item21bIsMtrlArngmtSameFrAll			m	m	m	m	m	1
4	46	NV	part3Item21bMtrlArngmntDiffDtls			m	m	m	m	m	1
4	46	attr String	rbPart3Item21bIsMtrlArngmtSameFrAll			m	m	m	m	m	1
5	1	String	taPart3Item21bDiffDtls	10000		m#101	m#101	m#101	m#101	m#101	1
4	47	String	taPart3Item22aMtrlArngmntDtls	10000		m	m	m	m	m	1
4	48	Boolean	rbPart3Item22bIsMtrlArngmtSameFrAll			m	m	m	m	m	1
4	48	NV	part3Item22bMtrlArngmntDiffDtls			m	m	m	m	m	1
4	48	attr String	rbPart3Item22bIsMtrlArngmtSameFrAll			m	m	m	m	m	1

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	taPart3Item22bDiffDtls	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	part3Item23bMrktSrcDiffDtls			m	m	m	m	m	1
4	50	attr String	rbPart3Item23bIsSrcSameFrAll			m	m	m	m	m	1
5	1	String	taPart3Item23bDiffDtls	20000		m#103	m#103	m#103	m#103	m#103	1
4	51	Boolean	rbPart3Item24aIsSubScrbrOrdr			m	m	m	m	m	1
4	51	NV	part3Item24aSubScrbrOrdrDtls			m	m	m	m	m	1
4	51	attr String	rbPart3Item24aIsSubScrbrOrdr			m	m	m	m	m	1
5	1	Boolean	rbPart3Item24bIsCmplyRule301			m#104	m#104	m#104	m#104	m#104	1
5	1	NV	part3Item24bSubScrbrOrdrDtls			m#104	m#104	m#104	m#104	m#104	1
5	1	attr String	rbPart3Item24bIsCmplyRule301			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	taPart3Item24biiIAcesToOrdrInNms	30000		m#107	m#107	m#107	m#107	m#107	1
4	52	Boolean	rbPart3Item25aIsAvgDlyTradinVolExcd			m	m	m	m	m	1
4	52	NV	part3Item25aSubScrbrOrdrDtls			m	m	m	m	m	1
4	52	attr String	rbPart3Item25aIsAvgDlyTradinVolExcd			m	m	m	m	m	1
5	1	Boolean	rbPart3Item25bIsCmplyRule301			m#108	m#108	m#108	m#108	m#108	1
5	1	NV	part3Item25bAccessDtls			m#108	m#108	m#108	m#108	m#108	1
5	1	attr String	rbPart3Item25bIsCmplyRule301			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	rbPart3Item26IsOrdrFloExecStatsPublshd			m	m	m	m	m	1
4	53	NV	part3Item26PlatFrmData			m	m	m	m	m	1
4	53	attr String	rbPart3Item26IsOrdrFloExecStatsPublshd			m	m	m	m	m	1
5	1	boolean	cbPart3Item26iInfoRqstdUndrExbt4AvlblAtWebst			m#111	m#111	m#111	m#111	m#111	1
5	2	Boolean	cbPart3Item26iiInfoRqstdUndrExbt5AvlblAtWebst			m#112	m#112	m#112	m#112	m#112	1

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
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
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_OUTLYING_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_OUTLYING_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-limited
4	1	String	conformedName	32		m	m	m	m	m	1

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	conformedDocumentType	128	BASE_DOCUMENT_TYPE	m	m	m	m	m	1
4	3	String	contents			m	m	m	m	m	1

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	o

Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N-C	Max Occur
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
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_AREA_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_AREA_CODE_USA	o	1
4	8	Date	txAsOfDate			m	1
4	9	String	txSignatureName	150		m	1

Level	Order	Data Type	Element/Attribute	Max Length	Choice List	ATS-N-C	Max Occur
4	10	String	txSignatureTitle	100		m	1

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	o
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

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_AREA_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_AREA_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

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-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 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