EDGAR® SBS Entity Forms XML Technical Specification

TABLE OF CONTENTS

LIST OF TABLES

1 INTRODUCTION

1.1 Purpose

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

Table 1-1: SBS Entity Forms Submission Types

SUBMISSION TYPE	DESCRIPTION
SBSE	Application for Registration of Security-based Swap Dealers and MajorSecurity-based Swap Participants
SBSE/A	Amendment to an Application for Registration of Security-based SwapDealers and Major Security-based Swap Participants
SBSE-A	Application for Registration of Security-based Swap Dealers and MajorSecurity-based Swap Participants that are Registered or Registering with the Commodity Futures Trading Commission as a Swap Dealer or Major Swap Participant
SBSE-A/A	Amendment to an Application for Registration of Security-basedSwap Dealers and Major Security-based Swap Participants that are Registered or Registering with the Commodity Futures Trading Commission as a Swap Dealer or Major Swap Participant
SBSE-BD	Application for Registration of Security-based Swap Dealers andMajor Security-based Swap Participants that are Registered Broker-dealers
SBSE-BD/A	Amendment to an Application for Registration of Security-basedSwap Dealers and Major Security-based Swap Participants that are Registered Broker-dealers
SBSE-C	Certifications for Registration of Security-based Swap Dealers and Major Security-based Swap Participants
SBSE-W	Request for Withdrawal from Registration as a Security-based SwapDealer or Major Security-based Swap Participant

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

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

The SBS Entity Forms XML submissions can be transmitted to the SEC via the EDGAR 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 September 20, 2021, EDGAR Release 21.3 introduced the following changes:

- o Text for Country TAIWAN, PROVICE OF CHINA is changed to TAIWAN in eis_Common.xsd file.
- o Text for Country TAIWAN, PROVICE OF CHINA is changed to TAIWAN in eis_stateCodes.xsd file.
- o Code F5 is changed to TAIWAN in APPENDIX A.STATE/COUNTRY CODES.

2   EDGAR SCHEMA FILES

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

Table 2-1: SBS Entity Forms Schema Files

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

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

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

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

2.1   Schema Table Column Definitions

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

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

Table 2-2: Schema Language

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

3   XML SCHEMAS

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

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

3.1   Schema Table Column Definitions

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

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

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

3.2   Data Type Constraints

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

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

Data Type	Constraints
Decimal	Only valid characters are 0-9 and a period. Cannot contain commas, dollar sign, or parentheses. EDGAR stores two and four decimal places depending on the actual type. A decimal element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. Do not include a decimal element at all if your goal is to not provide an optional number.
String	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><th>Character</th><th>Escape Sequence</th></tr><tr><td><</td><td>&lt; or &#60;</td></tr><tr><td>></td><td>&gt; or &#62;</td></tr><tr><td>&</td><td>&amp; or &#38;</td></tr><tr><td>"</td><td>&quot; or &#34;</td></tr></table>
NV	These fields cannot have a value. They are parent element nodes that contain other XML elements. These elements need to be present for proper validation.
attr	Attribute property for an XML element.

3.3   Applicability of Schema Elements

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

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

3.4 Mapping of Form SBSE Submission Schemas to Submission Type

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

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

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

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

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

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE	SBSE/A
7	1	String	prefix	30		50	o	O
7	2	String	firstName	40		50	m#1	m#1
7	3	String	middleName	30		50	o	O
7	4	String	lastName	30		50	m#	m#
7	5	String	suffix	30		50	o	O
6	4	String	interestOwnedEntity	150		50	m#1	m#1
6	5	NV	entityType		ENTITY_TYPE	50	m#1	m#1
6	6	String	status	60		50	m#1	m#1
6	7	date	dateTitleOrStatusAcquired			50	m#1	m#1
6	8	NV	ownershipCode		OWNERSHIP_CODE_OTHER_TYPE	50	m#1	m#1
6	9	String	controlPerson		YES_NO_TYPE	50	m#1	m#1
6	10	String	pr		PR_TYPE	50	o	O
6	11	String	crdNo			50	m#1	m#1
6	12	Integer	iardNo	9		50	m#1	m#1
6	13	String	foreignBusinessNo	150		50	m#1	m#1
6	14	String	irsTaxNo	10		50	m#1	m#1
6	15	String	uic	25		50	o	O
3	5	NV	scheduleD			1	m	M
4	1	NV	scheduleDOne			1	m	M
5	1	String	applicantName	150		1	m	M
5	2	String	initialOrAmended		INITIAL_AMENDED_TYPE	50	m#	m#
5	3	NV	sectionOne			1	m	M
6	1	String	responseType		SECTION_ONE_CHECK_TYPE	4	o	O
6	2	String	otherName	150		4	m	M
6	3	String	stateCountry		STATE or COUNTRY	4	m#	m#
5	4	String	sectionTwo			7	m	M
6	1	String	responseType		SECTION_TWO_CHECK_TYPE	7	m	M
6	2	String	uniqueIdentificationNumber	40		7	m#1	m#1
6	3	String	assigningRegulator	150		7	m#1	m#1
6	4	String	description	1000		7	m#1	m#1
5	5	NV	sectionThree			1	m	M

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

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE	SBSE/A
6	16	String	individualNfa	10		12	o	O
6	17	String	individualIardNo	9		12	o	O
6	18	String	individualAddress			12	m#1	m#1
7	1	String	street1	40		12	m#1	m#1
7	2	String	street2	40		12	o	O
7	3	String	city	30		12	m#1	m#1
7	4	String	stateOrCountry			12	m#1	m#1
7	5	String	zipCode	10		12	m#1	m#1
6	19	String	individualEffectiveDate			12	m#1	m#1
6	20	String	individualTerminationDate			12	o	Co
6	21	String	descriptionArrangement	1000		12	m#1	m#1
6	22	String	descriptionExperience	1000		12	m#1	m#1
4	2	NV	scheduleDTwo			1	m	M
5	1	String	applicantName	150		1	m	M
5	2	tinyint	initialOrAmended		INITIAL_AMENDED_TYPE	1	m#1	m#1
5	3	NV	engagedInSecurities		ENGAGED_IN_SECURITY_TYPE	1	m#1	m#1
5	4	NV	sectionFive			1	m	M
6	1	String	partnerCorpOrgName	150		15	m#1	m#1
6	2	String	partnerCrdNumber	9		15	o	O
6	3	String	partnerUicNumber	25		15	o	O
6	4	String	partnerCorpOrgType		PART_CORP_ORG_TYPE	15	m#1	m#1
6	5	String	partnerAddress			15	m	M
7	1	String	street1	40		15	m#1	m#1
7	2	String	street2	40		15	o	O
7	3	String	city	30		15	m#1	m#1
7	4	String	stateOrCountry			15	m#1	m#1
7	5	String	zipCode	10		15	m#1	m#1
6	6	date	effectiveDate			15	m#1	m#1
6	7	date	terminationDate			15	o	O
6	8	tinyint	isForeignEntity		YES_NO_TYPE	15	m#1	m#1
6	9	tinyint	countryOfDomicile		STATE or COUNTRY	15	m#1	m#1
6	10	tinyint	isSecurityAct		YES_NO_TYPE	15	m#1	m#1
6	11	tinyint	isInvestmentAdvisoryAct		YES_NO_TYPE	15	m#1	m#1
6	12	String	descriptionRelationship	1000		15	m#1	m#1

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

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

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

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE	SBSE/A
8	1	Date	date			100	m#1	m#1
8	2	String	exactOrExplanation		EXACT_OR_EXPLANATIO N_OPTIONS	100	m#1	m#1
8	3	String	explanationInfo	1000		100	m#1	m#1
6	6	NV	dispositionDisclosure			100	m#1	m#1
7	1	String	dispositionType		CRIMINAL_DISPOSITION_ OPTION_TYPE	100	m#1	m#1
7	2	String	dispositionTypeOtherDesc	256		100	m#1	m#1
7	3	date	date			100	m#1	m#1
7	4	String	sentencePenalty	1000		100	m#1	m#1
7	5	NV	duration			100	o	O
8	1	String	days			100	o	O
8	2	String	months			100	o	O
8	3	String	years			100	o	O
7	6	String	startDatePenalty			100	m#1	m#1
7	7	decimal	penaltyFineAmount			100	m#1	m#1
7	8	date	datePaid			100	m#1	m#1
6	7	String	summaryOfCircumstances	10,00 0		100	m#1	m#1
5	5	NV	controlAffiliate			10	m#1	m#1
6	1	NV	controlAffiliateDetails			10	m#1	m#1
7	1	String	crdNumber	9		10	o	O
7	2	String	uicNumber	25		10	o	O
7	3	String	personType		CONTROL_AFFILIATE_TYP E	10	m#1	m#1
7	4	String	isPersonRegistered		YES_NO_TYPE	10	m#1	m#1
7	5	String	nameOfFirm	150		10	m#1	m#1
7	6	String	prefix	30		10	o	O
7	7	String	firstName	30		10	m#1	m#1
7	8	String	middleName	30		10	o	O
7	9	String	lastName	30		10	m#1	m#1
7	10	String	suffix	10		10	o	O
7	11	String	isShouldBeRemoved		YES_NO_TYPE	10	NA	m#1
7	12	String	drpRemovalReason		CONTROL_AFFILIATE_DR P_REMOVAL_REASON_TY PE	10		
7	13	String	explainCircumstances	256		10		
7	14	String	isSubmittedToCRD		YES_NO_TYPE	10	m#1	m#1

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE	SBSE/A
6	2	NV	criminalDrpDetails			1	m#1	m#1
7	1	String	organizationName	150		100	o	O
7	2	String	isEngagedInInvestmentRelated Business		YES_NO_TYPE	100	o	O
7	3	String	descRelationshipWithApplicant	250		100	o	O
7	4	String	courtType		CRIMINAL_EVENT_COURT _TYPE	100	m#1	m#1
7	5	String	otherDescribe	150		100	m#1	m#1
7	6	String	nameOfCourt	150		100	m#1	m#1
7	7	String	cityOrCounty	150		100	m#1	m#1
7	8	String	stateOrCountry		STATE or COUNTRY	100	m#1	m#1
7	9	String	docketOrCaseNumber			100	m#1	m#1
7	10	NV	dateFirstCharged			100	m#1	m#1
8	1	date	date			100	m#1	m#1
8	2	String	exactOrExplanation		EXACT_OR_EXPLANATIO N_OPTIONS	100	m#1	m#1
8	3	String	explanationInfo	1000		100	m#1	m#1
7	11	NV	criminalCharge			50	m#1	m#1
8	1	String	chargeDesc	80		1	m#1	m#1
8	2	Integer	numberOfCounts	2		1	m#1	m#1
8	3	String	felonyOrMisdemeanor		FELONY_MISDEMEANOR_ TYPE	1	m#1	m#1
8	4	String	plea	100		1	m#1	m#1
8	5	String	isInvestmentRelated		YES_NO_TYPE	1	m#1	m#1
8	6	String	investmentProductType	100		1	m#1	m#1
7	12	String	eventCurrentStatus		EVENT_STATUS_TYPE	100	m#1	m#1
7	13	Date	eventStatusDate			100	m#1	m#1
8	1	date	date			100	m#1	m#1
8	2	date	exactOrExplanation		EXACT_OR_EXPLANATIO N_OPTIONS	100	m#1	m#1
8	3	String	explanationInfo	1000		100	m#1	m#1
6	3	String	dispositionDisclosure			5	m#1	m#1
7	1	String	dispositionType		CRIMINAL_DISPOSITION_ OPTION_TYPE	1	m#1	m#1
7	2	String	dispositionTypeOtherDesc	256		1	m#1	m#1
7	3	String	date			1	m#1	m#1
7	4	String	sentencePenalty	1000		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE	SBSE/A
7	5	NV	duration			1	o	O
8	1	Integer	days			1	o	O
8	2	Integer	months			1	o	O
8	3	Integer	years			1	o	O
7	6	String	startDatePenalty			1	m#1	m#1
7	7	decimal	penaltyFineAmount			1	m#1	m#1
7	8	String	datePaid			1	m#1	m#1
6	4	String	summaryOfCircumstances	10,000		100	m#1	m#1
3	9	NV	regulatoryDrpInfo			NA	m#1	m#1
4	1	NV	regulatoryDrp			500	m#1	m#1
5	1	String	initialOrAmended		INITIAL_AMENDED_TYPE	100	m#1	m#1
5	2	NV	respondingTo			100	m#1	m#1
6	1	String	responseQuestion		REGULATORY_RESPONDING_TO_TYPE	16	m#1	m#1
5	3	String	drpFiledFor		DRP_FILE_FOR_TYPE	100	m#1	m#1
5	4	NV	applicant			100	m#1	m#1
6	1	String	nameOfApplicant	150		100	m#1	m#1
6	2	String	isToRemove		YES_NO_TYPE	100	NA	m#
6	3	String	drpRemovalReason		APPLICANT_DRP_REMOVAL_REASON_TYPE	100	NA	m#1
6	4	String	explainCircumstances	256		100	NA	m#1
6	5	NV	regulatoryDrpDetails			100	m#	m#
7	1	String	regulatoryActionInitiatedBy		REGULATOR_INITIATED_OPTION_TYPE	100	m#1	m#1
7	2	String	regulatorName	150		100	m#1	m#1
7	3	String	principalSanction		PRINCIPAL_SANCTION_TYPE	100	m#1	m#1
7	4	String	otherPrincipalSanctionDesc	60		100	m#1	m#1
7	5	String	otherPrincipalSanction		PRINCIPAL_SANCTION_TYPE	100	o	O
7	6	NV	dateInitiated			100	m#1	m#1
8	1	Date	date			100	m#1	m#1
8	2	String	exactOrExplanation		EXACT_OR_EXPLANATION_OPTIONS	100	m#1	m#1
8	3	String	explanationInfo	1000		100	m#1	m#1

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

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

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE	SBSE/A
7	18	String	matterResolvedType		REGULATORY_MATTER_RESOLVED_TYPE	100	m#1	m#1
7	19	date	resolutionDate			100	m#1	m#1
8	1	date	date			100	m#1	m#1
8	2	String	exactOrExplanation		EXACT_OR_EXPLANATION_OPTIONS	100	m#1	m#1
8	3	String	explanationInfo	1000		100	m#1	m#1
7	20	NV	sanctionsOrdered			100	m#1	m#1
8	1	String	sanctionOrdered		SANCTIONS_ORDERED_LIST_TYPE	100	m#1	m#1
7	21	decimal	monetaryFineAmount			100	m#1	m#1
7	22	String	otherSanctionsOrdered	256		100	o	O
7	23	String	sanctionDetail	10,000		100	m#1	m#1
7	24	String	summaryOfDetails	1000		100	m#1	m#1
3	10	NV	civilJudicialDrpInfo			NA	m#1	m#1
4	1	NV	civilJudicialDrp			NA	m#1	m#1
5	1	String	initialOrAmended		INITIAL_AMENDED_TYPE	100	m#1	m#1
5	2	NV	respondingTo			100	m#1	m#1
6	1	NV	responseQuestion		CIVIL_JUDICIAL_RESPONDING_TO_TYPE	4	m#1	m#1
5	3	String	drpFiledFor		DRP_FILE_FOR_TYPE	100	NA	m#1
5	4	NV	applicant			100	m#1	m#1
6	1	String	nameOfApplicant	150		100	m#1	m#1
6	2	String	isToRemove		YES_NO_TYPE	100	NA	m#1
6	3	String	drpRemovalReason		APPLICANT_DRP_REMOVAL_REASON_TYPE	100	NA	m#
6	4	String	explainCircumstances	256		50	NA	m#1
6	5	NV	civilJudicialDrpDetails			100	m#	m#
7	1	String	courtActionInitiatorName	150		100	m#1	m#1
7	2	String	regulatoryAuthorityType		REGULATORY_AUTHORITY_TYPE	100	m#1	m#1
7	3	String	otherRegulatoryAuthority	10000		100	m#1	m#1
7	4	String	principalReliefSought		RELIEF_SOUGHT_TYPE	100	m#1	m#1
7	5	String	otherPrincipleReliefSought	60		100	m#1	m#1

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE	SBSE/A
7	6	NV	otherReliefSoughts					
8	1	String	otherReliefSought		OTHER_RELIEF_SOUGHT_TYPES	100	o	O
7	7	String	otherOtherReliefSought	250		100	m#1	m#1
7	8	date	filingDateOfCourtAction			100	m#1	m#1
8	1	date	date			100	m#1	m#1
8	2	String	exactOrExplanation		EXACT_OR_EXPLANATION_OPTIONS	100	m#1	m#1
8	3	String	explanationInfo	1000		100	m#1	m#1
7	9	String	principalProductType		PRINCIPAL_PRODUCT_TYPE	100	m#1	m#1
7	10	String	otherPrincipalProductType	1000		100	m#1	m#1
7	11	NV	otherProductTypes					
8	1	String	otherProductType		OTHER_PRODUCT_TYPES	100	o	O
7	12	String	otherOtherProductType	250		100	m#1	m#1
7	13	String	civilActionCourtType		CIVIL_ACTION_COURT_TYPE	100	m#1	m#1
7	14	String	civilActionCourtName	150		100	m#1	m#1
7	15	String	cityOrCounty	150		100	m#1	m#1
7	16	String	stateOrCountry			100	m#1	m#1
7	17	String	docketOrCaseNumber	150		100	m#1	m#1
7	18	String	cpEmployingFirm	150		100	o	O
7	19	String	describeCivilActionAllegations	4000		100	m#1	m#1
7	20	String	eventCurrentStatus		EVENT_STATUS_TYPE	100	m#1	m#1
7	21	String	courtName	150		100	m#1	m#1
7	23	date	dateAppealFiled			100	m#1	m#1
7	24	date	processingDateCourtAction			100	m#1	m#1
8	1	date	date			100	m#1	m#1
8	2	String	exactOrExplanation		EXACT_OR_EXPLANATION_OPTIONS	100	m#1	m#1
8	3	String	explanationInfo	1000		100	m#1	m#1
7	25	String	matterResolveType		MATTER_RESOLVE_TYPE	100	m#1	m#1
7	26	String	otherMatterResolveType	256		100	m#1	m#1
7	27	NV	resolutionDate			100	m#1	m#1

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

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

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

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

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

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

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

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

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

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

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE-A	SBSE-A/A
5	8	String	isForeignRegulatory		YES_NO_TYPE	1	m	m
5	9	Integer	numberOfPrincipals	3		1	m	m
5	10	String	isNotIdentified		YES_NO_TYPE	1	m	m
3	2	NV	scheduleA			1	m#1	m#1
4	1	String	applicantName	150		1	m	m
4	2	Integer	applicantNFANo	7		1	m	m
4	3	NV	scheduleaInfo			1	m#1	m#1
5	1	NV	individualName			1	m#1	m#1
6	1	String	prefix	30		1	o	o
6	2	String	firstName	30		250	m#	m#
6	3	String	middleName	30		250	o	o
6	4	String	lastName	30		250	m#	m#
6	5	String	suffix	10		250	o	o
5	2	String	titleOrStatus	60		250	m#1	m#1
5	3	Date	dateTitleOrStatusAcquired			250	m#1	m#1
5	4	Date	dateBeganWorking			250	m#1	m#1
5	5	String	haveOwnershipInterest		YES_NO_TYPE	250	m#	m#
5	6	String	ownershipCode		OWNERSHIP_CODE_TYPE	250	m#1	m#1
5	7	Integer	nfaIdentificationNo	7		250	o#	o#
5	8	String	crdNo			250	o#	o#
5	9	String	iardNo			250	o#	o#
5	10	String	description	256		1	m#1	m#1
3	3	NV	scheduleB			1	m#	m#
4	1	String	applicantName	150		1	m	m
4	2	Integer	applicantNFANo	7		1	m	m
4	3	String	initialOrAmended		INITIAL_AMENDED_TYPE	1	m#	m#
4	4	NV	sectionOne			1	m#1	m#1
5	1	String	uicNumber	25		10	o	o
6	2	String	assigningRegulators	150		10	o	o
6	3	String	description	1K		10	m#1	m#1
4	5	NV	sectionTwo			10	m#1	m#1
5	1	String	responseType		SECTION_TWO_CHECK_TYPE	12	m#1	m#1
5	2	String	firmOrIndividual		FIRM_INDIVIDUAL_TYPE	1	m#1	m#1
5	3	String	firmOrOrganizationName	150		12	m#1	m#1

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

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

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

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE-A	SBSE-A/A
5	3	String	individualName			1	m#1	m#1
6	1	String	prefix	30		1	o	o
6	2	String	firstName	40		1	m#1	m#1
6	3	String	middleName	30		1	o	o
6	4	String	lastName	30		1	m#1	m#1
6	5	String	suffix	30		1	o	o
5	4	String	serviceAddress			1	o	o
6	1	String	street1	40		1	m	m
6	2	String	street2	40		1	o	o
6	3	String	city	30		1	o	o
6	4	String	stateOrCountry		STATE/COUNTRY CODES	1	m#1	m#1
6	5	String	zipCode	10		1	m#1	m#1
4	4	String	signature	150		1	m#1	m#1
4	5	String	signerName	150		1	m#1	m#1
4	6	String	signerTitle	60		1	m#1	m#1
4	7	Date	signatureDate			1	m#1	m#1
4	8	NV	foreignFinancialReg			10	m#1	m#1
5	1	String	nameOfRegulatory	150		20	m#	m#
5	2	String	foreignBusinessNo	256		20	o	o
5	3	String	nameOfCountry			20	m#	m#
3	7	NV	criminalDrpInfo			NA	m#1	m#1
4	1	NV	criminalDrp			100	m#1	m#1
5	1	String	initialOrAmended		INITIAL_AMENDED_TYPE	100	m#1	m#1
5	2	NV	respondingTo			100	m#1	m#1
6	1	NV	responseQuestion		CRIMINAL_RESPONDING_ TO_TYPE	4	m#1	m#1
5	3	NV	criminalDrpPartOne			100	m#1	m#1
6	1	String	nameOfPrincipal	150		100	m#1	m#1
6	2	String	crdNumber	9		100	o	o
6	3	String	isRegistered		YES_NO_TYPE	100	m#1	m#1
6	4	String	isShouldBeRemoved		YES_NO_TYPE	100	NA	m#
6	5	String	drpRemovalReason		PRINCIPAL_DRP_REMOVA L_REASON_TYPE	100	NA	m#
6	6	String	explainCircumstances	256		100	NA	m#
6	7	String	isSubmittedToCRD		YES_NO_TYPE	100	m#1	m#1
5	4	NV	criminalDrpPartTwo			100	m#1	m#1
6	1	String	organizationName	150		100	m#1	m#1

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

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

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE-A	SBSE-A/A
6	5	String	otherPrincipleReliefSought	60		100	m#1	m#1
6	6	NV	otherReliefSoughts			100	m#1	m#1
7	1	String	otherReliefSought		OTHER_RELIEF_SOUGHT_TYPES	100	o	o
6	7	String	otherOtherReliefSought	250		100	m#1	m#1
6	8	NV	filingDateOfCourtAction			100	m#1	m#1
7	1	String	date			100	m#1	m#1
7	2	String	exactOrExplanation		EXACT_OR_EXPLANATION_OPTIONS	100	m#1	m#1
7	3	String	explanationInfo	1K		100	m#1	m#1
6	9	String	principalProductType		PRINCIPAL_PRODUCT_TYPE	100	m#1	m#1
6	10	String	otherPrincipalProductType	60		100	m#1	m#1
6	11	NV	otherProductTypes			100	m#1	m#1
7	1	String	otherProductType		OTHER_PRODUCT_TYPES	100	o	o
6	12	String	otherOtherProductType	250		100	m#1	m#1
6	13	String	civilActionCourtType		CIVIL_ACTION_COURT_TYPE	100	m#1	m#1
6	14	String	civilActionCourtName	150		100	m#1	m#1
6	15	String	cityOrCounty	30		100	m#1	m#1
6	16	String	stateOrCountry		STATE/COUNTRY CODES	100	m#1	m#1
6	17	String	docketOrCaseNumber	1K		100	m#1	m#1
6	18	String	cpEmployingFirm	150		100	o	o
6	19	String	describeCivilActionAllegations	4K		100	m#1	m#1
6	20	String	eventCurrentStatus		EVENT_STATUS_TYPE	100	m#1	m#1
6	21	String	courtName	150		100	m#1	m#1
6	22	String	dateAppealFiled			100	m#1	m#1
6	23	tinyint	processingDateCourtAction			100	m#1	m#1
7	1	String	date			100	m#1	m#1
7	2	String	exactOrExplanation		EXACT_OR_EXPLANATION_OPTIONS	100	m#1	m#1
7	3	String	explanationInfo	1K		100	m#1	m#1
6	24	String	matterResolveType		MATTER_RESOLVE_TYPE	100	m#1	m#1
6	25	String	otherMatterResolveType	256		100	m#1	m#1
6	26	Date	resolutionDate			100	m#1	m#1
7	1	String	date			100	m#1	m#1
7	2	String	exactOrExplanation		EXACT_OR_EXPLANATION_OPTIONS	100	m#1	m#1
7	3	String	explanationInfo	1K		100	m#1	m#1
6	27	NV	sanctionReliefTypes			100	m#1	m#1

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

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

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

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

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE-BD	SBSE-BD/A
6	5	String	suffix	30		1	o	o
5	2	String	title	60		1	m	m
5	3	String	phone	20		1	m	m
5	4	String	emailAddress	80		1	m	m
4	6	NV	chiefComplianceOfficer			1	m	m
5	1	NV	officerName			1	m	m
6	1	String	prefix	30		1	o	o
6	2	String	firstName	40		1	m	m
6	3	String	middleName	30		1	o	o
6	4	String	lastName	30		1	m	m
6	5	String	suffix	30		1	o	o
5	2	String	title	60		1	m	m
5	3	String	phone	9		1	m	m
5	4	String	emailAddress	80		1	m	m
4	7	String	isSwapDealer		YES_NO_TYPE	1	m	m
4	8	String	isSwapParticipant		YES_NO_TYPE	1	m	m
4	9	String	swapOptions		SWAP_OPTION_TYPES	1	m#1	m#1
4	10	String	registeredAs		APPLICANT_REGISTRATION_TYPE	1	m#	m#
4	11	String	registeringAs		APPLICANT_REGISTRATION_TYPE	1	m#	m#
4	12	String	isSubjectToRegulator		YES_NO_TYPE	1	m	m
4	13	NV	prudentialRegulators			1	m	m
5	1	String	prudentialRegulator		PRUDENTIAL_REGULATOR_TYPE	1	m#1	m#1
4	14	String	isDerivativesDealer		YES_NO_TYPE	1	m	m
4	15	String	describeBusiness	1000		1	m	m
4	16	String	isForeignRegulatory		YES_NO_TYPE	1	m	m
3	2	NV	execution			1	m	m
4	1	date	date			1	m	m
4	2	String	nameOfApplicant	150		1	m	m
4	3	String	signature	150		1	m	m
4	4	String	nameOfPersonSigning	150		1	m	m
4	5	String	titleOfPersonSigning	150		1	m	m
3	4	NV	scheduleF			1	m#	m#
4	1	String	applicantName	150		1	m#	m#
4	2	NV	serviceOfProcess			1	m#	m#

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE-BD	SBSE-BD/A
5	1	String	firmOrIndividual		FIRM_INDIVIDUAL_TYPE	1	m#	m#
5	2	String	firmName	150		1	m#1	m#1
5	3	String	individualName	150		1	m#	m#
6	1	String	prefix	30		1	o	o
6	2	String	firstName	40		1	m#1	m#1
6	3	alphanumeric	middleName	30		1	o	o
6	4	String	lastName	30		1	m#1	m#1
6	5	String	suffix	30		1	o	o
5	4	String	address			1	m#1	m#1
6	1	String	street1	40		1	m#1	m#1
6	2	String	street2	40		1	o	o
6	3	String	city	30		1	m#1	m#1
6	4	String	stateOrCountry		STATE/COUNTRY CODES	1	m#1	m#1
6	5	String	zipCode	10		1	m#1	m#1
4	3	String	signature	150		1	m#1	m#1
4	4	String	signerName	150		1	m#1	m#1
4	5	String	signerTitle	150		1	m#1	m#1
4	7	date	signerDate			1	m#1	m#1
4	8	NV	foreignFinancialReg			1	m#	m#
5	1	String	regulatoryAuthName	150		20	m#1	m#1
5	2	String	foreignRegistrationNo	256		20	o	o
5	3	String	regulatoryAuthCountry		STATE/COUNTRY CODES	20	m#1	m#1
2	4	NV	documents			1	m	m
3	1	NV	document			unbounded	m	m
4	1	String	conformedName	32		1	m	m
4	2	String	conformedDocumentType			1	m	m
4	3	String	description	255		1	o	o
4	4	String	contents			1	m	m

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

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

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

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

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	SBSE-W
5	3	String	city	30		1	m#
5	4	String	stateOrCountry		STATE/COUNTRY CODES	1	m#
5	5	String	zipCode	10		1	m#
4	9	String	telephoneNumber	20		1	m
4	10	String	registrationType		REGISTRATION_TYPE	1	m
4	11	Date	dateCeasedBusiness			1	m
4	12	NV	reasonsToWithdraw			1	m
5	1	String	reasonToWithdraw		REASON_TO_WITHDRAW_TYPE	1	m
4	13	String	description	256		1	m#
4	14	String	isHoldCollateral		YES_NO_TYPE	1	m
4	15	Integer	numberOfCounterparties	5		1	m#
4	16	Decimal	amountOfMoney			1	m#
4	17	Decimal	marketValue			1	m#
4	18	String	describeArrangements	1000		1	m#
4	19	String	isInvestigation		YES_NO_TYPE	1	m
4	20	String	isComplaint		YES_NO_TYPE	1	m
4	21	String	islitigation		YES_NO_TYPE	1	m
4	22	String	firmOrIndividual		FIRM_INDIVIDUAL_TYPE	1	m
4	23	String	firmName	150		1	m
4	24	NV	individualName			1	m#
5	1	String	prefix	30		1	o
5	2	String	firstName	40		1	m#
5	3	String	middleName	30		1	o
5	4	String	lastName	30		1	m#
5	5	String	suffix	10		1	o
4	25	NV	personAddress			1	m
5	1	String	Street1	40		1	m
5	2	String	street2	40		1	o
5	3	String	city	30		1	m
5	4	String	stateOrCountry		STATE/COUNTRY CODES	1	m
5	5	String	zipCode	10		1	m
4	26	String	personTelephoneNumber	20		1	m
4	27	NV	locAddress			1	m
5	1	String	street1	40		1	o
5	2	String	street2	40		1	o
5	3	String	city	30		1	o

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

4 SBSE SCHEMA DATA VALUE CONSTRAINTS

4.1 SUBMISSION_TYPE

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

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

4.2 NAME_CHANGE_TYPE

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

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

4.3 SWAP_OPTION_TYPE

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

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

4.4 YES_NO_TYPE

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

VALUE
Y
N

4.5 PRUDENTIAL_REGULATOR_TYPES

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

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

4.6 LEGAL_STATUS_TYPE

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

VALUE
Corporation
Partnership
Limited Liability Company
Other

4.7 MONTH_TYPE

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

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

4.8 FIRM_INDIVIDUAL_TYPE

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

VALUE
Firm
Individual

4.9 ENTITY_TYPE

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

VALUE	DESCRIPTION
DE	Domestic Entity
FE	Foreign Entity
I	Individual

4.10 OWNERSHIP_CODE_TYPE

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

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

4.11 PR_TYPE

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

VALUE
PR

4.12 OWNERSHIP_CODE_OTHER_TYPE

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

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

4.13 SECTION_ONE_CHECK_TYPE

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

VALUE
Item 1C(2)

4.14 SECTION_TWO_CHECK_TYPE

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

VALUE
Item 15
Item 16A
Item 16B

4.15 SECTION_THREE_CHECK_TYPE

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

VALUE
Item 9

4.16 SECTION_FOUR_CHECK_TYPE

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

VALUE
Item 11A
Item 11B
Item 12A
Item 12B

4.17 ENGAGED_IN_SECURITY_TYPE

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

VALUE
13A

4.18 PART_CORP_ORG_TYPE

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

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

4.19 CONTROL_WITH_BANK_TYPE

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

VALUE
13B

4.20 INSTITUTION_TYPE

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

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

4.21 BUSINESS_LOC_CHANGE_OPTION_TYPE

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

VALUE
Add
Delete
Amendment

5   SBSE DRP SCHEMA DATA VALUE CONSTRAINTS

5.1   INITIAL_AMENDED_TYPE

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

VALUE
INITIAL
AMENDED

5.2   CRIMINAL_RESPONDING_TO_TYPE

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

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

5.3   DRP_FILE_FOR_TYPE

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

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

5.4   EXACT_OR_EXPLANATION_OPTIONS

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

VALUE
Exact
Explanation

5.5 APPLICANT_DRP_REMOVAL_REASON_TYPE

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

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

5.6 CRIMINAL_EVENT_COURT_TYPE

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

VALUE
Federal Court
Military Court
State Court
Foreign Court
Other

5.7 EVENT_STATUS_TYPE

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

VALUE
Pending
On Appeal
Final

5.8 CRIMINAL_DISPOSITION_OPTION_TYPE

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

VALUE
Convicted
Acquitted
Dismissed
Pretrial

VALUE
Other

5.9   SENTENCE_DURATION_TYPE

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

VALUE
Days
Months
Years

5.10 CONTROL_AFFILIATE_TYPE

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

VALUE
Firm
Individual

5.11 CONTROL_AFFILIATE_DRP_REMOVAL_REASON_TYPE

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

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

5.12 REGULATORY_RESPONDING_TO_TYPE

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

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

5.13 PRINCIPAL_SANCTION_TYPE

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

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

VALUE
Disgorgement
Expulsion
Injunction
Prohibition
Reprimand
Restitution
Revocation
Suspension
Undertaking
Other

5.14 DRP_FILE_FOR_TYPE

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

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

5.15 REGULATOR_INITIATED_OPTION_TYPE

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

VALUE
SEC
Other Federal
State
SRO
Foreign

5.16 PRINCIPAL_PRODUCT_TYPE

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

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

5.17 REGULATOR_INITIATED_OPTION_TYPE_2

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

VALUE
SEC
SRO
Federal Court
State Court
Other

5.18 CIVIL_JUDICIAL_RESPONDING_TO_TYPE

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

VALUE
14H(1)
14H(1)
14H(1)
14H(2)

5.19 REGULATORY_MATTER_RESOLVED_TYPE

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

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

5.20 REGULATORY_AUTHORITY_TYPE

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

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

5.21 RELIEF_SOUGHT_TYPE

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

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

5.22 OTHER_RELIEF_SOUGHT_TYPES

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

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

5.23 PRINCIPAL_PRODUCT_TYPE

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

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

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

5.24 OTHER_PRODUCT_TYPE

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

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

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

5.25 CIVIL_ACTION_COURT_TYPE

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

VALUE
Federal Court
State Court
Foreign Court

5.26 MATTER_RESOLVE_TYPE

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

VALUE
Consent
Dismissed
Judgement Rendered
Opinion

VALUE
Settled
Withdrawn
Other

5.27 SANCTIONS_RELIEF_TYPE

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

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

5.28 BANKRUPTCY_ACTION_TYPE

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

VALUE
Bankruptcy
Declaration
Receivership
Compromise
Liquidated
Other

5.29 COURT_TYPE

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

VALUE
Federal
State
Foreign

5.30 BANKRUPTCY_SIPC_RESPONDING_TO_TYPE

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

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

5.31 JUDGEMENT_RESPONDING_TO_TYPE

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

VALUE
5-L

5.32 BOND_DISPOSITION_OPTION_TYPE

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

VALUE
Denied
Payout
Revoked

5.33 BANKRUPTCY_DISPOSITION_TYPE

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

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

6 SBSE-A SCHEMA DATA VALUE CONSTRAINTS

6.1 SUBMISSION_TYPE

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

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

6.2 APPLICANT_REGISTRATION_TYPE

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

VALUE
Swap Dealer
Major Swap Participant

6.3 PRUDENTIAL_REGULATOR_TYPE

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

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

6.4 APPLICANT_OTHER_TYPE

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

VALUE
Futures Commission Merchant
Introducing Broker
Commodity Pool Operator
Other

6.5   NAME_CHANGE_TYPE

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

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

6.6   SWAP_OPTION_TYPE

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

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

6.7   YES_NO_TYPE

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

VALUE
Y
N

6.8   PRUDENTIAL_REGULATOR_TYPES

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

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

6.9   SECTION_TWO_CHECK_TYPE

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

VALUES
Item 13A
Item 13B
Item 14
Item 15

6.10   LEGAL_STATUS_TYPE

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

VALUES
Corporation
Partnership
Limited Liability Company
Other

6.11   EFFECT_TYPE

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

VALUES
effects
is involved in effecting

6.12   FIRM_INDIVIDUAL_TYPE

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

VALUE
Firm
Individual

6.13 ENTITY_TYPE

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

VALUE	DESCRIPTION
DE	Domestic Entity
FE	Foreign Entity
I	Individual

6.14 OWNERSHIP_CODE_TYPE

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

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

6.15 PR_TYPE

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

VALUE
PR

6.16 OWNERSHIP_CODE_OTHER_TYPE

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

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

6.17 SECTION_ONE_CHECK_TYPE

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

VALUE
Item 1C(2)

6.18 SECTION_TWO_CHECK_TYPE

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

VALUE
Item 15
Item 16A
Item 16B

6.19 SECTION_THREE_CHECK_TYPE

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

VALUE
Item 9

6.20 SECTION_FOUR_CHECK_TYPE

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

VALUE
Item 11A
Item 11B
Item 12A
Item 12B

6.21 ENGAGED_IN_SECURITY_TYPE

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

VALUE
13A

6.22 CONTROL_WITH_BANK_TYPE

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

VALUE
13B

6.23 INSTITUTION_TYPE

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

VALUE
bank holding company
national bank

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

6.24 BUSINESS_LOC_CHANGE_OPTION_TYPE

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

VALUE
Add
Delete
Amendment

7 SBSE-A DRP SCHEMA DATA VALUE CONSTRAINTS

7.1 INITIAL_AMENDED_TYPE

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

VALUE
INITIAL
AMENDED

7.2 CRIMINAL_RESPONDING_TO_TYPE

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

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

7.3 PRINCIPAL_DRP_REMOVAL_REASON_TYPE

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

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

7.4 DRP_FILE_FOR_TYPE

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

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

7.5 APPLICANT_DRP_REMOVAL_REASON_TYPE

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

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

7.6 CRIMINAL_EVENT_COURT_TYPE

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

VALUE
Federal Court
Military Court
State Court
Foreign Court
Other

7.7 FELONY_MISDEMEANOR_TYPE

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

VALUE
Felony
Misdemeanor

7.8 CRIMINAL_DISPOSITION_OPTION_TYPE

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

VALUE
Convicted
Acquitted
Dismissed
Pretrial
Other

7.9 SENTENCE_DURATION_TYPE

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

VALUE
Days
Months
Years

7.10 CONTROL_AFFILIATE_TYPE

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

VALUE
Firm
Individual

7.11 REGULATORY_RESPONDING_TO_TYPE

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

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

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

7.12 PRINCIPAL_SANCTION_TYPE

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

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

VALUE
Other

7.13 DRP_FILE_FOR_TYPE

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

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

7.14 REGULATOR_INITIATED_OPTION_TYPE

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

VALUE
SEC
Other Federal
State
SRO
Foreign

7.15 PRINCIPAL_PRODUCT_TYPE

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

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

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

7.16 REGULATOR_INITIATED_OPTION_TYPE_2

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

VALUE
SEC
SRO
Federal Court
State Court

VALUE
Other

7.17 CIVIL_JUDICIAL_RESPONDING_TO_TYPE

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

VALUE
14H(1)
14H(1)
14H(1)
14H(2)

7.18 REGULATORY_MATTER_RESOLVED_TYPE

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

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

7.19 REGULATORY_AUTHORITY_TYPE

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

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

7.20 RELIEF_SOUGHT_TYPE

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

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

7.21 OTHER_RELIEF_SOUGHT_TYPES

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

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

VALUE
Complaint)
Restitution
Restraining Order
Other

7.22 PRINCIPAL_PRODUCT_TYPE

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

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

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

7.23 CIVIL_ACTION_COURT_TYPE

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

VALUE
Federal Court
State Court
Foreign Court

7.24 MATTER_RESOLVE_TYPE

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

VALUE
Consent
Dismissed
Judgement Rendered
Opinion
Settled
Withdrawn
Other

7.25 SANCTIONS_RELIEF_TYPE

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

VALUE
Monetary/Fine

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

7.26 BANKRUPTCY_ACTION_TYPE

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

VALUE
Bankruptcy
Declaration
Receivership
Compromise
Liquidated
Other

7.27 COURT_TYPE

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

VALUE
Federal
State
Foreign

7.28 BANKRUPTCY_SIPC_RESPONDING_TO_TYPE

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

VALUE
Direct Payment Procedure

VALUE
Dismissed Satisfied/Released
Discharged
Dissolved
SIPA Trustee Appointed
Other

7.29 EXACT_OR_EXPLANATION_OPTIONS

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

VALUE
Exact
Explanation

7.30 JUDGEMENT_RESPONDING_TO_TYPE

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

VALUE
5-L

7.31 BOND_DISPOSITION_OPTION_TYPE

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

VALUE
Denied
Payout
Revoked

7.32 SANCTIONS_ORDERED_LIST_TYPE

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

VALUE
Monetary/Fine

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

7.33 BANKRUPTCY_DISPOSITION_TYPE

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

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

8   SBSE-BD SCHEMA DATA VALUE CONSTRAINTS

8.1   SUBMISSION_TYPE

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

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

8.2   APPLICANT_REGISTRATION_TYPE

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

VALUE
Swap Dealer
Major Swap Participant

8.3   PRUDENTIAL_REGULATOR_TYPE

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

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

8.4 SWAP_OPTION_TYPE

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

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

8.5 YES_NO_TYPE

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

VALUE
Y
N

8.6 PRUDENTIAL_REGULATOR_TYPES

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

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

8.7 FIRM_INDIVIDUAL_TYPE

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

VALUE
Firm
Individual

9   SBSE-C SCHEMA DATA VALUE CONSRAINTS

9.1   SUBMISSION_TYPE

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

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

10 SBSE-W SCHEMA DATA VALUE CONSTRAINTS

10.1 SUBMISSION_TYPE

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

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

10.2 REGISTRATION_TYPE

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

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

10.3 REASON_TO_WITHDRAW_TYPE

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

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

10.4 YES_NO_TYPE

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

VALUE
Y
N

10.5 FIRM_INDIVIDUAL_TYPE

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

VALUE
Firm
Individual

11   BASIC SUBMISSION CONSTRUCTION

11.1   General Formatting of XML Files

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

1. The filename must end with an ".xml" extension.

2. The file cannot be compressed in any fashion.

3. We strongly recommend you format the submission as shown in the provided sample files. This makes the raw XML files easier to view in a text editor. The submission of ASCII XML files with no line breaks, while legal XML is strongly discouraged. XML filings are required to be posted on public websites. While usually formatted via style sheets, the raw XML is frequently available for inspection and should be readable by a person. A single line XML file is not viewer-friendly and should be avoided.

4. The <?xml version="1.0"?> declaration line is optional; however, if it is included it must be the first line in the file. Any text entered before this line, even white space, will cause a SUSPENSE error. The version value must be "1.0". Any other value for version will cause a SUSPENSE error.

5. For an XML element with a data value, keep the begin tag, data value, and end tag on the same line of text. Otherwise, you could get a schema violation error. As an example, for a filer ID value which cannot be longer than 10 characters, this specification is correct:

<cik>1212121212</cik>

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

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

11.2   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.

11.2.1 Enclosing a Document

1. Allowable file extensions are .pdf, .txt, .htm, .jpg, .xml and .gif.

2. The names of attached document files must follow the EDGAR file naming conventions:

   - File names cannot exceed 32 characters, including the file extension.

   - Valid characters are lowercase letters, digits 0-9, up to one underscore, up to one hyphen, and up to one period.
   - First character must be a letter.
   - Spaces are not allowed.
   - File name must have a file type extension of .xml.

3. The <description> is optional, but all other elements must be present and must have a value.

4. The <contents> element must contain a MIME encoded document. You can use any standard 64-character set based MIME encoding algorithm to create a MIME document.

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

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

12 ERROR REPORTING

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

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

Table 12-1: Submission Errors and Severity

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

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

Appendix A.   STATE/COUNTRY CODES

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

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

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

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

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

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

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

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

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

Appendix B.   MONTH_TYPE

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

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

Appendix C.   ACRONYMS

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